

COSTEP

Coordinated Statewide Emergency Preparedness An Emergency Response Framework for the Cultural Community

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INTRODUCTION

The 2001 terrorist attacks and the 2005 hurricane season raised awareness of the need for a coordinated response by the cultural community to area-wide disasters that simultaneously affect a large number of cultural resource institutions. Efforts continue within the cultural community to apply the numerous lessons learned from these disasters, particularly with regard to cooperation and communication both within and outside the cultural community. While the losses sustained in Hurricane Katrina have inspired renewed emergency planning efforts in recent years, it is important to remember that preparedness cannot encompass only natural disasters. The cultural community must also be prepared for emergencies such as a pandemic flu outbreak, a nuclear/radiological accident, a terrorist attack, or even a cyber attack on critical infrastructure systems.

The *Coordinated Statewide Emergency Preparedness (COSTEP)* framework is part of the ongoing process of applying lessons learned from previous disasters to prepare for the future. The *Framework* is an emergency planning tool for cultural resources that is designed to bring together the wide range of cultural resource institutions within a state, with a particular focus on including emergency management agencies and first responders in the statewide emergency planning process for cultural resources.

While the *Framework* focuses specifically on emergency planning at the state level rather than the local or county level, it is also hoped that the *Framework* will be useful at the local and/or county level. The emergency management community adheres to the concept of tiered response, in which incidents are managed at the lowest possible jurisdictional level, and a localized emergency is much more likely to occur than a larger statewide or regional event. Thus, it is crucial for individual institutions to plan on several different levels: for emergencies contained within the institution, for emergencies affecting institutions in the local area, and for emergencies affecting the larger region or the entire state. It is with the latter that the *Framework* is primarily concerned, but if relationships between cultural institutions and emergency managers can also be developed on a local level during the statewide planning process, so much the better.

The *COSTEP Framework* guides the process of statewide emergency planning by recommending a series of meetings that address key relationships within the state, goals for the planning process, risk analysis, preparedness, and training. The *Framework* suggests participants, discussion topics, and products/outcomes for the meetings, but it does not put forth a detailed model plan due to varied needs and circumstances among the states. The end result of the planning process should be a list of products and activities that can be shaped into a statewide emergency plan for cultural resources. It cannot be emphasized too strongly that ***in order to be effective, this plan must be developed in cooperation with state and local emergency planners***, with the ultimate goal of including crucial elements of the plan (such as communication networks, salvage priorities, and allocation of resources during response) in local (town and/or county) and state emergency operations plans. Remember, however, that a statewide emergency plan should never be seen as a substitute for individual institutional plans; rather, it should build on and enhance those plans.

What Are “Cultural Resources”?

In the *COSTEP Framework*, **cultural resource collections** refers to the range of culturally significant collections and individual objects that might be found in libraries, archives, museums, and historic sites (both public and private); and private collections. These include artifacts, specimens, works of art, books, archives, manuscripts, or public records with artistic, educational, historic, scientific, or social importance.

In the *Framework*, **essential continuity of operations records** are defined according to the Society of American Archivists’ definition of essential records: “Emergency-operating records immediately necessary to begin recovery of operations after a disaster, and rights-and-interests records necessary to protect the assets, obligations, and resources of the organization, as well as its employees and customers or citizens” (see [Glossary](#) for complete definition). This category of material may overlap with **cultural resource collections**, since some records with critical short-term value will also be culturally significant in the long term, while others may not.

Statewide emergency planning efforts should include both categories of collections. See **How to Use COSTEP** for additional discussion of terms and definitions used in the *COSTEP Framework*.

The *COSTEP Framework* was developed by Northeast Document Conservation Center (NEDCC), in cooperation with the Massachusetts Board of Library Commissioners (MBLC), the Massachusetts State Archives (MSA), the Chief Officers of State Library Agencies (COSLA), the Council of State Archivists (CoSA), the Society of American Archivists (SAA), Heritage Preservation (HP), and the Southeast Library Network (SOLINET).

Pilot projects using *COSTEP* to create a statewide emergency plan for cultural resources will take place in Massachusetts in 2008 and in New Mexico.

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Why COSTEP?

COSTEP can help safeguard cultural resources in a state-wide or area-wide disaster.

COSTEP encourages states to designate a lead agency/institution that will assume authority for coordinating response efforts for cultural resource collections statewide, working in conjunction with emergency management personnel. In most states this will be a state agency responsible for cultural resources (e.g., state archives, state library, state museum, state historical society, state historic preservation office). COSTEP guides states through the emergency planning process, and suggests concrete outcomes and products (such as lists of cultural institutions throughout the state, communication networks, and emergency response teams) that will increase the chances of saving cultural resource collections affected by catastrophic events.

COSTEP encourages collaborative planning among a wide range of agencies and institutions.

COSTEP's goal is to involve as many cultural resource agencies/institutions and emergency management personnel as possible in the statewide planning process. In addition to state agencies responsible for cultural collections, these include library/archives/museum associations and professional organizations; private libraries, archives, and museums; academic institutions, historic sites; and local/county/state/regional emergency managers and first responders.

COSTEP builds upon existing emergency preparedness projects for cultural resources.

In recent years a number of initiatives have been undertaken to improve emergency preparedness for cultural resources both statewide and regionally, with a particular emphasis on encouraging cooperation between emergency management agencies and cultural institutions. COSTEP complements these projects and provides a mechanism for incorporating them into a larger statewide planning effort.

- [Heritage Emergency National Task Force Alliance for Response](#) This program has brought cultural heritage leaders and emergency responders together through a series of successful forums in eight states since 2003. A number of states have already followed up the forums with additional activities, and COSTEP will provide a means by which states that have held forums can systematize their ongoing planning efforts.
- [Council of State Archivists \(CoSA\) Emergency Preparedness Initiative \(EPI\)](#) Focused on state archives and records management programs (ARMs). In 2006, CoSA conducted an assessment of state ARMs to evaluate the status of their emergency preparedness. COSTEP can help achieve some of the action steps recommended as a result of the CoSA Assessment, such as strengthening relationships with governmental and non-governmental agencies and institutions; increasing education, training, and awareness about records-related preparedness; and forming partnerships to foster cooperative response efforts with allied organizations. The *COSTEP Framework* initial assessment of statewide emergency preparedness for cultural resources is adapted from the CoSA Assessment.
- [CoSA Intergovernmental Preparedness for Essential Records \(IPER\) Project](#) A training initiative that will provide the knowledge and skills needed to secure vital and essential state and local government records and recover those damaged by disasters. IPER will train leadership teams comprised of representatives from the state archives and records management programs, the state chief information officer, the state emergency management agency, and local governments within the state. These teams will in turn provide web and CD-based training (anticipated to begin in 2009 and 2010), and they will work closely with the National Archives and Records Administration (NARA) and FEMA regional offices serving their states. COSTEP will complement the IPER program; it is envisioned that in many cases the IPER leadership teams will also

participate in the COSTEP planning process, and that they will share their knowledge and experience with other types of institutions within the state.

LEARN ABOUT: OTHER RELATED PROJECTS

[Heritage Emergency National Task Force Risk Evaluation and Planning Program \(REPP\)](#) A pilot program in which teams of two professionals, a conservation expert and an emergency preparedness official, visit museums to assess their exposure to risks, make recommendations for cost-effective mitigation measures, and help the museums create or improve emergency plans.

[Institute of Museum and Library Services \(IMLS\) Connecting to Collections Initiative](#) A national initiative to raise public awareness of the importance of caring for cultural collections. By 2010 IMLS intends to award a planning grant to each eligible state, commonwealth, or territory to advance their collective conservation goals guided by the [Heritage Health Index Summary Report](#) recommendations.

Audience and Objectives

It is hoped that the *COSTEP Framework* will assist state libraries, archives, and museums (and their communities) in achieving a number of objectives, both general and specific:

- Build relationships at the state and regional levels between the emergency response community and the cultural resources community.
- Encourage relationships between cultural resource institutions and organizations within the state that might not otherwise interact on a regular basis.
- Develop an understanding within the emergency response community of the importance of essential continuity of operations records and other cultural resources to both the short-term and long-term well-being of the community.
- Educate the emergency response community about proper response and recovery activities for cultural resource collections, and educate the cultural resource community about standard management structures, protocols, and vocabulary used by the emergency response community in small and large scale disasters (e.g., the Incident Command System).
- Encourage the cultural resource community to use the Incident Command System (ICS) in emergency planning efforts.
- Undertake statewide risk analysis activities that will reduce the effect of disasters on cultural resource collections.
- Encourage the cultural resource community to put together continuity of operations (COOP) plans.
- Develop procedures for preparedness and response within the cultural resource community to facilitate response to and recovery from state, regional, and/or area-wide disasters. Work toward inclusion of these procedures in the overall state emergency operations plan (SEOP).
- Give states a common structure and level of understanding to enable better coordination between states in a large scale disaster that crosses state lines, as well as in smaller disasters where help could arrive more quickly from across state lines than from within the state.

- Encourage agencies/institutions on the county and community levels to undertake a collaborative emergency planning process for cultural resources.

Challenges of Coordinated Planning

One of the primary challenges of coordinated statewide emergency planning for cultural resources is the need to build ongoing relationships between a wide variety of agencies, institutions, and organizations, some of whom have previously had little or no interaction. These include state and local government agencies; state and local emergency management personnel; private institutions such as libraries, archives, and museums; and a variety of professional organizations.

Developing these key relationships is crucial to the success of statewide emergency planning. Prior relationships in and of themselves can greatly increase the success of the recovery effort, since the parties have already built the trust and good will that are essential to effective planning and action. The unprecedented scale of the devastation experienced in the Gulf States clearly demonstrated the need for cooperation among all types of collections-holding institutions, and the need for better communication between state agencies and local communities.

Other challenges to successful planning include:

- the complexities involved in bringing together key leaders for the state planning effort;
- the need for funding to implement planning efforts;
- the fact that in large-scale disasters response and recovery must be sustained over months and possibly years;
- inadequate preparedness for emergency response, as well as lack of attention to risk management, on the part of individual institutions (this is often due to a shortage of time and resources); and
- unfamiliarity on the part of cultural institutions (even those that have emergency plans) with standard structures, vocabularies, and protocols used by emergency management personnel and agencies.

The primary lesson of Hurricanes Katrina, Rita, and Wilma is that local cultural resources agencies and institutions must work in concert with their state emergency management agencies and with federal emergency

CASE STUDY: Hurricane Katrina

Recovery from Katrina was complicated by damage to the infrastructure on a level previously unforeseeable, including loss of cell phone communication; mass migration of staff; competition among organizations for recovery services and supplies; and difficulty in gaining access to damaged or at-risk collections for weeks or even months. Salvage and recovery of cultural resource collections was often secondary to debris removal and business recovery issues such as repairing buildings and bringing back staff to start up basic services.

Post-Katrina, the state libraries and archives were called upon to take the lead in assessing the damage community by community, and reporting on the status of each institution's recovery efforts. However, communication with the damaged areas was difficult, and there were no pre-arranged procedures for coordinating assessment activities. As a result, some isolated institutions proceeded with recovery on their own, and some institutions were assessed more than once by different teams, some of whom were not familiar with the geographic area and holdings.

The lack of coordinated response meant that recovery resources were sometimes overlapped and not always allocated to the cultural resources that were the most valuable or the most in need. In addition, setting overall statewide priorities for collections recovery was complicated by several factors: some smaller institutions held cultural collections that were previously unknown to the state library or archives, and some of these materials took on increased importance due to the destruction of other records in the region.

management personnel. In an area-wide disaster, individual institutions will cede control to emergency management personnel, so it is best to work out how cultural resource agencies/institutions will fit into the emergency management structure before disaster strikes. This will help to ensure that cultural resource collections, including essential continuity of operations records, are included in response and recovery efforts. It may also prevent additional damage to cultural resources from mold growth, demolition of buildings containing important records/collections, and other problems that might arise in the wake of disaster.

Building pre-existing relationships with emergency personnel, advocating for the importance of salvaging cultural resources, and raising awareness of the need to salvage collections in a timely fashion will help cultural institutions receive higher priority within the overall recovery.

While the *COSTEP Framework* focuses on statewide planning, in reality many catastrophic disasters occur without regard to state lines. Parts of several states or an entire region may be affected, making it desirable for states to coordinate their response and recovery activities. It is also true that even when only one state, or part of a state, is affected, assistance may come more efficiently and effectively from a nearby state than from elsewhere in the same state. The *Framework* encourages states to consider these issues in their emergency planning efforts.

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HOW TO USE THE COSTEP Framework

Since existing emergency preparedness efforts, key players, funding, and specific elements to be included in a statewide emergency preparedness plan for cultural resources will differ significantly from state to state, the *COSTEP Framework* focuses on the process of statewide emergency planning.

Wherever possible, states are strongly encouraged to work with the planning division of their state emergency management agency during the planning process. Ultimately, many elements of the statewide plan for cultural resources (e.g., damage assessment procedures, communication networks, resource allocation) will need to be formally incorporated into the overall statewide emergency operations plan in order to be effective.

The Planning Process

The *COSTEP Framework* guides the process of statewide emergency planning by recommending a series of meetings that address key relationships within the state, goals for the planning process, risk analysis, preparedness, and training.

[Appendix C: Potential Elements of a Statewide Emergency Plan for Cultural Resources](#) summarizes activities that might be included in a statewide plan.

The planning process suggested in the *Framework* is designed to be flexible, so that it can take into account organizational and political differences among the states, and so that it can meet the needs of states that are at different stages of the emergency planning process. The planning process is envisioned as a series of meetings among key institutions, organizations, and associations that are (or should be) involved in emergency planning for cultural resources in the state. This includes not just cultural institutions, but emergency management personnel and others. In most cases, multiple meetings will be needed to address each component of the *Framework*.

Structure of the Framework

- **Startup**, in which a few institutions within the state meet to identify existing resources and activities and set initial goals.

The **Startup** section includes a *Self-Assessment Tool* to help determine where the state currently stands in its emergency preparedness efforts. Within each state, the *Framework* will be distributed to the state library, state archives, and state museum (or other equivalent agencies). The first planning meeting should be a small meeting that includes institutions that have expressed an interest in the project. This meeting should have a limited number of participants, to ensure that participants feel they can talk frankly about their resources and capabilities.

The *Self-Assessment Tool* should be filled out by all participants prior to the initial meeting, to collect information about what preparedness activities already exist within the state, what relationships already exist among institutions, what resources are needed, and what each participating institution can provide. One or more potential lead institutions/agencies for the project should be identified during the **Startup** phase, and a steering committee should be put together that will guide the remainder of the planning process. Depending on the circumstances, multiple meetings may be required to accomplish the **Startup** goals.

- **Key Relationships and Goals**, in which additional agencies/institutions/organizations are brought in and more specific goals are set for the emergency planning process.

Once the startup goals have been accomplished, a series of meetings to develop further **Key Relationships and Goals** should be held. This series of meetings should include representatives from a wider range of cultural institutions and its goals should be to further develop relationships between participants and establish more concrete goals for the planning process. Steering Committee members will have the responsibility for keeping the discussions on topic, distilling the most important points from the discussion, facilitating products and outcomes, and determining agendas for follow-up meetings.

Guidance for the *Framework* Meetings

For each type of meeting within the *Framework*, specific information is provided to help get the meeting or series of meetings started. These include:

- **Suggested Participants** – Suggestions are provided for the types of agencies, institutions, and/or organizations that might be invited to participate in various *Framework* meetings. Organizational models vary greatly from state to state, so all the suggested participants may not be appropriate for every state. In some cases, specific participants are recommended for a particular meeting (e.g., state hazard mitigation officials in the Risk Analysis and Mitigation meetings).
- **Objectives** – A summary of the general goals for each *Framework* component; as noted elsewhere, it will likely require a number of meetings to achieve all the objectives for each component.
- **Meeting Preparation** – Included where appropriate, this section suggests information to be collected by the meeting organizers prior to the meeting. This should be used to facilitate discussion during the meeting. Examples include existing resource lists and existing statewide hazard/risk analysis.
- **Topics for Discussion** – A list of topics that should be addressed during the meetings for each component. Issues that merit special consideration within each topic are noted. Meeting organizers should not expect to cover all topics in a single meeting.
- **Suggested Outcomes and Products.** It is crucial to produce results that will move the planning process ahead in a concrete way. With the exception of the **Startup** component (where all activities must be undertaken in order to move forward), the lists of suggested outcomes and products are divided into three levels: Essential, Enhanced, and Excellent.
 - **Essential** – Every state should meet these minimum requirements for effective emergency preparedness and response for cultural resource collections. Activities in this category can generally be accomplished with minimal effort/cost.
 - **Enhanced** – These activities are greatly desired (and often build on existing/essential activities), but achieving them may be a challenge for smaller states with fewer resources. In general, activities in this category can be accomplished at low to medium effort/cost.
 - **Excellent** – States at this level will have a comprehensive preparedness and response program. Activities at this level build on previous progress and require additional effort, support, and funding.

