

Activity 1 — Determine Essential Functions and Identify Essential Records Activity

Activity Goal

Identify five essential records, one for each of the five types of essential records. These are records that:

- Are necessary for emergency response
- Protect the health, safety, property, and rights of residents
- Are necessary to resume or continue operations
- Would require massive resources to reconstruct
- Document the history of communities and families

Activity Instructions

For each essential record type, determine a corresponding essential function performed by your agency or department and record that function in the **Corresponding Essential Functions** column.

Identify an essential record that is created by your agency in support of the essential function and enter that record in the **Essential Record** column.

In the **Brief Description of Your Process** column, provide a brief explanation of the process you used to determine the essential function and essential record.

In the event that there is NO essential record for one of the five types, leave blank the **Essential Records** block for that type, but in the corresponding **Brief Description of Your Process** block, describe the process you used to determine that there was no essential record corresponding to that type.

NOTE: You may use any process you like to determine essential functions and identify essential records, including:

- Review mission and departmental statements (or similar information) for your agency or department
- Determine the requirements of your Continuity of Operations (COOP) Plan
- Review existing records retention schedules
- Interview key staff members
- Consult information technology's (IT) Business Impact Analysis (BIA) or Contingency Plan

Name(s): _____

Agency: _____

Table 1: My Agency's Essential Functions and Essential Records

TYPE OF ESSENTIAL RECORD	CORRESPONDING ESSENTIAL FUNCTION	ESSENTIAL RECORD	BRIEF DESCRIPTION OF YOUR PROCESS
Records that are necessary for emergency response			
Records that protect the health, safety, property, and rights of residents			
Records that are necessary to resume or continue operations			
Records that would require massive resources to reconstruct			
Records that document the history of communities and families			

Activity 2 — Identify and Evaluate Risks Activity

Activity Goal

Identify, analyze, and document the risks for two essential records from your agency.

Activity Instructions

Refer to the essential records you identified in the Activity 1. Select two of those essential records and then complete the My Agency's Risk Matrix table (Table 2) for the records by doing the following:

- In the **Essential Record** column, enter the two essential records you selected
- In the **Potential Risk** column, list the risks to each essential record. For example, there might be a risk of water damage. (Try to come up with at least two to four risks for each record.)
- In the **Source of Risk** column, record the potential cause of each risk. For example, the water damage might be caused by a leaky roof.
- In the **Location of Impact** column, record where each risk will have an impact. Is it agency-wide? One particular part of the building? One work process or function? One system?
- In the **Potential Effects on Essential Records** column, list the potential effects of each risk. For example, mold and mildew might begin to grow on waterlogged records.
- In the **Existing Control Measures** column, describe any current steps, processes, or strategies your agency has in place to detect the presence of a risk, prevent it from happening, and/or mitigate its effects.
- In the **How Likely is an Incident?** column, rate the probability of each risk occurring, using the Risk Analysis Rating System provided on page 3 above. For example, in a rainy area, the likelihood of a roof leak that damages the records might have a higher rating than in a desert area.
- In the **Severity of Effects** column, rate the impact of the potential effects using the Risk Analysis Rating System provided on page 3 above.

Rating System

Table 1: Risk Analysis Rating System

RISK ANALYSIS RATING SYSTEM				
Impact of Risk	High	Catastrophic impact; devastating loss The event has little chance of occurring.	Catastrophic impact; devastating loss Similar events have occurred in the past.	Catastrophic impact; devastating loss The event is expected to occur.
	Medium	Serious/critical impact; significant loss The event has little chance of occurring.	Serious/critical impact; significant loss Similar events have occurred in the past.	Serious/critical impact; significant loss The event is expected to occur.
	Low	Minor/marginal impact; some loss The event has little chance of occurring.	Minor/marginal impact; some loss Similar events have occurred in the past.	Minor/marginal impact; some loss The event is expected to occur.
		Low	Medium	High
		Probability of Risk		

Name(s): _____

Agency: _____

Essential records selected from Handout 1.6: _____

Table 2: My Agency's Risk Matrix

ESSENTIAL RECORD	POTENTIAL RISK	SOURCE OF RISK	LOCATION OF IMPACT	POTENTIAL EFFECTS ON ESSENTIAL RECORD	EXISTING CONTROL MEASURES	HOW LIKELY IS AN INCIDENT? (PROBABILITY RATING)	SEVERITY OF EFFECTS (IMPACT RATING)

Activity 3 — Determine Protection Strategies and Measures Activity

Activity Goal

Determine protection strategies and measures to deal with risks to your agency's essential records.

Activity Instructions

Using the essential records and risks you identified in the Activity 2, complete the My Agency's Protection Strategies and Measures table (Table 3) by doing the following:

- In the **Essential Record** column, enter the essential records you used in the Session 2 activity.
- In the **Potential Risk** column, enter each risk to the essential records you identified in the Session 2 activity.
- In the **Protection Strategy** column, identify the protection strategy you will use for the risk.
- In the **Protective Measures** column, describe the protective measures you will take to protect the essential record.

Name(s): _____

Agency: _____

Table 3: My Agency's Protection Strategies and Measures

ESSENTIAL RECORD	POTENTIAL RISK	PROTECTION STRATEGY (ACCEPTANCE OR MITIGATION)	PROTECTIVE MEASURE(S)