

2013

CITY OF MAINEVILLE

Records Disaster Recovery Plan

This plan has been developed to provide general guidelines to be followed in the event of an emergency in order to protect, secure and recover various records in the custody of city departments and to restore business continuity.

City Clerk
City of Maineville, Maine
2/26/2013



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Purpose

The purpose of this plan is to provide general guidelines to be followed in the event of an emergency to protect, secure and recover various records in the custody of city departments and to restore business continuity in a timely manner.

Scope

This plan contains general incident recovery information and suggested guidelines to restore business continuity after the incident. It does not include preventative measures. The plan recognizes that preparedness plans cannot fully describe actual operational tactics and strategies and will rely on the on-site commanding officer who will be responsible for the safety of all personnel and in the protection of property.

This plan also contains provisions for distribution and periodic updates.

Contact List

Records Management Officer (RMO)

Willamina Smith
City Clerk
1 Maine St.
Maineville, ME 00000
207.555.0001 (work)
207.555.0002 (home)
207.555.0003 (cell)

City Manager

Will Smith
1 Maine St.
Maineville, ME 00000
207.555-0004 (work)
207.555.0005 (cell)

Director of Public Works

Bill Smith
1 Maineville Ct.
Maineville, ME 00000
207.555.0006 (work)
207.555.0007 (cell)

Police Chief/Incident Commander

William Smith
1 Maine St.
Maineville, ME 00000
207.555.0008 (work)
207.555.0009 (cell)

Fire Chief/EMA??

Billy Smith
1 Maine St.
Maineville, ME 00000
207.555.0010 (work)
207.555.0011 (cell)

Facility Maintenance – City Hall

Willy Smith
1 Maine St.
Maineville, ME 00000
207.555.0012 (work)
207.555.0013 (cell)

Director of Information Technology

Wilson Smith
1 Maine St.
Maineville, ME 00000
207.555.0014 (work)
207.555.0015 (cell)

Maine State Archives

Tammy Marks
84 State House Station
Augusta, ME 04444-0084
207.287.5799 (work)

Records Management Center

PO Box 155
Bangor, ME 04402-0155
207.990.4636

Kofile

One Allen Martin Dr.
Essex Junction, VT 05452
1.800.639.3027

Contact List: Role/responsibility:

- **Records Management Officer (RMO)**

The Records Management Officer (hereafter referred to as the RMO) has the legal responsibility for records created and maintained by the city. The RMO or his/her designee will serve as the director in matters regarding the recovery and retention of critical records for the duration of the recovery situation. The RMO will have the responsibility of contacting the appropriate personnel during an emergency situation and delegating the tasks involved in the procedures defined in this section. The RMO will also work as a liaison between the State of Maine State Archives division and any other contracted vendors.

- **Police Chief**

The Police Chief will be contacted at the onset of the emergency situation if the situation is considered to be a crime scene. If the situation threatens/endangers more than the records, the Records Management Plan must be followed in conjunction with the Incident Commander(s). In such a case the Police Chief and the EMD will coordinate with the RMO in an effort to secure the city records without deterring rescue/recovery efforts affecting other property and human safety.

- **City Manager**

The City Manager will notify the RMO at the onset of such an Emergency. In case of a situation that threatens any city records such as localized fire, flood, etc. (but is not considered a city-wide emergency), the City Manager will assist the RMO with procedures to recover and retain the records critical to municipal government operation

- **Fire Chief/Local Emergency Management Director (EMD)**

The Fire Chief/EMA Director or his/her designee has the authority to issue a "Declaration of Emergency". In the event of a city-wide emergency, the Fire Chief will act in concert with other Public Safety personnel as defined in the City of Maineville Emergency Management Response Plan.

- **State of Maine Archives**

The State Archives Regional Advisory Officer will be contacted by the RMO if the situation warrants state assistance. The State of Maine Regional Advisory Officer will determine if state disaster funding is required and coordinate in the recovery efforts of records damaged during an emergency situation.

- **Director of Information Technology**
The Information Services Director will be contacted by the RMO to coordinate recovery of computerized data and to assist in the recapture of business continuity either on-site or at a designated off-site location.

- **Records Management Center and/or Kofile (vendors)**
The contracted vendor(s) will be notified by the RMO in the event of damage to records. The contracted vendor will assist with preservation treatments as required of records damaged during an emergency situation and will assist with documenting the records lost/saved.

- **Director of Public Works**
The RMO will contact the Director of Public Works in the event that the emergency situation required evacuation of records from one location to another. The Director of Infrastructure will be in charge of the coordination of the staff and relocation efforts of such records to a designated airport hangar.

Emergency Planning Process

Mission Critical Records

The City of Maineville began planning for emergency preparedness and business continuity for Records Management with the study and inventory of all records series in the custody of the City. This study identified record series that would be critical for the city to regain business continuity again after an emergency situation. The records identified as vital, historical in nature or essential to business continuity have been designated as Mission Critical.