As discussion topics for each section are revisited in additional meetings over time, outcomes and products should ideally move from essential to enhanced to excellent, with new activities building on what was previously accomplished.

- **Resources** – Links and references to additional materials that will assist in preparing for the meetings.

In addition, an ongoing aspect of the **Key Relationships and Goals** component will be to hold periodic larger meetings to share information about how the planning process is going and to build relationships with individual institutions within the state. These types of meetings would be for the purpose of public education and raising awareness, rather than for making decisions about moving the process forward.

- **Risk Analysis**, which identifies hazards within the state, analyzes the risk that they pose to cultural collections, and determines strategies for mitigating those risks statewide. During the process of risk analysis, meeting participants are strongly encouraged to utilize and build on work that has already been done by state hazard mitigation officials. The goals of the cultural community in this component of the *Framework* should be to focus on the statewide risks that threaten cultural collections, to prioritize those risks, and to consider ways to mitigate them.
- **Preparing for Response**, which focuses on preparation for the response and recovery phases of an emergency. The cultural resource community must coordinate its response; maintain clear lines of communication within its own community during an emergency; and plan ahead for one primary point of contact between the cultural resource community and local and state emergency managers. The primary goal of the *Preparing for Response* component is to produce a specific statewide emergency plan for cultural resources, which would then be integrated with the overall state emergency plan.
- **Training**, which includes suggestions for sample tabletop exercises that simulate a statewide or area-wide disaster, giving participants a chance to practice for emergency response and identify any potential problems with response that should be addressed.

Once initial relationships and goals have been established, the planning process can proceed in any manner or order that seems appropriate for the situation. Either **Risk Analysis** or **Preparing for Response** could be addressed first, depending on the greatest need. As the process moves along, it is possible that meetings regarding **Risk Analysis**, **Preparing for Response**, and **Training** might alternate with each other, or sub-committees addressing different aspects of the *Framework* components might meet simultaneously.

Keys to a Successful Planning Process

1. **Establish a steering committee to guide the planning process, along with additional committees to address specific topics or areas.** While it is crucial to the success of the planning process that a wide variety of cultural institutions be included, it is also true that decision-making becomes more challenging as the number of people involved in the process increases. The steering committee should be responsible for summarizing information gathered and making decisions based upon the discussions within larger meetings. Additional committees should be established to study particular issues or address issues for a particular geographic area, and then report back to the larger group.
2. **Invite state emergency management personnel (specifically, personnel responsible for planning) to participate in the planning process.** If a statewide plan for cultural resources is to be successful in improving response to future disasters, it must be formally integrated into the existing statewide emergency operations plan. Most states, and many counties/towns, follow the Emergency Support Function (ESF) structure used in the National Response Framework (NRF), although in some states cultural resources may fall under a different ESF number, or not be included at all. State emergency planners can help the cultural resource community draft a plan that is consistent with the structures, procedures, and terminology used by the state, and they can assist in integrating this plan into the ESF structure as appropriate. See [Standard Emergency Management Protocols](#) in this document for more information on the National Response Framework and the ESF structure.
3. **Keep the focus of planning efforts on statewide planning.** It is easy to become sidetracked, particularly during meeting discussions, by the variety of issues involved in emergency planning for individual institutions, as well as by discussion of lower level emergencies. In this process, it will be most productive to focus on planning for those events that would affect an entire area, state, or region.
4. **Communicate periodically with the broader cultural resource community** about the activities of the steering committee and the larger planning group. Most individual cultural institutions are not knowledgeable about the existing state emergency management structure and procedures, and many institutions may also not be familiar with the activities taking place among other types of cultural institutions within the state. To encourage participation in the state planning effort, outreach/education

will be needed for individual cultural institutions. This might take the form of a periodic [Alliance for Response](#) type of forum.

The *Framework* suggests participants, discussion topics, and products/outcomes for the meetings, but it does not put forth a “fill-in-the-blank” template for a model plan, due to varied needs and circumstances among the states.

Terminology

Since the *COSTEP Framework* aims to include a wide variety of agencies and institutions in statewide planning, it is essential that all groups involved understand the terminology used by the others, and that they establish a common terminology for the planning process. In practice, terminology used by some agencies/institutions may be unfamiliar to others (or may be used in a slightly different way by different groups). For example, cultural agencies and institutions may be unfamiliar with emergency management terminology; archivists may use certain terms in a different way than government agencies; or archives and library personnel may be unfamiliar with museum terminology.

The most important terminology issues are discussed below; see the [Glossary](#) for definitions of additional terms used in the *Framework*.

Cultural resource collections: **Cultural resource** is a broad term that has been used in many different ways, including in relation to the protection of archeological sites (e.g., cultural resource management). Within this *Framework*, the term **cultural resource collections** is used to refer to the range of culturally significant collections and individual objects that might be found in libraries, archives, museums, and historic sites (both public and private); and private collections. These could include artifacts, specimens, works of art, books, photographs, archives, manuscripts, or public records.

Essential continuity of operations records: This *Framework* adopts the Society of American Archivists’ definition of essential records: “Emergency-operating records immediately necessary to begin recovery of operations after a disaster, and rights-and-interests records necessary to protect the assets, obligations, and resources of the organization, as well as its employees and customers or citizens” (see [Glossary](#) for complete definition). The SAA definition notes that these records are sometimes also called “vital records”, which can be confused with the term “vital statistics.” Vital statistics refers specifically to records that document significant life events, including births, deaths, and marriages. **Essential continuity of operations records** may overlap with **cultural resource collections**, since some records with critical short-term value will also be culturally significant in the long term, while others may not.

Culturally significant collections: In this *Framework*, the definition of culturally significant collections is drawn from FEMA’s *Disaster Assistance Policy*: “culturally significant items such as works of art and artifacts and their authenticity are, in part, defined by provenance (history of ownership) and by those characteristics including materials, design, setting, craftsmanship, feeling, and association with a place, and/or being the work of an artist of local, State, regional, or national importance. Items may include those of artistic, historic, scientific, educational or social significance.”

WHAT IS A COOP PLAN?

A **continuity of operations (COOP) plan** is a written plan that ensures the continuity of essential functions of a government agency, a commercial business, and/or a private non-profit or other organization in the event of an emergency. It is often referred to as **business continuity planning** in the private sector.

The plan should identify the vital information, personnel, and other resources required to continue the essential functions of the organization, and it should set out strategies for ensuring their safety and security.

See the *Resources* in the *Risk Analysis and Mitigation* section of the *Framework* for more information about preparing a COOP plan.

It is, of course, challenging to assign relative cultural significance to items or collections within a single institution, and even more so to attempt to do this across a large number of very different institutions,

but it is also true that the issue of prioritizing collections statewide for response and recovery is one that must be addressed at some point in the planning process.

Emergency management: This is the umbrella term used by the emergency management community to refer to activities that have traditionally been referred to in the library/archives/museum communities as “disaster planning” (e.g., efforts to mitigate, prevent, prepare for, respond to, and recover from emergencies/disasters). Overall, the term “emergency” is used in the *Framework* rather than “disaster” when referring to planning activities, because this agrees with common usage in the emergency management field.

In general, the *Framework* strongly recommends that the cultural resource community (both at the statewide and the individual institutional level) adopt the conventions in terminology used in the emergency management field (e.g., “command center” becomes “emergency operations center”; “disaster team leader” becomes “incident commander”). For more detail about procedures and terminology used in the emergency management community, refer to [Standard Emergency Management Protocols](#).

Standard Emergency Management Protocols

A major goal of the COSTEP project is to encourage cooperation between cultural resource institutions and local, regional, and national emergency management professionals. To that end, it is strongly recommended that cultural resource institutions become more familiar with standard emergency management terminology and protocols. This section provides a brief introduction to local, state, and federal emergency management terminology, protocols, and structures. All participants should become familiar with the information in this section before beginning the planning process, and cultural resource institutions are encouraged to take advantage of opportunities for additional training. Whenever possible, in-person rather than web-based training is encouraged, since it provides more opportunity for personal interaction and networking.

Management systems and structures in use within the emergency management communities include the Incident Command System (ICS), the National Incident Management System (NIMS), and the National Response Framework (NRF).

Incident Command System (ICS)

The Incident Command System (ICS) is a management system for organizing emergency response that originated within the California firefighting community in the 1970s. The ICS uses a consistent structure and procedures designed to successfully integrate widely differing organizations during an emergency. A key feature of ICS is its flexibility; it can be used in both large and small events by expanding or contracting its structure. All state agencies use the ICS, and it is recommended that cultural resources agencies and institutions adapt their existing terminology and disaster response organization to match the ICS terminology and organizational chart.

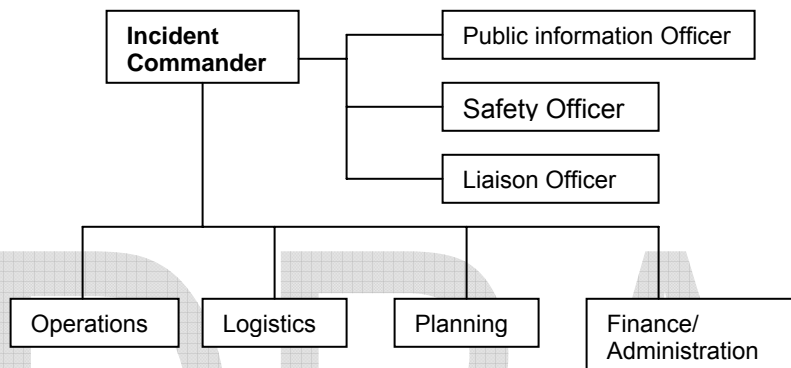
Within ICS, every incident is headed by an Incident Commander who has ultimate authority over all activities. The Incident Commander and his or her staff ensure responder safety, assess overall priorities, approve a plan of action, and coordinate recovery activities for the incident as a whole.

A number of important principles characterize the ICS. These include:

- Using **common terminology** to avoid confusion.
- Maintaining a **manageable span of control**. Any one individual within the structure should have no more than seven subordinates. If more are needed, the structure must be expanded and some functions transferred.

- Maintaining the **chain of command and unity of command**. This means maintaining an orderly line of authority and ensuring that every person involved in the event has a designated supervisor to whom he or she reports.
- **Managing by objectives** through the use of an **Incident Action Plan**. Using the information available about the incident, overarching and specific objectives are established. These objectives and the tasks required to achieve them are communicated through a written Incident Action Plan, which is revised daily (or more frequently if needed) throughout the course of the incident.

The ICS is organized by function/activity, and its basic structure is shown below:



**LEARN MORE:
Incident Command System**

FEMA's *Introduction to Incident Command System* at <http://training.fema.gov/EMIWeb/IS/s100.asp>.

FEMA's ICS Resource Center at <http://training.fema.gov/EMIWeb/IS/CSResource/index.htm>.

OSHA's *ICS eTool* at <http://www.osha.gov/SLTC/etools/ics/index.html>.

Responsibilities of the major ICS sections are as follows:

Command Staff

- Public Information Officer:** Coordinates all interaction with the public and the media regarding the incident.
- Safety Officer:** Monitors incident operations and ensures the safety of all operations, including the health and safety of emergency response personnel.
- Liaison Officer:** Serves as the point of contact for representatives of other governmental agencies, non-governmental organizations, and/or private entities involved in the incident.

General Staff

- Operations Section:** Manages all tactical operations during an incident, guided by the Incident Action Plan.
- Planning Section:** Provides planning services for the incident, collecting information about the status of the situation and the available resources, and evaluating and processing that information to assist in developing action plans.
- Logistics Section:** Manages incident logistics, providing facilities, transportation, food services, medical services, etc
- Finance/Administration Section:** Manages all financial aspects of the incident, including financial and cost analysis, keeping track of personnel time records, dealing with compensation and claims issues, etc.

In a small incident, one person may carry out several ICS functions, while in a larger event a separate person might be assigned to each function. In a large or complex incident that involves a number of organizations and jurisdictions, additional command staff may be needed, and each of the general staff sections may have several organizational levels within it (designated as branches, divisions/groups, units, etc.). ICS also specifies the use of a Unified Command in incidents that involve multiple jurisdictions or agencies, allowing these agencies to work together effectively.

ICS can become quite complex, and it is important to realize that the command structure will change during the disaster in response to changes in the situation (e.g., the first Incident Commander may be replaced by someone with additional or different experience; sections may be expanded or contracted as needed). While it is impossible to predict exactly how ICS will be used in every disaster, developing an awareness of its terminology and principles will help to minimize confusion when interacting with emergency management personnel during a disaster. Training, both traditional and online, is available from FEMA, and library and archives professionals are encouraged to become familiar with ICS principles and procedures.

The National Response Framework (NRF) and the National Incident Management System (NIMS)

In 2003, President Bush issued Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, which directed the Department of Homeland Security to develop a National Incident Management System (NIMS) and a National Response Plan (NRP). These companion documents were intended to provide a single, comprehensive, all-hazards approach to domestic incident management that includes not just federal agencies, but also state and local agencies, volunteer organizations, and the private sector. The NIMS was released in early 2004 (with an updated draft released in August 2007), and the NRP began a phased implementation in late 2004. In January 2008, the NRP was replaced by the National Response Framework (NRF), which defines the principles, roles, and structures of a national response to disasters and emergencies.

The NIMS articulates a set of principles, terminology, and organizational processes that are meant to guide emergency management, including prevention, preparedness, response, recovery, and mitigation. Its goal is to provide a consistent management system that will allow governmental and non-governmental organizations of differing sizes and types to work together effectively during an incident. In the NIMS, the Department of Homeland Security has mandated the use of ICS in crisis response.

While NIMS provides guiding principles for managing response, the National Response Framework describes response doctrine, responsibilities, and coordinating structures. The NRF focuses specifically on national response to incidents of varying type, size, and significance. The National Response Framework is based on several key principles, which include:

- **Tiered Response.** Incidents are managed at the lowest possible jurisdictional level, with additional resources from higher levels provided as needed. Response moves from the local level to the state level to the federal level. However, it is also important to note that response should be proactive (e.g., additional resources from a higher level should be provided before resources at the lower level are exhausted).
- **Scalability, Flexibility, and Adaptability.** The NRF is designed to adapt to meet the requirements of an incident as it changes in size, scope, and complexity.
- **Unity of Effort through Unified Command.** An effective unified command is crucial to effective response activities. A unified command allows diverse agencies to work together effectively to develop incident objectives and strategies.

The narrative portion of the NRF describes the roles and responsibilities of local communities, the private sector, state governments, and the federal government in preparedness (planning, organizing, training, and equipping), response (assessing the situation, activating resources and capabilities, coordinating response activities, and demobilizing), and short and long-term recovery. The NRF also includes several types of annexes that provide additional information and guidance:

LEARN MORE: NRF and NIMS

The *National Response Framework Resource Center*, at <http://www.fema.gov/emergency/nrf/mainindex.htm>.

FEMA's *NIMS Integration Center* at <http://www.fema.gov/emergency/nims/index.shtm>.

The NIMS Document (which provides an overview of the major elements of NIMS) at <http://www.fema.gov/pdf/emergency/nrf/nrf-nims.pdf>.

- **Emergency Support Function Annexes (ESFs)**, which group capabilities and resources into those functions that would most likely be needed during an incident (e.g., Transportation, Communications, Public Works, Engineering, etc.). Historic properties and natural and cultural resources are covered in ESF#11 - Agriculture and Natural Resources.

The coordinating federal agency for ESF#11 is the Department of Agriculture, the primary agencies (defined as federal agencies with significant resources, authorities, or capabilities for a particular function within an ESF) are the Department of Agriculture and the Department of the Interior. In practice, National Park Service teams (part of the Department of the Interior) were the first cultural resources personnel allowed into the areas affected by Hurricane Katrina in 2005. The National Archives and Records Administration, the Advisory Council on Historic Preservation, the Heritage Emergency National Task Force, and the Council of State Archivists are named as supporting agencies concerned with recovering cultural resource collections.

The ESF structure is also used by many states to designate functions within the state emergency operations plan (EOP). In many cases (although not all) state ESFs follow the structure of the federal ESFs. In some states, however, cultural resources may be addressed within a different state ESF, and in some cases they may not yet be included in the state EOP.

- **Support Annexes**, which focus on coordinating and executing common activities needed to support incident management. Support annexes address the following areas: critical infrastructure and key resources; financial management; international coordination; private-sector coordination; public affairs; tribal relations; volunteer and donations management; and worker safety and health. As with ESFs, each annex is managed by one or more coordinating agencies and supported by various cooperating agencies.

The Critical Infrastructure and Key Resources (CIKR) Support Annex is divided into a number of sectors, which include the National Monuments and Icons Sector, coordinated by the Department of the Interior. Cultural resources (including essential continuity of operations records) are not specifically named in the CIKR Support Annex Sectors, but the term “assets” as used in the CIKR Support Annex is intended to include electronic and non-electronic records necessary to the continuity of government, economic security, etc.

- **Incident Annexes**, which address specific contingency or hazard situations. These include: biological, catastrophic, cyber, food and agriculture, nuclear/radiological, oil and hazmats, and terrorism incidents.

The NRF Structure for Response

Local Community/County Level

At this level, local first responders use the Incident Command System to manage the incident. If the incident is complex or dispersed over a large area, or if there are multiple incidents involved, an area command may be established. If the incident commander determines that additional assistance is needed, he or she will contact the local emergency operations center (EOC). Larger communities or counties may have a permanent staffed EOC directed by a full-time emergency manager, while in smaller communities or counties an EOC may be established as needed during an emergency.

State Level

Emergency operations are coordinated from the state emergency operations center (EOC); every state maintains an EOC that can expand as necessary to accommodate incidents that need state-level assistance. The state EOC's role is to ensure that those at the scene have the resources they need; the local incident command structure continues to direct on-scene activities. Personnel at the state EOC report to the governor, and they serve as liaisons between local and Federal personnel as needed.

If more resources are required than the state has available, it may request assistance from other states through interstate mutual aid and assistance agreements such as the [Emergency Management Assistance Compact \(EMAC\)](#).

If additional assistance is needed at the federal level, this assistance must be requested by the governor. Federal support to a state is generally coordinated through a Joint Field Office (JFO). A Unified Coordination Group, consisting of senior state officials and representatives from key federal departments and agencies, is established at the JFO. The NRF calls for the governor to appoint two senior officials to work with Federal officials at the JFO: the State Coordinating Officer (SCO) and the Governor's Authorized Representative.

**LEARN MORE ABOUT
NRF Response Structures**

See [Stafford Act Support to the States](#) for an overview of the actions undertaken by Federal agencies to support state, tribal, and local governments affected by a major disaster.

Federal Level

If the incident exhausts local, state, and mutual aid resources, the governor may request federal assistance, including assistance under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (known as the Stafford Act). This might involve an emergency declaration (for an emergency limited in scope) or a Presidential major disaster declaration in a more catastrophic situation. This request is made through the Federal Emergency Management Agency (FEMA) Regional Administrator.

Structures are in place to facilitate federal assistance to the states. The Department of Homeland Security maintains the National Operations Center (NOC), which includes the National Response Coordination Center (NRCC), FEMA's primary operations management center for most national incidents and the focal point for coordinating resources nationally. Each of FEMA's ten regional offices maintains a Regional Response Coordination Center (RRCC). When necessary, one or more of the 15 ESF teams will be activated by FEMA and coordinated through the NRCC. They may provide support and services at the national, regional, and local level as needed. Other response tools that have been established to provide assistance in the field are Incident Management Assist Teams (IMATs), the Hurricane Liaison Team (HLT), Urban Search and Rescue Task Forces, and Mobile Emergency Response Support.

As already noted, federal assistance is managed through the JFO, a temporary federal facility that acts as a central location for coordination of federal response efforts. The JFO is organized using standard NIMS/ICS structures and led by the Unified Coordination Group (note that the composition of this group will vary according to the size and complexity of the incident). The group may include a Principal Federal Official (PFO, usually only required in extremely complex incidents) and/or a Federal Coordinating Officer (FCO), a senior FEMA official who coordinates federal support activities for Stafford Act events.

For more information on structures for incident management, see the [National Response Framework Document](#).

STARTUP

Within each state, the *Framework* has been distributed to the state library, state archives, and state museum (or other equivalent agencies). It is hoped that one or more of these institutions will convene an initial startup meeting that includes a small number of institutions within the state who have expressed interest in the project. This meeting will begin building relationships between the participants, identify agencies/institutions willing to serve on the Steering Committee for the project, define preliminary goals and objectives for statewide emergency planning, and identify additional institutions that should be involved in the project.

Several meetings will be needed to accomplish the startup goals. To the extent possible, all the suggested outcomes/products should be accomplished before moving on to the *Key Relationships and Goals* component of the *Framework*, which will bring in a larger group to establish additional relationships and refine the mission and goals of the project.

Objectives

- Begin building relationships between state agencies/institutions/organizations with a strong interest in emergency preparedness.
- Begin putting together a structure (e.g., a Steering Committee, an agency/institution willing to act as the initial point of contact with the state emergency management agency) that will guide the emergency planning process on a long-term basis.
- Identify additional agencies/institutions/organizations that should be included in the planning process.
- Begin to articulate statewide emergency preparedness needs and a mission/goals for the planning process.
- Plan for future meetings.

First Steps

- **Identify and contact participants.**

The participants in this meeting will comprise the initial Steering Committee for the statewide planning project. Ideally, they should represent as many different types of agencies/institutions/organizations within the state as possible—**but it is also very important to choose participants carefully and to limit the actual number of participants**. This will facilitate frank and productive discussion, and result in quicker and more effective decision-making.

Choose participants who have both a strong interest in making the project happen and administrative approval/authority for their participation. Depending on circumstances within the state, it may be best to limit the initial meeting to representative state agencies and to invite other key agencies/institutions/organizations to join the Steering Committee as the project moves along.

While there are consistent types of state agencies and organizations found within the states, there are different organizational models within each state (and within each region of the country). In general members of the Steering Committee might be drawn from the following:

- agency/agencies with authority for dealing with cultural resources statewide (e.g., state library, state archives and records management program, state museum, etc.);
- other cultural resource institutions/organizations, especially if certain institutions/organizations are particularly active within the state and fill a need that is not filled by a state agency (e.g., an active state or regional museum association in a state without a state museum);
- the state emergency management agency; and
- Federal agencies that manage cultural resources within the state (e.g., National Archives regional offices, National Park Service regions).

See [Appendix E: Suggested Participants](#) for more information about choosing participants for *Framework* meetings.

- **Have the invited participants fill out the [Initial Assessment Tool](#).**

This questionnaire gathers information about the preparedness of the institutions that make up the Steering Committee, about the relationships that already exist among various types of agencies/institutions within the state, and about existing emergency preparedness activities on the state level. Gathering information about these issues ahead of time will facilitate discussion during the startup meeting(s).

- **Ensure that invited participants are familiar with the Incident Command System (ICS) and the National Response Framework (NRF) prior to the initial meeting.**

This can be done in brief by reading the section on [Standard Emergency Management Protocols](#) in *How to Use the Framework*, or in more depth by taking online or other training.

Topics for Discussion

- **Facilitate general information sharing.**

- Provide time for introductions of the participants and have them share their background and goals for the meeting.

- **Form a Steering Committee that will guide the planning process.** Which agencies or institutions are best situated to coordinate statewide planning efforts? Depending on circumstances, one agency may take the lead, or leadership may be shared. Keep in mind that the composition of the Steering Committee may change over time as circumstances change and additional participants are brought into the process.

Institutions on the Steering Committee must have staff members with a strong interest in making the project happen and skill sets that enable them to lead successfully. Administrative authority for those staff to carry out statewide emergency planning activities is also essential. Training in emergency preparedness and familiarity with ICS and the NRF is also highly desirable.

- **Identify an agency/institution that is willing to serve as the initial point of contact (POC) for emergency response efforts for cultural institutions.** This institution will act as the POC to relay information in a large-scale emergency from the cultural community to state emergency management officials. These duties will be addressed more specifically in the *Preparing for Response* component of the *Framework*, and it is possible that these duties may be transferred to another agency/institution later in the

PLANNING TIP

See [Appendix D: Sample Meeting Agendas](#) for a sample agenda for a Startup Meeting.

planning process—but it is important to designate such an agency/institution early on since an emergency can occur at any time. In general, desirable characteristics in a lead institution include:

- authorization to lead disaster response activities
- excellent communication capabilities (e.g., secure web site, backup communications system)
- availability of discretionary funds
- access to transportation
- a “safe” collection (e.g., likely to have minimal problems in an area-wide emergency)
- staff members trained in emergency preparedness and familiar with the Incident Command System

- **Discuss the responses to the Initial Assessment Tool.**

- The status of emergency preparedness within the individual institutions participating in the meeting.
- Participants’ sense of the general preparedness of different types of institutions within the state (e.g., archives, public libraries, museums).
- Existing relationships among different types of agencies/institutions within the state, and areas in which improvement is needed.
- State-level emergency planning activities that are already happening within the state, including regional activities.

PLANNING TIP

Do not get sidetracked by extensive discussion of emergency preparedness within individual institutions.

Discussion of individual institutions should focus on the abilities of the participating institutions to lead the statewide planning/response efforts.

- **Identify key components of a mission statement for the planning process, as well as initial goals and next steps.** The end product of this discussion should be a draft mission statement and list of goals/next steps that can be taken to a larger *Key Relationships and Goals* meeting for further discussion.

When addressing mission/goals/next steps, general points for discussion might include:

- **What types of cultural resources will be addressed in the statewide emergency planning process?** Options might include collections open to the public, vital records, public records in general, library and archives collections, museum collections, etc. Limiting initial planning to certain types of collections may be more politically realistic. While the ultimate goal is to protect all types of cultural resource collections, certainly essential continuity of operations records are the most obvious cultural resources to be considered **critical infrastructure** (see [Glossary](#) for definition) by the emergency management community. Beginning by concentrating on essential continuity of operations records may pave the way for other types of cultural resources to be included.
- **What are the most important emergency preparedness needs within the state?** Based on their discussion of responses to the Initial Assessment, what do the Steering Committee members feel are the primary areas of need at the state level? What areas/locations are at the highest risk within the state? These questions should be considered broadly at this point (e.g., mechanisms for making resources/equipment available in an emergency, methods for communication during an emergency, priorities for salvage, etc.).
- **How should the statewide emergency planning effort be structured?** While it is relatively straightforward to identify and bring together those agencies/institutions/organizations that should be major players in the planning process in smaller states, this is more of a challenge in larger states that encompass a large geographic area and have an extremely large and varied cultural community. In some cases it may be a good idea to begin a planning initiative in one part of the state and extend it to other parts in future, or to begin parallel but related planning initiatives in different regions of a state.

- **What additional agencies/institutions/organizations should be brought onto the Steering Committee and/or involved in the planning process in other ways?**
 - Bringing in the state emergency management agency should be a high priority if it is not already involved. If possible, a representative from the planning section of the state emergency management agency should be involved in the planning process from the beginning.
 - Federal agencies (e.g., NARA, NPS regional offices) that manage cultural resources within the state can also be a valuable resource for planning and emergency response, although making initial contact with these agencies may be challenging in some regions. Some are more involved with institutions within their region than others, and there are not always mechanisms in place to help identify the appropriate contact people. The National Park Service in particular has received a new mandate after Hurricane Katrina to expand its emergency assistance to other cultural resources outside of the NPS parks when this is in the interest of the federal government.
 - In some states it may be particularly challenging to bring museums into the planning process. The museum community may be small and may not have the benefit of leadership from a state agency or other organization. In addition, the wide variety of museum types (e.g., art museums, historic sites, zoos) can work against collaboration. Museums hold important cultural resources, however, and every effort should be made to involve them in the statewide emergency planning effort. In the absence of a state agency or professional organization, a prominent museum within the state could be asked to participate. In this case, it would be best to start by contacting the museum director to identify the most appropriate representative(s) from the institution. In some cases, the facility manager may be the person most involved with security and preservation issues, while in others the collections manager/curator may be the most knowledgeable about preservation needs.

Suggested Outcomes and Products

Note that all outcomes and products in the *Startup* component should be completed to the extent possible before moving on to the *Key Relationships and Goals* component.

- Written summary of the responses to the Initial Assessment.
- Written list of Steering Committee members, of any other institutions/organizations participating in statewide planning efforts thus far, and of the agency/institution that will serve as the point of contact (POC) with emergency management personnel.
- Written list of additional institutions/organizations to be contacted for membership on the Steering Committee or other participation.
- Draft of an overall mission statement for the statewide planning effort, for discussion by a larger group of participants in a *Key Relationships and Goals* meeting.
- Draft list of initial goals and next steps for the planning process, for discussion by a larger group of participants in a *Key Relationships and Goals* meeting.
- A date for one or more additional *Startup* meetings or conference calls, as needed.
- A date for a *Key Relationships and Goals* meeting.

Resources

- A list of key organizations in each state (state and federal emergency management; state and regional organizations for libraries, archives, and museums; conservation centers) can be found within [dPlan](#). This online disaster planning tool assists individual cultural heritage institutions in preparing disaster plans and provides lists of state-specific resources for disaster planning and recovery. Please note that in order to access this information, you must create a dPlan account (which is free of charge).
- See <http://www.nps.gov/history/nr/shpolist.htm> for links to State Historic Preservation Offices.
- See <http://www.archives.gov/locations/regional-archives.html> for locations of the National Archives and Records Administration regional archives.
- See www.nps.gov for the National Park Service's seven regions.

DRAFT

KEY RELATIONSHIPS AND GOALS

This component of the *Framework* builds on the activities undertaken during the startup phase. It should get input from additional participants and refine the mission and goals for the project. This series of meetings should include additional participants from other important agencies, institutions, and organizations with an interest in safeguarding cultural resource collections in the state and region.

The meetings should encourage discussion and interaction between the participants, focusing on raising awareness of similarities and differences among agencies/institutions, and on building relationships.

As with the *Startup* phase, the *Key Relationships and Goals* component of the *Framework* will require more than one meeting of the participants to accomplish its goals. Some of the activities undertaken in this component will be ongoing throughout the planning process (e.g., maintaining existing relationships and building new ones as appropriate; and re-evaluating goals and objectives as circumstances change), but at a minimum participants should establish a basic list of prioritized topics to be addressed and a basic timeline/plan for doing so before moving on to the other components of the *Framework*.

Suggested Participants

Again, the number and type of participants will vary depending on the state. This component of the *Framework* provides a chance to include additional agencies/institutions/organizations that were identified in previous phases. See [Appendix E](#) for a list of possible participants, which distinguishes primary (crucial) and secondary (desirable but not absolutely necessary) participants.

Objectives

- Continue building relationships between a variety of agencies, institutions, and organizations within the state.
- Produce an approved mission statement and written plan for future statewide emergency preparedness activities based on the drafts provided by the Steering Committee.
- Consider how individual institutions/organizations within the cultural community can be educated and kept up to date about statewide emergency planning.
- Identify possibilities for funding emergency planning and response activities.

Topics for Discussion

- **Facilitate general information sharing:**
 - Summarize: discussions that took place during the *Startup* meeting(s); any emergency planning activities already underway (including statewide, in-state regional, and relevant multi-state

PLANNING TIP

See [Appendix D: Sample Meeting Agendas](#) for a sample agenda for a Key Relationships and Goals meeting.

regional efforts); and the mission statement and general goals that have been set by the Steering Committee.

- Provide time for introductions of the participants and have them share their interests and priorities for the meeting.
- **Identify any agencies/organizations that are not yet represented and should be included in future meetings.** Consider whether additional contacts should be made regionally (i.e., beyond the state), and how those agencies/organizations should be included in statewide planning (e.g., FEMA districts). For FEMA regional contacts, see <http://www.fema.gov/about/contact/regions.shtm>.
- **Discuss the draft mission statement provided by the Steering Committee.** This should be revised as needed, and approved by the group.
- **Discuss the draft list of initial goals/next steps provided by the Steering Committee, and produce a list of important issues to be addressed, or a more detailed written plan for future activities if possible.** It may be helpful to review the suggested components of a statewide disaster plan (see [Appendix C](#)) and the topics in the various sections of the *Framework* (e.g., *Risk Analysis*, *Preparing to Respond*, and *Training*). Some of the discussion points suggested in the *Startup* section may also be revisited here. In particular:
 - What emergency planning issues have the highest priority within the state? Steering Committee members should lead this discussion, beginning with a summary of their own previous discussions.
 - How will the planning effort be structured? Discuss formation of committees to address specific topics and frequency and location of meetings.
- **Consider strategies for informing individual institutions about the planning activities of the planning group.** Will it be possible to hold an Alliance for Response type meeting to share information with them? Can information be shared via other means, such as a website?
- **Discuss possibilities for funding emergency planning activities within the state,** using existing resources and brainstorming new sources of funding. Discuss how to build the relationships needed to make funding happen.