Mission Critical Records are located in several locations throughout the City, and are identified with a bright green label on the file drawers labeled "Mission Critical Records" or are housed in one of the vaults located within City Hall. These vaults are located in the City Clerk's office, the Assessor's office and the basement of City Hall.

Mission critical records are those that are historic in nature or are not able to be recreated anywhere. Mission critical records are located in several locations throughout the City, but most are at City Hall stored in the four fire-proof vaults. Three are located on the first floor - one vault is located in the City Clerk's office, two are in the Assessor's office, and one is located in the basement. In case an emergency situation requires the evacuation of records from City Hall, the records in these vaults should be removed first to the extent that safety allows. Procedures provided in this section for removal and recovery of archival records is to be followed.

Mission Critical records that are not available in electronic format or on microfilm are listed below. In the event of an emergency, these record series should be salvaged first as there is no other manner in which to retrieve the information contained in these records at this time. Although most are located in one of the previously mentioned vaults, some are filed in regular file cabinets with the drawers highlighted with a bright green magnet stating "Mission Critical Records" within the various city departments.

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Mission Critical Records Series Identified

CDBG Grants	Critical	Paper	Admin
Exemption Records	Critical	Paper	Assessing
Abatement Files	Critical	paper	Assessing
Property Record Cards	Critical	Both	Assessing
Commitment Books	Critical	Paper	Assessing
Voter Registration Cards	Critical	Both	Clerk
Subcommittee Files	Critical	Both	Clerk
Vitals Corrections	Critical	Paper	Clerk
Birth Records, 1947-present	Critical	Paper	Clerk
Marriage licenses, 1900-present	Critical	Paper	Clerk
Death Records, 1864-present	Critical	Paper	Clerk
Burial Permits, 1980-current	critical	paper	clerk
Oath Books	Critical	Paper	Clerk
Pole Permits	Critical	Paper	Clerk
Business Recordings	Critical	Paper	Clerk
Ordinances	Critical	Paper	Clerk
DD 214 Recordings	Critical	Paper	Clerk
Policies	Critical	Paper	Clerk
Legal Files	Critical	Both	Clerk
Cemetery Deeds	Critical	Both	Clerk
Cemetery Lot cards	Critical	Both	Clerk
Lien Information	Critical	Paper	Finance

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Payroll	Critical	paper Only	Finance
W2 forms	Critical	paper	Finance
Payroll, last year	Critical	Paper	Finance
Payroll, 2005-2012	Critical	Paper	Finance
Inspections	Critical	Paper	Fire
Rope Usage Logs	Critical	Paper	Fire
Skedco Logs	Critical	Paper	Fire
Inspection/site files/sprinkler	Critical	Both	Fire
Investigation files	Critical	Paper	Fire
Vehicle Service Records	Critical	Both	Fire
Check Sheets	Critical	Paper	Fire
SSI	Critical	Paper	H&W
GA Case Files	Critical	Both	H&W
SSI Lien Reimbursement	Critical	Paper	H&W
GA Vouchers	Critical	Paper	H&W
Tax Change Forms	Critical	Paper	HR
Personnel files, former employees	Critical	Paper	HR
Fingerprint cards	Critical	Paper	PD
Sex offenders, active	Critical	Paper	PD
Sex offenders, inactive	Critical	Paper	PD
Juvenile offender, 1990-current	Critical	Paper	PD

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Booking videos	Critical	Electronic	PD
Polaroid mug shots	Critical	Paper	PD
Investigative Records, 2012	Critical	Both	PD
Investigative Records, 2011	Critical	Paper	PD
DVD-CD evidence	Critical	Electronic	PD
Project files	Critical	Both	PW
Warranty information	Critical	Paper	PW
Medical files	Critical	Paper	HR
Workers' Comp files	Critical	Paper	HR
I9 forms	Critical	Electronic	HR
Payroll Changes	Critical, until scanned	Both	HR
Annual Reports	Historic	Paper	Clerk
Election Records 1904-2012	Historic	Paper	Clerk
Annual Reports, 1880+	Historic	paper	clerk
City Directory, 1903+	Historic	Paper	Clerk
Naturalization Papers	Historic	Paper	Clerk
Insane Hearings	Historic	Paper	Clerk
Fire Records	Historic	Paper	Clerk
Scrapbooks	Historic	Paper	Clerk
Maine Register, 1982-1993	Historic	Paper	Clerk
Town Records, 1802+	Historic	Paper	Clerk
Common Council, 1890+	Historic	Paper	Clerk
Alderman Records, 1890+	Historic	Paper	Clerk