LEARN MORE ABOUT: THE ALLIANCE FOR RESPONSE

Since 2003, Heritage Preservation's **Alliance for Response** has held a number of forums dedicated to building partnerships between cultural heritage organizations and first responders. See <http://www.heritagepreservation.org/programs/AFRmain.HTM> for descriptions of the forums, held in Texas, Massachusetts, Ohio, New York, Washington, California, Georgia, and Pennsylvania. Several states have established ongoing disaster planning initiatives as a result of these forums.

Suggested Outcomes and Products

Essential

(Relatively small effort/cost, and essential to the success of the planning effort)

- Written list of agencies/institutions/organizations participating in statewide emergency planning efforts thus far.
- Written list of additional institutions/organizations to be contacted for membership on the Steering Committee or other participation.

- Revised mission statement for statewide emergency planning for cultural resources, approved by the participants.
- Basic list of the most important statewide emergency planning issues to be addressed.
- Date(s) for additional meetings of this group.

Enhanced

(Additional effort/cost; highly desirable, and will move the planning effort to a higher level)

- Detailed, written plan for proceeding with statewide emergency planning for cultural resources (e.g., prioritized issues to address, committee structure for the planning effort, future meeting schedule, and participants for future meetings).
- Website or wiki to communicate information about the activities of the emergency planning group to individual institutions/organizations within the state.

Excellent

(Requires significant effort/funding; part of a comprehensive planning program)

- Alliance for Response type meeting to communicate information about this project to individual institutions/organizations within the state.
- List of possible funding sources for emergency planning activities.

CASE STUDY: CEMT

As a result of its participation in Alliance for Response forums, Massachusetts has created the Cultural Emergency Management Team (CEMT) to improve mitigation, response, and recovery efforts for cultural resources in the state (see <http://www.nedcc.org/cemt/cemt.htm>). This is a volunteer group of cultural preservation specialists, first responders, and representatives of FEMA, the Massachusetts Emergency Management Agency (MEMA), and the Boston Emergency Management Agency (BEMA). CEMT initiatives include the establishment of a Disaster Cultural Assistance “strike team,” as well as training for individual institutions on ICS, mitigation, and preparedness.

Resources

Heritage Preservation. *Alliance for Response Forum Handbook*. 2008.

Before and After Disasters: Federal Funding for Cultural Institutions, September 2005, available at www.heritagepreservation.org/pdfs/disaster.pdf.

RISK ANALYSIS AND MITIGATION

This section of the *Framework* focuses on risk analysis and risk mitigation on a statewide basis (although regional planning should also be considered, since both hazards and actual disasters cross state lines). While programs that encourage risk mitigation on an individual institutional level may be part of the larger statewide effort, they are not the primary concern in this context.

Analyzing risks statewide or regionally involves considering geography, common weather patterns, past events, and the hazards they create. States should consider how the types and location of risks will affect emergency planning and coordination for cultural resources (e.g., communication plans, formation of response teams, etc.). It is also important to prioritize identified risks; since it is impossible to deal with every risk, the most dangerous and/or most likely risks should be addressed first.

During the process of risk analysis, meeting participants are strongly encouraged to utilize and build on work that has already been done by state hazard mitigation officials. Each state is required by the Disaster Mitigation Act of 2000 (DMA 2000) (P.L. 106-390) to have a standard state hazard mitigation plan that is updated every three years in order for the state to receive FEMA grant assistance through the Hazard Mitigation Grant Program (HMGP, a grant program that provides federal funds after a disaster to reduce or eliminate future risks from natural hazards). States that develop an enhanced hazard mitigation plan (a plan that provides for increased statewide coordination and integration of mitigation activities) are eligible for increased funding through the HMGP.

The goals of the cultural community in this component of the *Framework* should be to focus on the statewide risks that threaten cultural collections, to prioritize those risks, and to consider ways to mitigate them. Meeting participants may find it useful to appoint committees or task forces to address different aspects of risk analysis and mitigation, such as assigning committees to regions within the state that face similar risks (e.g., coastal areas, earthquake zones). This will be particularly helpful in larger and more populous states. This section of the *Framework* should be revisited through additional meetings as needed, moving gradually from the Essential to Excellent levels as objectives are achieved.

Risk Terminology

The emergency management community defines a **hazard** as a source of potential danger or adverse condition; a **risk** is defined as the likelihood of a hazard event occurring and the impact that a hazard event would have on people, services, facilities, and structures. In the context of cultural resources, this would mean the likelihood that a particular hazard would affect an institution, and the consequences of that hazard event on the buildings housing the collections, on the collections themselves, on the institution's staff, and/or on the services provided by the institution.

The process of **risk analysis** involves identification of potential risks (e.g., what hazards could impact the specific institution or area, and in what way), assessment of the likelihood of specific hazard events occurring, and analysis of the relative effect of each of these events on the institution. Risks are often described in relative terms such as high, moderate, or low, and a prioritized list of potential risks is produced.

Risk management is the umbrella term used in the emergency preparedness field to describe the process of deciding how risks will be addressed; options include reducing risk through **risk mitigation** (preventive actions to minimize the impact of an event) and **preparedness** (activities to encourage quick response that minimizes damage), transferring the risk (e.g., through insurance), or avoiding the risk (e.g., taking action to ensure that a specific hazard no longer has an impact).

Suggested Participants

As previously noted, participants will vary depending on the state. Participants should include those that have taken part in previous meetings, as well as any other appropriate participants from the list in [Appendix E](#). In addition, participants specifically involved in statewide hazard mitigation efforts should be invited to take part:

- **Representative from the state hazard mitigation team.** The mitigation planning structure differs among states, but planning is often coordinated through the state emergency management agency.
- **FEMA regional office.** For FEMA regional contacts, see <http://www.fema.gov/about/contact/regions.shtm>. In some cases there will be a Mitigation Division or Mitigation Contact, or the Environment and Historic Preservation Contact may be a good resource.

Objectives

- Share information among participants, with the goal of identifying the most dangerous and/or likely hazards statewide and determining how they might affect cultural resource collections within the state.
- Raise awareness at state and federal emergency management agencies of the ways in which identified risks might affect cultural resource collections.
- Prioritize major risks within the state in the context of cultural resource collections.
- Develop strategies to manage identified risks in the context of cultural resource collections.
- Develop strategies to include cultural resource institutions in the overall state hazard mitigation plan, if they are not already included.

Meeting Preparation

- **Gather the following information from the existing state hazard mitigation plan** (See FEMA's Hazard Mitigation website at <http://www.fema.gov/plan/mitplanning/applans.shtm> for a list of approved state plans):
 - **List the major hazards that have been identified within the state.** Indicate which have been designated within the state mitigation plan as potentially the most frequent and/or most severe. If some hazards are specific to certain geographic areas within the state, indicate this as well. Be aware that some state mitigation plans (usually those that have not been recently updated) may include only natural hazards, but there may be other state agencies in charge of planning for various manmade hazards.
 - **Summarize existing risk mitigation efforts within the state.** The state mitigation plan will have a mitigation strategy and an action plan that lists activities, timelines, resources, and rationales.
- **Gather existing lists/directories/databases of various types of cultural resource institutions in the state.** Participants should be asked to contribute these by area or type of institution, and locations should be included to the extent possible.
- **Gather information on grant programs for risk mitigation.** FEMA administers several such grant programs (the Hazard Mitigation Grant Program, Flood Mitigation Assistance, and Pre-Disaster Mitigation) for which some state agencies, local governments, and certain private non-profit institutions or organizations may be eligible, either as a primary applicant or a sub-grantee. If the state in question has additional programs for mitigation, particularly any geared toward cultural institutions, these should be included also.

**LEARN MORE:
HAZARDS**

See FEMA's *Get Disaster Information* website at <http://www.fema.gov/hazard/index.shtm> for information about different types of manmade and natural hazards. Common hazards include flooding, tornados, winter storms, dam failure, coastal erosion, earthquake, wildfire, and drought.

Topics for Discussion

- **Consider strategies for putting together lists of cultural resource institutions in the state, with the ultimate goal of integrating Geographic Information System (GIS) data for cultural resource institutions into a statewide GIS mapping system.** What lists already exist, and which need to be created? A number of states have collected or are in the process of collecting GIS information about various types of institutions and organizations. For an example, see [Mass GIS](#) (the Massachusetts Geographic Information System), which includes data layers such as infrastructure, political/administrative boundaries, and some cultural resources.
 - **It is strongly suggested that a separate committee/task force be appointed to investigate options and report back to the larger group.** Lists of cultural resources/GIS data will be useful not just for risk mitigation efforts, but also for emergency response efforts. Strategies for putting together this data will be revisited in the *Preparing for Response* component.
- **How can awareness be raised within the emergency management community about the importance of recovering essential continuity of operations records?** How will the cultural resource community work with state and local emergency management agencies to ensure that recovery of essential continuity of operations records is included in the state and local emergency plans?
- **What is the best method of surveying cultural resources within the state to identify significant/important records and collections, as well as essential continuity of operations records on the state level?** Consider looking at regions within the state and building teams within each region to identify significant/important and/or essential cultural resources within that region. Consider the use of online surveys to identify cultural resources. How might city and county records be included in the inventory process? How can local emergency managers be included in this process?
- **Which hazards identified in the state hazard mitigation plan might affect cultural resource collections in future?** To the extent possible, include potential regional disasters that might affect the state, or part of the state. Considerations might include:
 - Some of the hazards covered in the state mitigation plan may have less effect on cultural resource collections (e.g., drought), and some risks might have the potential to affect collections but have less effect on life and property (e.g., an ice storm).
 - Past emergencies in the state that have affected cultural resource collections. Emergencies/disasters that have happened in the past have a higher probability of happening again, particularly if the cause has not been mitigated. Information about past disasters is usually summarized in the state hazard mitigation plan.
 - The geographic distribution of cultural resource institutions in relation to identified hazards. There may be large numbers of cultural institutions located in an area subject to a

WHAT IS GIS?

“A GIS (geographic information system) is a computer system capable of capturing, storing, analyzing, and displaying geographically referenced information; that is, data identified according to location. Practitioners also define a GIS as including the procedures, operating personnel, and spatial data that go into the system.” – from the [U.S. Geological Survey Geographic Information Systems Poster](#).

GIS systems store map features and data (known as attributes) as layers. These layers can be placed over each other, making it possible to compare information and draw conclusions. Examples in the context of cultural collections and emergency planning might include:

- A layer showing the locations of public libraries could be placed over a layer showing flood zones to identify vulnerable institutions.
- A layer showing the locations of cultural resource collections in a particular area may make it easier for emergency response staff to locate essential records for salvage after a disaster.

PLANNING TIP

See [Appendix D: Sample Meeting Agendas](#) for a sample agenda for a *Risk Analysis and Mitigation* meeting.

particular hazard, and very few located in areas subject to other hazards. What records in the state are particularly vulnerable to various types of hazards due to their location?

- **Rate the vulnerability of cultural resource collections to specific hazards on a statewide basis.** Which risks are the most likely to cause serious damage to cultural resources? Which areas of the state are most at risk from various types of disasters, and where do different types of risks overlap? Wherever possible, use the categories already in place in the state hazard mitigation plan to rate the vulnerability of cultural heritage institutions to specific hazards.
 - The significance/importance of the cultural resources affected should be considered when assessing vulnerabilities, but it can be a challenging (and contentious) process to assign relative importance to different types of institutions and collections. The issue of setting priorities among institutions and collections will be considered further in the *Preparing for Response* component, so it may be desirable to revisit the process of rating risks at a later meeting in the context of that discussion.
- **Decide which of the identified risks to cultural resources should be addressed first; it is best to pick a manageable number of risks (one or two).** The group might also choose to concentrate first on particular geographic areas (e.g., coastal areas, or floodplains, or areas with the highest concentration of cultural resource institutions). As the planning process moves on (especially after more information is available about the location/content of specific institutions/collections) this discussion can be revisited in future meetings to identify additional risks that should be addressed.
 - **Put together committees or task forces to investigate mitigation options for the risks that will be addressed first.** Depending on the type of risks identified, consider putting together teams/committees to address mitigation issues in geographic areas where institutions face similar risks (e.g., floodplains, coastal areas, forested areas, urban areas) or to address mitigation of specific types of risks (e.g., hurricane, flooding, earthquake).
- **Discuss strategies for including cultural resource agencies/institutions in the state hazard mitigation plan.** What outcomes/products could be produced from these meetings that could be added to the state hazard mitigation plan? Ask for suggestions from state mitigation planning officials.
- **Devise strategies for encouraging collaborative mitigation activities to reduce risks for individual institutions in high risk areas** (e.g., undertaking preventive maintenance, installing protection systems, providing adequate insurance, storing duplicates of essential continuity of operations records outside the area). Brainstorm potential strategies for communicating with institutions/agencies in high risk areas and encouraging them to carry out these activities. What communication strategies would be most cost-effective? What strategies would reach the most institutions?
- **Identify funding sources for collaborative risk mitigation in the state.** See FEMA's mitigation website at <http://www.fema.gov/plan/mitplanning/index.shtm#3> for information on grant programs, including the Flood Mitigation Assistance (FMA) and Pre-Disaster Mitigation Program (PDM). While private non-profit organizations are not eligible, applications can be made by eligible agencies for assistance that will benefit them. Also, consider the possibility of developing additional funding sources for specific mitigation activities for cultural resource institutions (e.g., site visits, facilitating duplication of essential records, building improvements).
- **Consider strategies for encouraging cultural agencies/institutions to develop COOP (continuity of operations) plans, particularly those that hold essential public records.** COOP plans minimize the effect of an emergency on an agency/institution's essential functions, so that they can assist others in recovery efforts and resume providing services to their users as quickly as possible. Consider educational brochures, workshops, and other strategies.

Suggested Outcomes and Products

Essential

(Relatively small effort/cost, and essential to a successful planning effort)

- A list of cultural resource institutions in the state (bring together lists from geographic areas or by type of institution).
- Appointment of a committee/task force to investigate GIS options.
- A prioritized list of statewide risks to cultural resources. Categories/rating systems should match those used in the state mitigation plan. Indicate which risks will be addressed first in statewide planning.
- Appointment of committees or task forces to further address risk mitigation issues.
- Low-cost strategies for reaching out to institutions in high risk areas, e.g. educational brochures , web sites, promotion of participation in [MayDay](#) and other preparedness campaigns. The goal should be to encourage collaborative mitigation activities.

Enhanced

(Additional effort/cost; highly desirable and will move the planning effort to a higher level)

- A strategy for including cultural resources in future revisions of state hazard mitigation plan.
- Cooperate with existing GIS initiatives to create data layers that show the location and basic attributes of cultural resource agencies and institutions.
- Facilitate exchange of duplicate essential records between institutions/regions/states for security purposes.

Excellent

(Requires significant effort/funding; part of a comprehensive planning program)

- Additional activities (e.g., workshops) to encourage collaborative risk mitigation among individual institutions.
- Program to facilitate duplication of essential records (possibly grant-supported), and provide security storage for duplicate records.
- Activities to encourage individual institutions to develop emergency plans and COOP plans. Possibilities include requiring completion of emergency plans/continuity of operations (COOP) plan to receive state grants for other purposes, undertaking risk assessments, or providing grants to assist institutions in developing institutional emergency plans/COOP plans.
- Program to provide site visits to cultural institutions to encourage collaborative mitigation activities and preparation of individual emergency plans (possibly grant-supported).
- Inclusion of collection significance/importance attributes in existing GIS data layers for cultural resources.

Resources

FEMA Mitigation Planning Documents

A series of how-to guides designed for states, Tribes, and local governments.

- [Getting Started: Building Support For Mitigation Planning \(FEMA 386-1\)](#)
- [Understanding Your Risks: Identifying Hazards And Estimating Losses \(FEMA 386-2\)](#)
- [Developing The Mitigation Plan: Identifying Mitigation Actions And Implementing Strategies \(FEMA 386-3\)](#)
- [Bringing the Plan to Life: Implementing the Hazard Mitigation Plan \(FEMA 386-4\)](#)
- [Using Benefit-Cost Review in Mitigation Planning \(FEMA 386-5\)](#)
- [Integrating Historic Property and Cultural Resource Considerations into Hazard Mitigation Planning \(FEMA 386-6\)](#). Note that this document is written primarily from the perspective of preservation of historic buildings rather than collections.
- [Integrating Manmade Hazards Into Mitigation Planning \(FEMA 386-7\)](#)
- [Multi-Jurisdictional Mitigation Planning \(FEMA 386-8\)](#)

FEMA Disaster-Resistant University Documents

- [Building A Disaster-Resistant University \(FEMA 443\)](#)
- [Building Partnerships to Reduce Hazard Risks \(FEMA L-265\)](#). Covers the benefits to both universities and their local communities when they collaborate to reduce risks. Includes a list of public and private sector resources that provide planning assistance to academic institutions.

FEMA's [Risk Management Series](#) (includes publications on protecting public buildings against of terrorist attacks and natural disasters)

Sample State Mitigation Planning Documents

- State of Wisconsin Hazard Mitigation Plan (see ftp://doaftp04.doa.state.wi.us/wem/Hazard_Mitigation_Plan/Index.htm)
- *Resource Guide to All Hazards Mitigation Planning* in Wisconsin, at <http://emergencymanagement.wi.gov/docview.asp?docid=118&locid=18>)
- Massachusetts Emergency Management Agency - Natural Hazards Mitigation Planning: A Community Guide (see <http://www.mass.gov/dcr/stewardship/mitigate/hazguide.pdf>)
- Commonwealth of Massachusetts State Hazard Mitigation Plan (see http://www.mass.gov/Eeops/docs/mema/2004_ma_approved_state_hm_plan.pdf).

Geographic Information Systems (GIS)

- U.S. Geological Survey [Geographic Information Systems poster](#).
- ESRI [Guide to Geographic Information Systems](#) website.
- Massachusetts Executive Office of Environmental Affairs, Office of Geographic and Environmental Information. [Getting Started with GIS: A Guide for Municipalities](#), October 2002.
- [Massachusetts Geographic Information System](#) (MassGIS).

COOP Plans

- FEMA's [Continuity of Operations \(COOP\) Resources](#)
- FEMA's Emergency Management Institute online course, [IS-547 Introduction to Continuity of Operations \(COOP\)](#).
- FEMA [Continuity of Operations \(COOP\) Plan Template Instructions](#), and [Continuity of Operations \(COOP\) Plan Template](#).

DRAFT

PREPARING FOR RESPONSE

This section of the *Framework* focuses on preparation for the response and recovery phases of an emergency. Planning ahead and building relationships between the cultural resource community and first responders will make initial response much more efficient and effective. In general, the term **initial response** is used to refer to the first 24 to 48 hours of an emergency. Crucial to an effective response are: knowledge of the cultural resource community's needs during and after the emergency; the ability to acquire resources to respond to those needs; and an understanding of how those needs will be prioritized by emergency management personnel as part of the overall community response to the emergency.

In order to achieve these goals, the cultural resource community must coordinate its response efforts, maintain clear lines of communication within its own community during an emergency, and plan ahead for one primary point of contact between the cultural resource community and local and state emergency managers. The primary goal of the *Preparing for Response* component is to produce a specific statewide emergency plan for cultural resources, which would then be integrated with the overall state emergency plan.

Major issues to be considered in this component include command structures within the cultural resource community; methods for communication within the community, coordination of cultural resource response teams; coordination of supplies and services for response; and funding of response and recovery efforts. Additional issues that are important to effective response are: provision of early warning systems for certain types of disasters (e.g., hurricanes); inventorying and evaluating cultural resource collections to identify essential continuity of operations records and other significant cultural resource materials in advance of an emergency; and advocating for the inclusion of essential continuity of operations records in overall state emergency plans.

The Steering Committee may find it helpful to assign committees or task forces for different regions of the state, which would in turn coordinate communication and other response procedures for that region. Alternatively, committees or task forces might be organized by type of institution (e.g., archives, libraries, museums) or by topic (e.g., supplies and services, collection inventory, advance warning).

Particularly in this section of the *Framework*, accomplishing the goals of the section will require multiple meetings over time, perhaps including regional meetings in larger states. Depending on the situation in the particular state, some activities suggested in this section may have already been undertaken, or they may not be applicable. As the planning process moves along, discussion issues and outcomes/products should be revisited as objectives are achieved and circumstances change. Additional activities should build on those that have already been successful.

Suggested Participants

As previously noted, participants will vary depending on the state. Participants should include those that have taken part in previous meetings, as well as additional participants from the list in [Appendix E](#). In addition, the following participants specifically involved in state and federal emergency response efforts should be invited to take part:

- **Representatives from the Operations and Planning divisions of the state emergency management agency.** Specific administrative structures vary among states, but all SEMAs perform these functions. In general, Operations staff manages the state emergency operations center and coordinates statewide response efforts. Planning staff maintain the state emergency plan and often assist local communities in preparing their own emergency plans. Planning staff may be available to assist in putting together an emergency plan for cultural resources.

- **ESF#11 Coordinator (state and federal).** The *National Response Framework* has 15 Emergency Support Function Annexes (see [Standard Emergency Management Protocols](#) for more information). Cultural resource collections fall under ESF#11 (Agriculture and Natural Resources), and each FEMA regional office has an ESF#11 representative with a seat in the Regional Response Coordination Center. For FEMA regional offices, see <http://www.fema.gov/about/contact/regions.shtm>. Many states also follow the federal ESF model (although in some states cultural resources may fall under a different ESF number); if there is a state ESF representative for cultural resources, that person should also be included.
- **Representative of federal agencies that manage cultural resources within the state** (e.g., NARA, the National Park Service)

Objectives

- To identify a lead agency or institution that will coordinate statewide emergency response and recovery on a long-term basis. This agency/institution should be a member of the Steering Committee.
- To build relationships between emergency responders and the cultural resource community.
- To familiarize participants with state level emergency response structures, and with basic response procedures for an area-wide or statewide emergency requiring the salvage of cultural resource collections.
- To determine how command and control of the response for cultural resources will be organized during an area-wide, statewide, or regional disaster.
- To gain a seat for cultural resource institutions at the state Emergency Operations Center.
- To decide how cultural resource institutions will communicate with each other, with emergency management personnel, and with other organizations/institutions in the event of a state or regional disaster.
- To form cultural resource response teams and determine how they will fit into the overall state emergency response structure.
- To ensure that cultural resource response teams have proper credentials ahead of time to allow them on-site access to damaged collections during a disaster.
- To develop strategies for identifying essential continuity of operations records, and particularly vulnerable and significant collections.
- To determine how cultural resource institutions will acquire supplies and services in the aftermath of a disaster.
- To devise appropriate activities in response to advance warning of a disaster.
- To determine how security will be provided for essential continuity of operations records that have been damaged or endangered in a disaster.
- To produce a written emergency response plan for cultural resources that can be integrated with the overall state emergency plan.

Meeting Preparation

- **Collect information about existing lists/databases of supplies, services, and resources** for emergency response and recovery for cultural resources in the state and region.

- **Gather existing lists/directories/databases of various types of cultural resource institutions in the state.** Participants should be asked to contribute these by area or type of institution, and locations should be included to the extent possible. Some of this work may have already been done as part of the *Risk Analysis and Mitigation* component of the *Framework*.

Topics for Discussion

As in previous components of the *Framework*, it may be helpful for the Steering Committee to appoint committees or task forces to further investigate the topics below and report back to the larger group with their recommendations.

- **Discuss previous disasters in the state.** What did and didn't work during response and recovery?
- **Coordination and Communication**

- **What agency/institution will coordinate the statewide emergency response for cultural resources?** What backups will be provided? The cultural resource community should have one institution or organization that is designated as the primary point of contact between the cultural community and emergency managers. Ideally, a representative from this agency/organization should have a seat at the state emergency operations center. All information about the status of cultural resources after the disaster should be funneled to this representative, who should also coordinate requests for supplies and services from individual cultural institutions.
- **In a widespread emergency that affects a large portion of the state, the coordinating cultural agency/institution will need to maintain an emergency operations center for the cultural resources community.** This EOC will collect information and requests for assistance from individual institutions that can then be passed on to the cultural resources representative at the state EOC. Consider who will staff this effort (e.g., can the coordinating agency/institution provide staff members for this purpose?). What provisions will be made for backup staffing in case designated staffers are not available due to the circumstances of the disaster?
- **How will “rank and file” cultural resource institutions communicate with the lead cultural agency/institution for emergency response during and after an emergency?** The goal is to devise clear and straightforward communication channels that allow the lead institution to collect the information it needs to pass along to state emergency response officials. This will ensure that the needs of cultural resources are addressed as quickly as possible and in the most appropriate way.
 - Discuss possible communication methods, including 1-800 number with voice mail, use of existing toll-free conference lines, text messaging, use of website(s), use of wiki or listserv, setting up a cell phone tower, use of ENS technology, etc.
 - What information will need to be collected from institutions? For example, damage to buildings and collections, locations of evacuated staff members, institutional needs (assessment, supplies, services, volunteers, etc.). Procedures must be devised to

PLANNING TIP

See [Appendix D: Sample Meeting Agendas](#) for a sample agenda for a *Preparing for Response* meeting.

gather this information statewide, and all agencies and institutions statewide must be made aware of their responsibility to contact the lead agency with this information.

- Collect participant contact information for preparation of preliminary communication trees.
- **Discuss possible response scenarios and procedures for cultural resources.** Use COSA's [Pocket Response Plan](#) (PReP™) as a starting point.
 - Create a checklist of actions that might be taken during response. Standard ICS response forms should be used to organize and document response activities; the National Park Service has amended some of these to be all-hazard rather than just fire-based.
 - Discuss how to coordinate volunteers. Like supplies and services, this will need to be managed through the existing state emergency management structure.
- **How can relationships between the cultural resource community and the emergency management community be further developed to improve response?** Discuss ways in which the two communities need to share information.

• **Supplies and Services**

- **Coordinate with state emergency operations officials to determine how cultural resource institutions will acquire emergency supplies/services in the event of an area-wide, statewide, or regional disaster.** For large scale emergencies, supplies from outside the region will likely be needed. Supplies, services, and other resources will be under the control of state or local emergency management officials, so cultural resource institutions will need to know the procedures (e.g., by phone, through an emergency management web site) for requesting supplies and services.
 - **Ensure that state emergency management officials are familiar with the types of supplies and services that would be needed by cultural resource institutions.** Collect information (e.g., databases, printed lists) that already exists for such supplies and services, and share it with appropriate officials. Some states may have an online resource database to which cultural resource suppliers/service providers could be added. All resources will need to be typed according to standard ICS procedures.
 - **Ensure that cultural resource institutions are aware of the supplies that they will need within the first 72 hours (e.g., what type of generator?) after a disaster, when it is likely they will be on their own.** In a large disaster, emergency response personnel will conduct a rapid assessment in the first 24 hours once it is safe to do so. This provides a general picture of the status of roads, power, etc. After this is completed they will begin an initial assessment that looks at damage to actual buildings.
- **Discuss creating a “strike force” of qualified conservators and/or preservation professionals to conduct “triage” in the event of a disaster.** Who would participate, and how would costs be handled? Since many states do not have trained conservators or preservation professionals in close proximity, arrangements might need to be made with other states, perhaps through the Emergency Management Assistance Compact

WHAT IS CERT?

Community Emergency Response Team training educates people within the community about disaster preparedness for hazards that may impact their area and trains them in basic disaster response skills, such as fire safety, light search and rescue, team organization, and disaster medical operations.

For more information, visit the Citizen Corps [CERT](#) website.

(EMAC). See www.emacweb.org for general information about EMAC. A group of AIC conservators has received CERT (Community Emergency Response Team) training; what procedures would be needed to activate members of this group?

- Discuss other possibilities for implementing the Emergency Management Assistance Compact (EMAC) in a state or regional disaster.
- **Identify potential temporary storage locations for damaged collections throughout the state that could be used during an area-wide emergency in another part of the state** (will also need to identify potential means of transportation and decide who will manage/coordinate this effort).
- **Discuss arranging for centralized storage of other agencies' and organizations' emergency plans/COOP plans** (provide web access if possible).
- **Early Warning**
 - **Consider monitoring the National Weather Service and other media to identify upcoming hazardous events.** If notification (via email or other means) is to be provided to institutions in parts of the state that might be affected, who would do this?
 - **Consider disseminating instructions on preparing for an emergency when there is advance warning** (e.g., what to do to get ready for a hurricane, flooding, winter storm, etc.). Again, who will do this? How will the information be circulated?
 - **Discuss implementing an early warning system** to notify institutions within the state when an unexpected hazardous event occurs (investigate use of the Emergency Notification System)
- **Collections/Records**
 - **Can salvage priorities be set within the state?** This is a difficult exercise, but these priorities will be set during response whether or not there has been advance planning, so it is best to try to provide guidelines ahead of time. In an ideal world, a representative for cultural resources at the state emergency operations center would take calls from institutions and match them to a prioritized list of institutions/collections.
 - Possible categories for prioritization might be: 1. unique collections; 2. acknowledged value/significance as a cultural resource; 3. necessary for business recovery.
 - Another possible approach would be to create a tiered list of institutions; first tier institutions would be given first priority by emergency responders, and so forth.
 - Discuss methods for keeping track of which records/collections have been backed up and may not require salvage.
 - **How can information about the locations/needs of essential records be shared with emergency management personnel before a disaster?**
 - **Explore strategies for encouraging institutions to prepare collection inventories and back up essential records for storage off site.**
- **Funding and Assistance**
 - **How will response/recovery efforts be funded?**

- **How will offers of assistance be coordinated** (volunteers, professional colleagues, donations of supplies and money, etc.)? Again, this should be coordinated through the state emergency management structure.
- **How might EMAC (Emergency Management Assistance Compact) be used in response/recovery efforts?**
- **Planning**
 - **What will the emergency plan for cultural resources contain (see [Appendix C](#) for suggestions), and who will be responsible for writing it?** Can assistance be provided by the Planning division of the state emergency management agency?

Suggested Outcomes and Products

Essential

(Relatively small effort/cost, and essential to the success of the planning effort)

- A communications plan.
 - A list of cultural resource institutions in the state (bring together lists from geographic areas or by type of institution), and a designated cultural agency/institution that will coordinate response efforts.
 - A plan for collecting information on the status of cultural institutions after a disaster (e.g., the coordinating cultural agency/institution for response, a 1-800 number for individual institutions to report their status), and criteria for activating the communication plan.
 - Procedures for the lead coordinating cultural agency/institution to funnel information to local/state/federal emergency management personnel.
- A basic emergency plan for cultural resources. This should include a checklist of actions that need to be taken during response (use or adapt [PReP™](#)), along with information about how the response will be organized, who will be responsible for coordination of specific activities (include backup personnel), how the response effort will be funded and administered, and how the plan will be maintained and updated. Specific information in the plan should include:
 - Location/contacts (and backup location) for the emergency operations center (EOC) for cultural resources (most likely located at the lead agency/institution), and location/contacts for the local/state/regional emergency management agency EOC.
 - Procedures for requesting emergency supplies/services for salvaging cultural resources from state or local emergency management officials in the event of an area-wide, statewide, or regional disaster.
 - Sample disaster recovery contracts (e.g., vendors, EMAC)
 - Information on salvaging specific types of collections (provide access to articles or provide links) and methods for making them available to emergency responders and cultural institutions within the state (e.g., email, web site, listservs)
- Participation of a cultural resources representative in state emergency management activities (e.g., a place on the state emergency management team/a seat in the EOC). This person would have authority to access resources during disaster response such as:
 - Access to transportation and emergency access to gasoline; access to generators and fuel.

- Access to out-of-state cell phones or satellite phones.
- Access to freezer space for small collections.

Enhanced

(Additional effort/cost; highly desirable, and will move the planning effort to a higher level)

- Cooperate with existing GIS initiatives to create data layers that show the location and basic attributes of cultural resource agencies and institutions (e.g., state and local government agencies, libraries, archival repositories, historical sites, museums, etc.).
- Revisit and enhance the communications plan for response.
 - Add internet-based communication methods – provide appropriate contact information and describe procedures for implementing pre-arranged methods (e.g., web site, wiki, listservs)
 - Add alternative communication methods (e.g., text messaging, setting up a cell-phone tower, using ham radios) – who to contact and what to do
- Revisit and enhance the basic response plan for cultural resources. Other information that might be included:
 - List of potential sites for temporary storage of damaged institutional collections.
 - Procedures for activating members of the AIC CERT team.
 - Procedures for activating EMAC agreements to acquire supplies from other states.
 - Formal agreements between various types of cultural agencies/organizations within the state that designate procedures for emergency response – e.g., MOU (memo of understanding).
 - Procedures for assisting institutions with emergency funding and insurance issues.
 - Security plan (contact information for security companies, procedures for activating National Guard troops, etc.).

Excellent

(Requires significant effort/funding; part of a comprehensive planning program)

- Revisit and enhance the basic response plan for cultural resources. Other information that might be included:
 - Lists of salvage priorities (statewide and within vulnerable areas). Inclusion of collection significance/importance attributes in existing GIS data layers for cultural resources.
 - List/database of potential volunteers/temporary workers who could help with collections salvage. This should be administered through existing state emergency management structures for organizing resources (e.g., included in a statewide resource database in which resources are typed according to ICS procedures).
 - Procedures for use of the Emergency Notification System or other early warning system to provide information to institutions in an unexpected emergency.
 - “Strike Team” of conservators and/or preservation professionals to travel to affected institutions.
- Strategies (workshops, information sharing) to encourage creation of collection inventories within repositories (with backup), as well as the importance of setting salvage priorities within institutions.

- Procedures for evaluating response/recovery efforts after a disaster.

Resources

- Council of State Archivists (CoSA) [Emergency Preparedness Initiative](#).
- Heritage Preservation. [Guide to Navigating FEMA and SBA Disaster Aid for Cultural Institutions](#).
- Heritage Preservation. [Emergency Response and Salvage Wheel](#).
- Heritage Preservation. [Field Guide for Emergency Response](#).
- Heritage Preservation. [Tips for Working with Emergency Responders](#).
- [SOLINET Disaster Wiki](#). The purpose of this wiki is to provide a space where institutions affected by disasters can provide staff contact information and updates about the status of their buildings and collections.

DRAFT

TRAINING

The training section of the *Framework* provides an opportunity to discuss and plan for training needs within the state, and serves as a venue for conducting one or more disaster training exercises. An initial meeting might include a discussion of training needs and perhaps a short case study, while later meetings might include a tabletop or a hands-on training session.

Training needs should be approached from two different perspectives:

- Training in state level response procedures for lead cultural agencies/institutions, emergency management personnel, and first responders; and
- General training for cultural institutions (both those leading the emergency planning initiative and individual “rank and file” institutions) in mitigation, preparedness, and response. While it is certainly important to encourage emergency planning on the institutional level, training should focus primarily on the context of a local emergency affecting a number of institutions, or a regional/state emergency.

Emphasis should be placed on training that has not traditionally been provided for cultural resource institutions, such as ICS training, COOP training, CERT training, etc. It is very important that individual cultural institutions within the state understand the basics of working with the emergency management community. The *Training* component should also be used by the lead agencies/institutions in the planning initiative as an opportunity to practice statewide response procedures in cooperation with emergency response personnel, so that procedures can be refined and improved as needed.

As with the other components, this section of the *Framework* should be revisited as objectives are achieved and additional activities should build on those that have already been successful.

Suggested Participants

As previously noted, participants will vary depending on the state. Participants should include those that have taken part in previous meetings, as well as additional participants as appropriate from the list in [Appendix E](#). It is particularly important to include representatives from the state and/or local emergency operations center in any discussions or exercises that involve response to an area-wide, statewide, or regional emergency.

Objectives

- Convey to all participants the importance of training in improving disaster prevention, response, and recovery for cultural resources.
- Raise awareness within the cultural resource community of the importance of ICS/COOP/CERT training, and raise awareness within the emergency management community of training in salvage and response procedures for cultural resources.
- Determine types of training that should be provided within the state, as well as sources and funding for training.
- Provide opportunities for cultural resource agencies/institutions, emergency management personnel, and first responders to work together to test emergency response procedures for cultural resources (through a tabletop exercise or other type of training exercise).

Meeting Preparation

Gather information on existing statewide training opportunities (both those offered specifically for cultural institutions and those offered primarily for emergency management personnel) and distribute to participants.

Topics for Discussion

- **Brainstorm about training topics for cultural institutions; discuss and prioritize training needs that have been identified during previous meetings.** These might include traditional topics (e.g., risk assessment/management, disaster preparedness overview, institutional disaster plans) as well as topics not normally covered (e.g. ICS, COOP, CERT, crisis management, communications). What types of training are available (e.g., traditional workshops, online training)? What types are most needed in the state/region (e.g., response drills, tabletop exercises)? What types of new training could/should be offered? How would this be funded? Note that CERT (Community Emergency Response Team) training is available in each state.
- **Brainstorm about ways to involve emergency managers in cultural heritage training efforts.** Identify major avenues of training for emergency managers and first responders; and brainstorm about how to incorporate information on the special needs of cultural resources.
- **How should an emphasis on using the ICS and working through the local/state/federal emergency management structures change traditional emergency planning workshops for cultural institutions** (e.g., changes in terminology, structure of response)?
- **Brainstorm about content, format, participants in potential statewide response drills/tabletop exercises.**
- **Consider methods for conducting training for cultural resource institutions on a regional basis, not just statewide.**
- **Discuss audiences, providers, and funding for training.** Who should be trained? Who will provide the training? Where will it be held? Who will fund it?
- **Discuss existing sources for training for state level professionals and others.** Provide links and information about training (e.g., SOLINET, NARA, NEDCC, COSLA)
- **Once a training exercise has been conducted, evaluate its results.**

SAMPLE TABLETOP EXERCISES (TTX)

To be added...

Suggested Outcomes and Products

Essential

(Relatively small effort/cost, and essential to the success of the planning effort)

- List of training opportunities that currently exist, and a strategy for encouraging cultural resource institutions to take advantage of them.
- List of desired types of statewide emergency planning and response training and potential audiences.
- Conduct basic tabletop exercise(s) depicting a statewide emergency for lead cultural agencies/institutions, with the cooperation of emergency management personnel within the state.

Enhanced

(Additional effort/cost; highly desirable, and will move the planning effort to a higher level)

- Program for increasing the existing level of training.
- Conduct more complex tabletop exercise(s) depicting a statewide emergency for lead cultural agencies/institutions, additional cultural institutions, emergency management personnel, and first responders within the state.

Excellent

(Requires significant effort/funding; part of a comprehensive planning program)

- Conduct state/regional response drill.

Resources

- Heritage Preservation. *Alliance for Response Forum Handbook*, 2008.
- For links to online training, see Heritage Preservation's [Online Courses in Emergency Management for Cultural Heritage Responders](#).
- For information on CERT training, see the Citizen Corps [CERT](#) website.
- FEMA's [Emergency Management Institute](#).

NEXT STEPS

The *COSTEP Framework* is intended to be a dynamic document that will be revisited periodically to ensure that statewide emergency planning for cultural resources remains effective. Changes to the statewide plan will be needed as circumstances change, as initial objectives are achieved and additional goals are set, and in response to disasters that occur in future.

It is hoped that the emergency planning structure that is put in place through the *COSTEP* planning process, as well as the relationships that are built between the cultural community and the emergency management community, will become a permanent part of the overall state emergency planning landscape. Both the steering committee and the various sub-committees that address risk analysis, mitigation, response, and training may change leadership and membership over time, but they must remain active so that they can continue to guide emergency planning efforts. The initial effort of creating a statewide emergency plan for cultural resources will be wasted if the elements of the plan are not kept up-to-date.

Many of the activities recommended in the *Framework* will require an investment of effort and resources over a significant period of time, and even once they are achieved, they will need to be regularly continued, maintained and/or updated. Examples include:

- Maps of risk-prone areas, overlaid with locations of cultural resource institutions
- Statewide collections information, including a tier system that sets general priorities for salvage
- Communications plan – structure and procedures
- Procedures for acquiring supplies in a statewide disaster
- Training for individual institutions regarding statewide emergency procedures, and TTX for area wide, regional, or statewide disasters

An ongoing goal for the *COSTEP* project should be not only to encourage statewide planning, but also to encourage emergency planning for cultural resources on the institutional level, the town level, the county level, and the regional level. Ideally, individual institutional emergency plans will be coordinated with local multi-jurisdictional plans, which will in turn be coordinated with the overall state emergency plan.

Appendix A- Initial Assessment of Statewide Emergency Preparedness

Initial Assessment of Statewide Emergency Preparedness for Cultural Resources

(adapted from the CoSA *Assessment of Emergency Preparedness for State Archives and Records Management Programs*)

This assessment should be completed by all members of the Steering Committee for statewide emergency preparedness (if there are multiple members from one agency/institution, only one assessment should be completed for that agency/institution, with input from all members).

The purpose of this assessment is to gather information about the current status of preparedness for cultural resources statewide and about resources that participating agencies/institutions can offer for the preparedness effort. The information will be used to facilitate discussion and assist in defining a baseline for preparedness and response activities. [Note that any information collected about individual agencies/institutions will **NOT** be used to compare them to each other.]

The goals set forth in this assessment are:

- **Part I: Status of Emergency Preparedness for the Agency/Institution.** To encourage each agency/institution involved in implementing the *Framework* for emergency preparedness statewide to have an up-to-date emergency preparedness and recovery plan in place for all of the cultural resources in its custody. Agencies/institutions that are well-prepared for emergencies will be in a better position to provide leadership for a statewide preparedness effort.
- **Part II: Key Relationships.** To develop and maintain strong relationships among the key players involved in statewide emergency planning and response for cultural resources. These key players might include state agencies with authority for dealing with cultural resources statewide, state and federal emergency management agencies, other institutions/organizations within the cultural community, federal agencies that manage cultural resources within the state, etc.
- **Part III: Existing Statewide Emergency Preparedness Activities.** To identify emergency preparedness activities for cultural resources already taking place within the state. The answers to these questions will help evaluate where and how planning efforts should begin.
- **Part IV: Agency/Institutional Resources.** To identify actual resources and/or expertise that each participating agency/institution can provide for the statewide emergency preparedness effort.

INSTRUCTIONS

Due to the different types of institutions and agencies involved in the statewide planning effort, you may not have information about every question in this assessment (for example, if you represent the state archives, you may have little contact or knowledge about the state museum association).

HOWEVER, even if your answers are 0 or NA , please respond to every question in the assessment. For the purposes of statewide planning, “negative” information (e.g., knowing what is **not** currently happening within the state) will be just as important as “positive” information (e.g., knowing what emergency preparedness activities are already taking place within the state). For example, knowing that your agency/institution does not have contact with some other types of cultural resource institutions within the state, or knowing that certain cultural resource constituencies are not included in existing statewide emergency preparedness activities, will be important to future planning efforts.

As part of the planning process, all information collected through this assessment will be combined to form a larger picture of the current status of emergency preparedness within the state.

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Part I: Status of Emergency Preparedness for the Agency/Institution

Please indicate the status of your agency's or institution's own emergency plan in terms of the following criteria:

- 3 = Fully meets this criteria.
- 2 = Mostly meets the requirements/scope of this criteria.
- 1 = Partly meets the requirements/scope of this criteria.
- 0 = Does not meet this criteria in any way.
- NA = Not applicable.

Criteria	Status	Comments
The agency/institution has an emergency preparedness and recovery plan in place		
The plan is up-to-date, and it is revised and updated annually		
The agency/institution has a continuity of operations (COOP) plan		
Emergency response drills are held for staff and volunteers on a regular basis (please indicate frequency under "comments")		
The plan includes:		
Salvage priorities (i.e., which records/collections should be recovered first in an emergency)		
Mechanisms for communicating in an emergency and for coordinating command and control		
Contact information for staff, emergency services, important suppliers and service providers, etc.		
Pre-arranged vendor contracts		
Evacuation procedures		

Floor plans showing locations/shut-offs for important equipment (e.g., smoke detectors, fire alarms, water, electrical)		
Response procedures for specific threats (e.g., fire, water, severe weather, contamination, bomb threat)		
Procedures and instructions for salvage and recovery of various types of media		
Staff members review the contents of the plan on a regular basis to ensure familiarity with it (please indicate frequency under "comments")		

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Part II: Key Relationships

Use the following criteria to indicate the extent of your agency/institution's relationship with the following agencies/institutions regarding statewide emergency planning and response for cultural resources. At the end of this section, additional space is provided for any information you may have about relationships between organizations other than your own.

- 3 = Extensive relationship involving regular communication and meetings.
- 2 = Significant relationship, but no regular meetings.
- 1 = Minimal relationship (e.g., brief one-time meetings, brief phone contact).
- 0 = No relationship with this agency/institution.
- NA = Not applicable.

Criteria	Status	Comments
Official agencies within the state		
State emergency management agency		
Local emergency management agency		
County emergency management agency		
Regional emergency management agency		
Agency designated in state Emergency Management Plan as having lead responsibility for public records necessary for continuity of operations		
State archives and records management agency		
State library agency		
State library		
State museum		
State historic preservation office (SHPO)		

Chief information officer and/or state information technology agency		
Other (specify):		
Federal agencies		
National Archives and Records Administration (NARA) region serving the state		
Federal Emergency Management Agency (FEMA) regional office serving the state		
National Park Service (NPS) regional office serving the state		
Other (specify):		
Other professional associations & organizations		
Government associations in the state		
Information management chapters/associations		
Records management chapters/associations		
Archival associations		
Preservation/conservation organizations/consortia		
Library associations		
Museum associations		
Historical associations		
Other (specify):		

Is your agency/organization aware of any other existing relationships between organizations that might have an impact on emergency preparedness efforts within the state? Provide details regarding the type and extent of the relationship(s) as appropriate.

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Part III: Existing Statewide Emergency Preparedness Activities

A. Indicate the extent to which your agency/institution is involved in overall statewide emergency planning and response activities, based on the following criteria.

3 = Extensive involvement that includes regular communication, meetings, and specific designation of duties in the state's emergency plan.

2 = Significant involvement, with some meetings and communication, but no specific designation of duties in the state's emergency plan.

1 = Minimal involvement (e.g., brief one-time meetings, brief phone contact).

0 = No involvement.

NA = Not applicable.

Criteria	Status	Comments
Contribution to revisions of the state emergency operations plan		
Seat in the emergency operations center		
Pre-arranged timely access to disaster sites to assess and salvage damaged cultural resources		
Provision of staff to coordinate emergency response and recovery efforts		
Pre-arranged access to resources such as emergency transportation, fuel, and emergency personnel		
Organization and training of teams to respond to emergencies throughout the state		
Other (specify):		

B. Indicate the extent of your agency/institution's knowledge about the location, type, and extent of cultural resources held in various types of repositories within the state, based on the following criteria.

3 = Extensive knowledge, including existence of up-to-date and comprehensive records schedules and directories of other cultural resources, as well as locations mapped on a GIS system.

2 = Significant knowledge, including up-to-date and comprehensive records schedules/directories of some resources, and GIS mapping of some locations.

1 = Minimal knowledge (e.g., incomplete or out-of-date records schedules/directories).

0 = No knowledge of these types of materials.

NA = Not applicable.

Agency/Institution/Organization	Status	Comments
State agencies		
Local government agencies		
Archival repositories		
Libraries		
Museums		
Historical societies		
Historic sites		
Other (specify):		

C. Indicate the extent of your agency/institution's knowledge about whether emergency preparedness plans and/or COOP plans are required or encouraged, and whether or not they are in place, for various types of repositories within the state, based on the following criteria.

3 = Emergency preparedness and COOP plans required and in place for almost all agencies/institutions.

2 = Emergency preparedness and/or COOP plans required or encouraged, and in place for many agencies/institutions.

1 = Emergency preparedness and/or COOP plans encouraged but in place for only some institutions.

0 = Plans not required or encouraged; in place for a few institutions.

NA = Not applicable.

Agency/Institution/Organization	Status	Comments
State agencies		
Local government agencies		
Archival repositories		
Libraries		
Museums		
Historical societies		
Historic sites		
Other (specify):		

D. Indicate the extent of your agency/institution's knowledge of emergency preparedness and response services available to cultural repositories within the state, based on the following criteria.

- 3 = Services readily available to all cultural agencies/institutions/organizations within the state.
- 2 = Services available, but some limitations apply based on geography, jurisdiction, or resources.
- 1 = Services sometimes available, but not on a dependable basis.
- 0 = Services not available to any cultural agencies/institutions/organizations within the state.
- NA = Not applicable.

Service/Resource	Status	Comments (indicate agency/organization providing the service)
Central point of coordination for information collection/response efforts related to cultural collections damage		
Onsite/telephone assistance for local disasters (e.g., from an archivist, librarian, conservator, etc.)		
Conservation lab services		
Freezers/cold storage		
Freeze drying services		
Data recovery services		
Microfilming/digitization labs		
Transportation/trucking		
Appropriate temporary storage facilities		
Security storage services (e.g., for microfilm and copies of other types of records)		
Other (specify):		

E. Indicate the extent of your agency/institution's knowledge of education and training for emergency preparedness and response available to cultural repositories within the state, based on the following criteria.

3 = High quality education and training is available and easy to access for all agencies/institutions statewide.

2 = Good quality education and training is fairly easy to access throughout the state.

1 = Good quality education and training is available, but it may be difficult to access because of distance or infrequent offerings.

0 = Training is available very infrequently and only in selected areas, and its quality is uneven.

NA = Not applicable.

Agency/Institution/Organization	Status	Comments
State agencies		
Local government agencies		
Archival repositories		
Libraries		
Museums		
Historical societies		
Historic sites		
Other (specify):		

Part IV: Agency/Institutional Resources

Please provide a brief description of the functions of your agency/institution:

What is the total size of your institution/agency's staff?

FTE professionals 1-5 6-10 11-20 21-50 more than 50
 FTE support staff 1-5 6-10 11-20 21-50 more than 50
 FTE volunteers 1-5 6-10 11-20 21-50 more than 50

How many of your staff members would be available to help in a statewide/regional emergency?

FTE professionals 1-5 6-10 11-20 21-50 more than 50
 FTE support staff 1-5 6-10 11-20 21-50 more than 50
 FTE volunteers 1-5 6-10 11-20 21-50 more than 50

Please describe any resources and/or expertise that your agency/institution can provide, based on the following criteria.

- 3 = Resource/expertise of this type can be provided for statewide emergency preparedness.
- 2 = Resource/expertise of this type can be provided, but some limitations apply based on geography, jurisdiction, cost, etc.
- 1 = Resource/expertise of this type might be provided in future.
- 0 = Resource/expertise of this type cannot be provided.
- NA = Not applicable.

Resource/Expertise	Status	Comments
Staff to coordinate emergency response efforts		

Staff to assist in onsite recovery of cultural resource collections		
Monetary resources		
Expertise in salvage of cultural resources collections (specify types)		
Freezers/cold storage		
Data recovery services		
Conservation lab services		
Transportation/trucking		
Appropriate temporary storage facilities		
Security storage services (e.g., for microfilm and copies of other types of records)		
Staff who have taken ICS (Incident Command System), CERT (Community Emergency Response Team), or other similar training		
Ability for staff to take ICS, CERT or other similar training (this training is available free of charge)		
Other (specify):		

Date assessment completed:

Name of agency/institution:

Individual(s) completing the assessment:

Name:

Title:

Name:

Title:

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Appendix B – Glossary of Terms and Acronyms

Definitions for the terms in this Glossary have been gathered from a variety of sources, which are listed at the end of the Glossary. Where no reference is given, definitions are generally acknowledged or were devised specifically for the Framework.

Agency – A division of government with a specific function, or a non-governmental organization (e.g., private contractor, business, etc.) that offers a particular kind of assistance. In ICS, agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance). – *From ICDRM/GWU Emergency Management Glossary of Terms.*

Archives - (also **archive**), n. ~ 1. Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator, especially those materials maintained using the principles of provenance, original order, and collective control; permanent records. – 2. The division within an organization responsible for maintaining the organization's records of enduring value. – 3. An organization that collects the records of individuals, families, or other organizations; a collecting archives. – 4. The professional discipline of administering such collections and organizations. – 5. The building (or portion thereof) housing archival collections. – 6. A published collection of scholarly papers, especially as a periodical. – *From: SAA's A Glossary of Archival and Records Terminology*

Business continuation and disaster recovery - n. ~ The procedures necessary to resume operations after an atypical disruption of routine activities. **Notes:** Disasters can be either natural or human in origin, including earthquakes, fire, sabotage, or war. Government business continuation and disaster recovery plans generally emphasize protecting the lives, health, safety, rights, and entitlements of citizens and businesses. – *From: SAA's A Glossary of Archival and Records Terminology*

Catastrophic Incident: Any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. – *From National Response Framework Resource Center, Glossary/Acronyms*

Collection - n. ~ 1. A group of materials with some unifying characteristic. – 2. Materials assembled by a person, organization, or repository from a variety of sources; an artificial collection. – **collections**, pl. ~ 3. The holdings of a repository. – *From: SAA's A Glossary of Archival and Records Terminology*

Conservation laboratory - (also **preservation laboratory**), n. ~ A facility with specialized equipment to support the treatment or repair of materials through the use of chemical or physical treatments. – *From: SAA's A Glossary of Archival and Records Terminology*

Continuity of Operations (COOP) or continuity planning: an internal effort within an organization to assure that the capability exists to continue essential business and service functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and/or attack/terrorist related emergencies. – *adapted from ICDRM/GWU Emergency Management Glossary of Terms.*

Critical Infrastructure: Systems, assets, and networks, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters. – *From National Response Framework Resource Center, Glossary/Acronyms*

Cultural resources – The National Park Service *Management Policies* categorizes cultural resources as archeological resources, cultural landscapes, structures, museum objects, and ethnographic resources. *Archeological resources* are the remains of past human activity and records documenting the scientific analysis of these remains. *Cultural landscapes* are settings we have created in the natural world. *Structures* are material assemblies that extend the limits of human capability. *Museum objects* are manifestations and records of behavior and ideas that span the breadth of human experience and depth of natural history. *Ethnographic resources* are basic expressions of human culture and the basis for continuity of cultural systems. – *From NPS-28: Cultural Resource Management Guideline*

DHS: Department of Homeland Security – *From National Response Framework Resource Center, Glossary/Acronyms*

Disaster - n. ~ A sudden, unexpected event that causes sufficient loss or damage to disrupt routine operations of an individual or organization. – *From: SAA's A Glossary of Archival and Records Terminology*

Emergency: Any incident, whether natural or manmade, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States. – *From National Response Framework Resource Center, Glossary/Acronyms*

Emergency management (FEMA definition): Organized analysis, planning, decision making, and assignment of available resources to mitigate (lessen the effect of or prevent), prepare for, respond to, and recover from the effects of all hazards. The goal of emergency management is to save lives, prevent injuries, and to protect property and the environment if an emergency occurs. – *From ICDRM/GWU Emergency Management Glossary of Terms.*

Emergency Management Assistance Compact (EMAC): A congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster-affected State can request and receive assistance from other member States quickly and efficiently, resolving two key issues up front: liability and reimbursement. – *From National Response Framework Resource Center, Glossary/Acronyms*

Emergency operating records – n. ~ Records necessary for an organization to resume basic, emergency operations immediately after a disaster. **Notes:** Vital records², also called essential records, include emergency operating records and rights-and-interests records. Emergency records are typically stored in paper format to avoid machine and power dependence, and describe responsibilities, including delegation of authority and line of succession. Examples include the records necessary to mobilize and protect manpower and resources, and to ensure health, safety, and order. Government agencies may also include records relating to the mobilization of the military, civil defense, and public health. Rights-and-interests records include those records necessary after initial recovery to protect the assets and rights of the organization, its employees, and others. Rights-and-interests records may include payroll, leave and insurance records, titles and deeds to real property, contracts, and other similar data. – *From: SAA's A Glossary of Archival and Records Terminology*

Emergency operations center (EOC): The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., Federal, State, regional, tribal, city, county), or some combination thereof. – *From National Response Framework Resource Center, Glossary/Acronyms*

Emergency plan: The ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards. – *From National Response Framework Resource Center, Glossary/Acronyms*

Emergency preparedness: Activities and measures designed or undertaken to prepare for or minimize the effects of a hazard upon the civilian population, to deal with the immediate emergency conditions which would be created by the hazard, and to effectuate emergency repairs to, or the emergency restoration of, vital utilities and facilities destroyed or damaged by the hazard. (Stafford Act) – *From ICDRM/GWU Emergency Management Glossary of Terms.*

The capability that enables an organization or community to respond to an emergency in a coordinated, timely, and effective manner to prevent the loss of life and minimize injury and property damage. – *From Disaster Recovery Journal Glossary*

Emergency Support Function (ESF) Coordinator: The entity with management oversight for that particular ESF. The coordinator has ongoing responsibilities throughout the preparedness, response, and recovery phases of incident management. – *From National Response Framework Resource Center, Glossary/Acronyms*

Emergency Support Functions (ESFs): Used by the Federal Government and many State governments as the primary mechanism at the operational level to organize and provide assistance. ESFs align categories of resources and provide strategic objectives for their use. ESFs utilize standardized resource management concepts such as typing, inventorying, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident. – *From National Response Framework Resource Center, Glossary/Acronyms*

Essential records - n. ~ Emergency-operating records immediately necessary to begin recovery of operations after a disaster, and rights-and-interests records necessary to protect the assets, obligations, and resources of the organization, as well as its employees and customers or citizens; vital records. **Notes:** Essential records typically document delegation of authority and line of succession, and include legal documents and contracts, financial records, and other rights-and-interests records. – *From: SAA's A Glossary of Archival and Records Terminology*

Federal Coordinating Officer (FCO): The official appointed by the President to execute Stafford Act authorities, including the commitment of Federal Emergency Management Agency (FEMA) resources and mission assignment of other Federal departments or agencies. In all cases, the FCO represents the FEMA Administrator in the field to discharge all FEMA responsibilities for the response and recovery efforts underway. For Stafford Act events, the FCO is the primary Federal representative with whom the State Coordinating Officer and other State, tribal, and local response officials interface to determine the most urgent needs and set objectives for an effective response in collaboration with the Unified Coordination Group. – *From National Response Framework Resource Center, Glossary/Acronyms*

Exercise: A people focused activity designed to execute business continuity plans and evaluate the individual and/or organization performance against approved standards or objectives. Exercises can be announced or unannounced, and are performed for the purpose of training and conditioning team members, and validating the business continuity plan. Exercise results identify plan gaps and limitations and are used to improve and revise the Business Continuity Plans. Types of exercises include: Table Top Exercise, Simulation Exercise, Operational Exercise, Mock Disaster, Desktop Exercise, Full Rehearsal. – *From Disaster Recovery Journal Glossary*

FEMA: Federal Emergency Management Agency – *From National Response Framework Resource Center, Glossary/Acronyms*

Governor's Authorized Representative: An individual empowered by a Governor to: (1) execute all necessary documents for disaster assistance on behalf of the State, including certification of applications for public assistance; (2) represent the Governor of the impacted State in the Unified Coordination Group, when required; (3) coordinate and supervise the State disaster assistance program to include serving as its grant administrator; and (4) identify, in coordination with the State Coordinating Officer, the State's

critical information needs for incorporation into a list of Essential Elements of Information. – *From National Response Framework Resource Center, Glossary/Acronyms*

Hazard: A source of potential danger or adverse condition. – *From FEMA's Mitigation Planning How-To Guide #3: Developing the Mitigation Plan*

Hazard Identification and Risk Assessment (HIRA): A process to identify hazards and associated risk to persons, property, and structures and to improve protection from natural and human-caused hazards. HIRA serves as a foundation for planning, resource management, capability development, public education, and training and exercises. – *From National Response Framework Resource Center, Glossary/Acronyms*

Hazard mitigation: Sustained actions taken to reduce or eliminate long-term risk from hazards and their effects. – *From FEMA's Mitigation Planning How-To Guide #3: Developing the Mitigation Plan*

Hazard Vulnerability Analysis: A systematic approach to identifying all hazards that may affect an organization and/or its community, assessing the risk (probability of hazard occurrence and the consequence for the organization) associated with each hazard and analyzing the findings to create a prioritized comparison of hazard vulnerabilities. The consequence, or "vulnerability," is related to both the impact on organizational function and the likely service demands created by the hazard impact. – *From ICDRM/GWU Emergency Management Glossary of Terms.*

Historical society - n. ~ An organization that seeks to preserve and promote interest in the history of a region, a period, or a subject. **Notes:** Historical societies are typically focused on a state or a community. They often have collections of artifacts, books, and records, and may include a museum. Some state historical societies, such as Minnesota, are quasi-governmental institutions, organized as a private corporation but maintaining the official state archives. – *From: SAA's A Glossary of Archival and Records Terminology*

Incident: An occurrence or event, natural or manmade, that requires a response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, civil unrest, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, tsunamis, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response. – *From National Response Framework Resource Center, Glossary/Acronyms*

Incident Command System (ICS): A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is a management system designed to enable effective incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations. – *From National Response Framework Resource Center, Glossary/Acronyms*

Incident Commander: The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The Incident Commander has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site. – *From National Response Framework Resource Center, Glossary/Acronyms*

Incident Management: Refers to how incidents are managed across all homeland security activities, including prevention, protection, and response and recovery. – *From National Response Framework Resource Center, Glossary/Acronyms*

Joint Field Office (JFO): The primary Federal incident management field structure. The JFO is a temporary Federal facility that provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector and nongovernmental organizations with primary responsibility for response and recovery. The JFO structure is organized, staffed, and managed in a manner consistent with National Incident Management System principles and is led by the Unified Coordination Group. Although the JFO uses an Incident Command System structure, the JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site. – *From National Response Framework Resource Center, Glossary/Acronyms*

Library - n. ~ 1. A collection of published materials, including books, magazines, sound and video recordings, and other formats. – 2. A building used to house such a collection. – *From: SAA's A Glossary of Archival and Records Terminology*

Local Government: A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal entity, or in Alaska a Native Village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity. See Section 2 (10), Homeland Security Act of 2002, P.L. 107–296, 116 Stat. 2135 (2002). – *From National Response Framework Resource Center, Glossary/Acronyms*

Major Disaster: Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought) or, regardless of cause, any fire, flood, or explosion in any part of the United States that, in the determination of the President, causes damage of sufficient severity and magnitude to warrant major disaster assistance under the Stafford Act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby. – *From National Response Framework Resource Center, Glossary/Acronyms*

Mitigation: Activities providing a critical foundation in the effort to reduce the loss of life and property from natural and/or manmade disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect. – *From National Response Framework Resource Center, Glossary/Acronyms*

Museum: "A museum is a non-profit making, permanent institution in the service of society and of its development, and open to the public, which acquires, conserves, researches, communicates and exhibits, for purposes of study, education and enjoyment, material evidence of people and their environment. (...)" – *From International Council of Museums (ICOM) Statutes art.2 para.1*

Mutual Aid and Assistance Agreement: Written or oral agreement between and among agencies/organizations and/or jurisdictions that provides a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services. The primary objective is to facilitate rapid, short-term deployment of emergency support prior to, during, and/or after an incident. – *From National Response Framework Resource Center, Glossary/Acronyms*

National Incident Management System (NIMS): System that provides a proactive approach guiding government agencies at all levels, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment. – *From National Response Framework Resource Center, Glossary/Acronyms*

National Infrastructure Protection Plan (NIPP): Plan that provides a coordinated approach to critical infrastructure and key resources protection roles and responsibilities for Federal, State, tribal, local, and

private-sector security partners. The NIPP sets national priorities, goals, and requirements for effective distribution of funding and resources that will help ensure that our government, economy, and public services continue in the event of a terrorist attack or other disaster. – *From National Response Framework Resource Center, Glossary/Acronyms*

National Operations Center (NOC): Serves as the primary national hub for situational awareness and operations coordination across the Federal Government for incident management. The NOC provides the Secretary of Homeland Security and other principals with information necessary to make critical national-level incident management decisions. – *From National Response Framework Resource Center, Glossary/Acronyms*

National Response Framework (NRF): Guides how the Nation conducts all-hazards response. The Framework documents the key response principles, roles, and structures that organize national response. It describes how communities, States, the Federal Government, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response. And it describes special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support. It allows first responders, decisionmakers, and supporting entities to provide a unified national response. – *From National Response Framework Resource Center, Glossary/Acronyms*

Nongovernmental Organization (NGO): An entity with an association that is based on interests of its members, individuals, or institutions. It is not created by a government, but it may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross. NGOs, including voluntary and faith-based groups, provide relief services to sustain life, reduce physical and emotional distress, and promote the recovery of disaster victims. Often these groups provide specialized services that help individuals with disabilities. NGOs and voluntary organizations play a major role in assisting emergency managers before, during, and after an emergency. – *From National Response Framework Resource Center, Glossary/Acronyms*

Preparedness: Actions that involve a combination of planning, resources, training, exercising, and organizing to build, sustain, and improve operational capabilities. Preparedness is the process of identifying the personnel, training, and equipment needed for a wide range of potential incidents, and developing jurisdiction-specific plans for delivering capabilities when needed for an incident. – *From National Response Framework Resource Center, Glossary/Acronyms*

Principal Federal Official (PFO): May be appointed to serve as the Secretary of Homeland Security's primary representative to ensure consistency of Federal support as well as the overall effectiveness of the Federal incident management for catastrophic or unusually complex incidents that require extraordinary coordination. – *From National Response Framework Resource Center, Glossary/Acronyms*

Public record - n. ~ 1. Data or information in a fixed format that was created or received by a government agency in the course of business and that is preserved for future reference. – 2. Records filed with a government agency to give constructive notice. – 3. Government records that are not restricted and are accessible to the public. – *From: SAA's A Glossary of Archival and Records Terminology*

Records management - n. ~ The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition. – *From: SAA's A Glossary of Archival and Records Terminology*

Recovery: The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; postincident reporting; and development of

initiatives to mitigate the effects of future incidents. – *From National Response Framework Resource Center, Glossary/Acronyms*

Regional Response Coordination Centers (RRCCs): Located in each Federal Emergency Management Agency (FEMA) region, these multiagency coordination centers are staffed by Emergency Support Functions in anticipation of a serious incident in the region or immediately following an incident. Operating under the direction of the FEMA Regional Administrator, the RRCCs coordinate Federal regional response efforts and maintain connectivity with State emergency operations centers, State fusion centers, Federal Executive Boards, and other Federal and State operations and coordination centers that have potential to contribute to development of situational awareness. – *From National Response Framework Resource Center, Glossary/Acronyms*

Repository - n. ~ A place where things can be stored and maintained; a storehouse. **Notes:** Used throughout this work to refer to any type of organization that holds documents, including business, institutional, and government archives, manuscript collections, libraries, museums, and historical societies, and in any form, including manuscripts, photographs, moving image and sound materials, and their electronic equivalents. – *From: SAA's A Glossary of Archival and Records Terminology*

Response: Immediate actions to save lives, protect property and the environment, and meet basic human needs. Response also includes the execution of emergency plans and actions to support short-term recovery. – *From National Response Framework Resource Center, Glossary/Acronyms*

Risk: The estimated impact that a hazard would have on people, services, facilities, and structures in a community; the likelihood of a hazard event resulting in an adverse condition that causes injury or damage. Risk is often expressed in relative terms such as high, moderate, or low likelihood of sustaining damage above a particular threshold due to a specific type of hazard event. It also can be expressed in terms of potential monetary losses associated with the intensity of the hazard. – *From FEMA's Mitigation Planning How-To Guide #3: Developing the Mitigation Plan*

Risk analysis - (also **risk assessment**), n. ~ The evaluation of the possibility of incurring loss, damage, or injury and a determination of the amount of risk that is acceptable for a given situation or event. – *From: SAA's A Glossary of Archival and Records Terminology*

A detailed examination performed to understand the nature of unwanted, negative consequences to human life, health, property, or the environment; an analytical process to provide information regarding undesirable events; the process of quantification of the probabilities and expected consequences for identified risks (Gratt 1987, 244) see Hazard Vulnerability Analysis. – *From ICDRM/GWU Emergency Management Glossary of Terms.*

Risk management - The culture, processes and structures that are put in place to effectively manage potential negative events. As it is not possible or desirable to eliminate all risk, the objective is to reduce risks to an acceptable level. – *From Disaster Recovery Journal Glossary*

A management science that employs the findings of the Hazards Vulnerability Analysis process to make strategic and tactical decisions on how risks will be treated – whether deferred, reduced (through mitigation and preparedness activities), transferred (insurance and others), or avoided. Risk management provides the option of accepting certain levels of risk, at least temporarily, that are considered too low for resource allocation. Conversely, it provides the decision option to commit major resources that eliminate or avoid risks that are of such high probability and/or high consequence that they threaten the very existence of an organization. Risk management, which may be considered a subsection of overall emergency management, focuses upon mitigation preparedness activities that prevent or reduce hazard impacts, and is considered by many to be its own discipline. – *From ICDRM/GWU Emergency Management Glossary of Terms.*

Security copy - n. ~ A reproduction of a record created and managed to preserve the information in case the original is damaged. **Notes:** Security copies are typically stored off site. They are distinguished from

backups in that security copies typically include only vital (essential) records. A backup may be used as a security copy if it is created and stored in a manner that allows retrieval of a complete set of vital records. – *From: SAA's A Glossary of Archival and Records Terminology*

State Coordinating Officer (SCO): The individual appointed by the Governor to coordinate State disaster assistance efforts with those of the Federal Government. The SCO plays a critical role in managing the State response and recovery operations following Stafford Act declarations. The Governor of the affected State appoints the SCO, and lines of authority flow from the Governor to the SCO, following the State's policies and laws. – *From National Response Framework Resource Center, Glossary/Acronyms*

Tabletop exercise (TTX): need definition

Unified Command (UC): An Incident Command System application used when more than one agency has incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC, often the senior person from agencies and/or disciplines participating in the UC, to establish a common set of objectives and strategies and a single Incident Action Plan. – *From National Response Framework Resource Center, Glossary/Acronyms*

Vital records - n. ~ 1. Records that document significant life events, including births, deaths, marriages, divorces, and public health matters; vital statistics. – 2. Emergency operation records immediately necessary to begin recovery of business after a disaster, as well as rights-and-interests records necessary to protect the assets, obligations, and resources of the organization, as well as its employees and customers or citizens; essential records. **Notes:** Vital records² typically document delegation of authority and lines of succession and include legal documents and contracts, financial records, and other documents that establish the rights and obligations of the organization, its employees and customers, stockholders, and citizens. – *From: SAA's A Glossary of Archival and Records Terminology*

Vital statistics – n. Public records required by law that document significant life events, such as births, deaths, marriages, divorces, and public health events, and that are kept by city, county, state, or other governmental body. – *From: SAA's A Glossary of Archival and Records Terminology*

Appendix C – Potential Elements of a Statewide Emergency Plan for Cultural Resources

The following elements are organized according to standard emergency management structures/terminology. Some of these elements should be incorporated into the overall statewide emergency plan (e.g., procedures for communication between the lead cultural agency/institution and emergency management personnel), while others (e.g., training opportunities, efforts to encourage collaborative mitigation activities among cultural institutions) are primarily for the use of the cultural community.

When preparing a written statewide emergency plan for cultural resources, input should be solicited from the Operations and Planning divisions of the state emergency management agency, to ensure that the plan can be easily coordinated with the overall state emergency plan.

Mitigation

- **List of Identified Risks Statewide**

- A prioritized list of statewide risks to cultural resources. Categories/rating systems should match those used in the state hazard mitigation plan. Indicate which risks will be addressed first in statewide planning; it is best to begin with one or two, perhaps addressing the most vulnerable regions of the state first.

- **Risk Mitigation Activities**

- In view of the list above, describe activities in place to encourage risk mitigation in different areas of the state, and for encouraging individual cultural institutions to engage in prevention and mitigation measures.

- **Maps of Risk-Prone Areas**

- Show the location of cultural resource agencies/institutions (include GIS information if available) within these areas.

Preparedness

- **Procedures for Advance Warning**

- **Statewide Collections Information (include salvage priorities)**

- Locations of cultural resources (include map of state showing locations of cultural resource agencies/institutions, include GIS information if available). This will allow emergency responders to quickly identify cultural resource agencies/institutions that might need assistance.
- Specific information (in GIS format if possible) about types of records/collections held by cultural agencies/institutions, location of essential continuity of operations records, location of particularly vulnerable and/or significant collections. This will allow for quicker identification of damaged collections in the event of a disaster.

- Salvage priorities (e.g., tiered list of agencies/institutions, tiered list of collections) that can be used to assist emergency response personnel in salvaging cultural resource collections in a major disaster.
- **Supplies/Services**
 - Procedures for informing state emergency management officials about the types of supplies and services that would be needed by cultural resource institutions in an emergency. Include pre-arrangements for delivery of recovery services.
- **Administration/Logistics**
 - Training activities
 - Information about training programs for ICS, COOP, and other emergency preparedness topics
 - Schedule for training to be offered within the state and/or region
 - Contact information for key organizations/agencies involved in the emergency planning process
 - Agency/agencies responsible for dealing with cultural resources statewide (e.g., Mass. Board of Library Commissioners, state library, state archives)
 - Federal agencies that manage cultural resources within the state (e.g., the National Park Service)
 - Federal/state/regional/county/local emergency management agencies
 - Other cultural resource institutions/organizations (e.g., conservators/conservation centers; state historic preservation agencies, state museums and historical societies; state/regional professional associations; influential private cultural institutions; etc.)
 - Vendors
 - Funding agencies
 - Public safety agency
 - Public health agency
 - Environmental management agency
 - Capital asset management (state agency dealing with state properties/structural issues)
 - Governor's office

Response and Recovery

- **Organization/Responsibilities**
 - The cultural resources representative (and backup) with a seat at the state emergency operations center. This person will be the primary point of contact between the cultural resources community and emergency management personnel.
 - Responsibilities of the lead cultural agency/institution (e.g., provision of support staff for emergency response coordination).
 - "Strike Team" of conservators and/or preservation professionals to travel to affected institutions (if this exists)

- Potential locations for temporary storage of damaged collections
- **Direction/Coordination**
 - Communications plan
 - Procedures to be used by individual cultural resource institutions to communicate with the lead cultural agency/institution during and after an emergency. For example, use of a 1-800 number for individual institutions to report their status, and/or use of toll-free conference call line.
 - Internet-based communication methods – provide appropriate contact information and describe procedures for implementing pre-arranged methods (e.g., web site, listservs)
 - Alternative communication methods (e.g., text messaging, setting up a cell-phone tower) – who to contact and what to do
 - Location of emergency operations center for the cultural community (this will likely be located within the lead agency/institution).
 - List of emergency operations functions to be assigned within the lead cultural agency/institution (e.g., coordinating offers of assistance, communicating with the media, monitoring damage/conditions in regions throughout the state, collecting information about damage to buildings and collections, and passing all information on to the cultural resources representative at the state EOC).
 - Location of local/state/regional emergency operations centers.
 - Outline of response steps (*adapted from CoSA's Pocket Response Plan*)
 - Communicate with affected institutions and first responders
 - Contact institutions/agencies that might be affected (use information gathered during preparedness phase, or use existing information such as directories)
 - Implement communication plan (rely on key relationships established in preparedness phase, including state/local emergency management agency, other government agencies, etc.)
 - Collect information and decide how to proceed (e.g., how big is the disaster, how many/what types of institutions are affected, what response actions are needed?). Review situation and revise daily during response.
 - Provide or arrange for emergency assistance to affected institutions/agencies, coordinating all assistance through the cultural resources representative at the state emergency operations center. Specifically:
 - Work with appropriate agencies to facilitate entrance to disaster site(s)
 - Set up listservs, Web-based information center, etc.
 - Assist in identifying and protecting essential continuity of operations records (e.g., determine if duplicates are available, provide or arrange for storage space if needed)
 - Activate pre-arranged services from vendors, help locate additional vendors and supplies as needed
 - Coordinate offers of assistance (volunteers, professional colleagues, etc.)

- Assist with public relations, funding/insurance, and security issues
 - Provide links/information/consultation on recovery procedures
 - Ongoing coordination of recovery efforts and monitoring of conditions
- **Response Plan Development And Maintenance**
 - Provide information about ongoing revision and updating of the emergency response plan for cultural resources.

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Appendix D – Sample Meeting Agendas

Startup Meeting – Sample Agenda

Startup Meeting Agenda [Date] [Location]

9:30 – 10:00	Registration and Coffee
10:00 – 10:30	Introduction of participants/general information sharing (Include brief review of <i>Framework</i> and background information, such as ICS)
10:30 – 11:30	Discussion of responses to the Initial Assessment Tool
11:30 – 12:00	Discussion of planning process structure (Steering Committee, initial point of contact (POC) for emergency response efforts, use of sub-committees and task forces)
12:00 – 1:00	Lunch
1:00 – 2:00	Discussion of mission, initial goals, and next steps for the planning process
2:00 – 2:30	Wrap-up and planning for next meeting

Key Relationships and Goals Meeting – Sample Agenda

**Key Relationships and Goals
Meeting Agenda
[Date]
[Location]**

9:30 – 10:00	Registration and coffee
10:00 – 10:15	Opening remarks [Information about the person(s) giving the remarks; this should be a representative of one of the lead institutions in the planning process, and/or a representative from the emergency management community.]
10:15 – 10:45	Overview of existing statewide emergency response activities for cultural collections Overview of previous discussions/activities of the Steering Committee (Include brief review of <i>Framework</i> and background information, such as ICS)
10:45 – 11:30	Introduction of participants/general information sharing
11:30 – 12:00	Discussion of other agencies/institutions to be included in the planning process
12:00 – 1:00	Lunch
1:00 – 1:45	Discussion of draft mission statement for the planning process
1:45 – 2:45	Discussion of draft list of initial goals/next steps for the planning process
2:45 – 3:00	Wrap-up and plans for next meeting

Risk Analysis and Mitigation Meeting – Sample Agenda

To be added...

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Preparing for Response Meeting – Sample Agenda

To be added...

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Training Meeting – Sample Agenda

To be added...

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Appendix E – Suggested Participants

The following lists note the types of agencies, institutions, and/or organizations that might be invited to participate in various *Framework* meetings. For the **Startup** meetings, a small number of representatives would be chosen from the list of primary participants. As the planning process moves along, additional participants should be added as appropriate. Suggestions for participants that should be included in a particular type of meeting (e.g., risk mitigation, response) are also provided within each section of the *Framework*.

Primary participants

- **Agency/agencies responsible for dealing with cultural resources statewide (those that were not included in previous meetings).** These might include:

- State library
- State archives and records management program
- State museum
- State historic preservation office (SHPO) and/or state historical society
- Tribal historic preservation office (THPO)
- State parks

Organizational models for these functions vary greatly from state to state (see case study for examples). All states have some type of library agency that administers the distribution of state and federal library funds, an agency that maintains state government records, and a state historic preservation office. Some states also have state museums, while others do not. In some states one or more of these functions may be housed under an umbrella agency, while in others they are separate agencies.

- **State emergency management agency.** Depending on the topics being addressed in a particular meeting, representatives from the Planning, Operations, and/or Mitigation divisions may be invited.
- **Representative of federal agencies that manage cultural resources within the state** (e.g., NARA, the National Park Service)
- **Other representative/significant/influential cultural resource institutions/organizations as appropriate.** Examples might include:
 - conservators/regional preservation and conservation centers/conservation associations

CASE STUDY: Organizational Models for Statewide Cultural Resources

Alaska

- **Alaska State Archives**
<http://www.archives.state.ak.us/>. *The State Archives is the repository that preserves the government records of Alaska's history and makes these records accessible to its patrons in a safe, professional, and responsible manner.*
- **Alaska State Library (and Historical Collections)**
<http://www.library.state.ak.us/>. *The Alaska State Library coordinates Alaskan public libraries, provides information services to the state government, and manages historical and public records. The Alaska State Library also serves as the primary research library for state government, and collects, preserves, and makes accessible Alaska-related materials.*
- **Alaska State Museums**
<http://www.museums.state.ak.us/>. *The Alaska State Museums consist of two museums: the Alaska State Museum in Juneau, and the Sheldon Jackson Museum in Sitka.*
- **Alaska Department of Natural Resources, Division of Parks and Outdoor Rec., Office of History and Archaeology, Alaska State Historic Preservation Office**
<http://www.dnr.state.ak.us/parks/oha/shpo/shpo.htm>.

Kansas

- **Kansas State Historical Society**
<http://www.kshs.org/>. *The KSHS includes the Kansas Museum of History and Library, State Archives and Records, and the State Historic Preservation Office (SHPO).*
- **State Library of Kansas**
<http://www.skyways.org/KSL/>. *The Kansas State Library provides information services for state and local governments, for local libraries and their users, and for the public.*

- state/regional professional associations (for museums, libraries, archives, records managers, town clerks)
- museums
- public libraries
- historical societies
- academic libraries
- archives
- churches

When planning the initial startup meetings, some participants may be drawn from this group if certain institutions/organizations are particularly active within the state and/or fill a need that is not filled by a state agency (e.g., an active state or regional museum association in a state without a state museum). For later meetings that include more participants, every effort should be made to include representatives from each type of institution.

- **Representatives from local government** (e.g., city/town clerk offices, mayor's office of large cities)
- **County officials** (e.g., registries of deeds/probate, land records). Note that in some states, some of these functions may be administered at the state level.
- Public safety agency
- Public health agency

Secondary participants

- Environmental management agency
- Information technology agency
- Capital asset management (state agency dealing with state properties/structural issues)
- Governor's office

Resources

A list of key organizations in each state (state and federal emergency management; state and regional organizations for libraries, archives, and museums; conservation centers) can be found within **dPlan** under: Supplies and Services \ Emergency Numbers and Services \ Recovery Services. See <http://www.nps.gov/history/nr/shpolist.htm> for links to State Historic Preservation Offices. See <http://www.archives.gov/locations/regional-archives.html> for locations of NARA regional archives. The National Park Service is divided into seven regions (see www.nps.gov).