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City Council Records 1966+	Historic	Paper	Clerk
Council Packets, 1934+	Historic	both	Clerk
Ice Storm Records	Historic	Paper	Fire
Fire Dept Building Info	Historic	Paper	Fire
Fire Logs 1902+	Historic	Paper	Fire
Circulation Records	Historic	Paper	Library
Maine Register, 1872-1996	Historic	Paper	Library
Artwork	Historic	Paper	Library
City Directory	Historic	Paper	Library
Historic Posters	Historic	Paper	Library
Yearbook, Maineville High	Historic	Paper	Library
Scrapbooks	Historic	Paper	Library
Plans	Historic	Paper	Planning
Field books, 1901	Historic	Both	PW
Haines Charity	Active or Critical?	Paper	H&W
Champlain's Teachers Fund	Active or Critical?	Paper	H&W
Personnel files, Active employees	Active, critical	Both	HR
Arrest Reports, 2006-current	Active, critical	Paper	PD
Arrest Reports, 1990-2004	Active, critical	Paper	PD

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Arrest, Reports, 2004-2007	Active, critical	Paper	PD
Street Files	Active, Historic	Paper	PW
Trusts, 1983- 1988	Active/critical?	Paper	Finance

Active/ Inactive / Non-Critical Records

Most city departments house active records, inactive records (not yet past the legal retention period) and records that must be retained permanently, which are considered mission critical and/or historic in nature, as these cannot be recreated. For the most part, active records are used in the day-to-day operations and are maintained in a computerized setting, which is backed up daily by the Information Technology Department. Inactive records are required to be retained for differing periods of time in accordance with the Rules for Disposition of Local Government Records.

All the records that are non-mission critical are listed below:

Legal files, 2005 - current	Active	Both	Admin
Legal Files, ?-2004	Active	Paper	Admin
Poverty Abatements	Active	Both	Admin
Correspondence	Active	Paper	Admin
Project files	Active	Both	Admin
Complaints	Active	Paper	Admin
Event Planning	Active	Paper	Admin
Newsletter	Active	Both	Admin
Personal Property files	Active	Both	Assessing
Board of Assessment Review files	Active	Paper	Assessing
Personal Property files, inactive	Active	Paper	Assessing
Subcommittee Appointments	Active	Paper	Clerk
Business Licenses	Active	Both	Clerk
Vital request forms	Active	Paper	Clerk
Ballots	Active	Paper	Clerk

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Incoming Voter List	Active	Paper	Clerk
Marriage intentions, 1959-present	Active	Paper	Clerk
Daily work, current	Active	Paper	Finance
Motor Vehicle, weekly	Active	paper	Finance
Problem Properties	Active	Paper	Finance
Monthly folders, current	Active	Paper	Finance
Motor Vehicle, pinks	Active	Paper	Finance
W9 forms	Active	Paper	Finance
Purchasing Records	Active	Both	Finance
Invoices	Active	Paper	Finance
Daily envelopes	Active	Paper	Finance
Accounts Payable, 2005-2010	Active	Paper	Finance
Checks, 2007 & 2008	Active	Paper	Finance
Daily envelopes, 2006-2012	Active	Paper	Finance
Discharged Liens	Active	Paper	Finance
Time cards	Active	Paper	Finance
Bonds	Active	Paper	Finance
EMS Reports	Active	Paper	Fire
State Reports	Active	Paper	H&W
W4 forms, 1972	Active	Paper	HR

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Accounts Payable	Active	Paper	Library
Project Files	Active	Paper	Library
Personnel Files	Active	Paper	Library
Scholarship files, 2008-current	Active	Paper	P&R
Program Files, current	Active	Paper	P&R
Offense report attachments	Active	Both	PD
Special Events	Active	Both	PW
Excavation Permits	Active	Both	PW
Work Orders, 2003-2008	Active	Both	PW
Leave requests	Active	Paper	PW
Forms	Active	Paper	PW
Expanded Archery	Active	Paper	PW
Bid specs	Active	Paper	PW
Parts Manuals	Active	Paper	PW
Vehicle Service Records	Active	Paper	PW
Equipment Service Records	Active	Paper	PW
Owner's Manuals	Active	Paper	PW

Removal & Storage of Records

Emergency kits containing covered storage boxes, plastic sheeting, garbage bags, a bucket and paper towels are located in the following areas:

City Hall, Public Works, Police Department, Fire Department and the Maineville Public Library.

Files removed from one compromised facility will be relocated to a temporary storage location. Temporary storage locations will depend on the location of the incident. An airport hangar would provide a large, open space which could work as an adequate temporary storage area. If this is unavailable, Fire Department basement area may be suitable. If no adequate city facility is available, a private vendor may be able to provide temporary, secure storage.

To transport compromised records to the temporary storage area, items should be placed in storage boxes for transit. Before any removal can take place, staff charged with moving the records must ensure that the building and/or area is safe to enter by contacting the Incident Commander at the scene.

Bound volumes that fit in the storage boxes should be stored with their spines down or flat in the boxes. To the extent possible, records series should be boxed together and kept in the order that they were originally stored. It is important that no documents be placed into a more permanent storage situation until they are totally dried, as moisture will result in mold deterioration of these documents. Once at the temporary storage area, records should be removed from their storage boxes, debris removed with a sponge or brush and records arranged to facilitate the drying process. No water should be added to the situation. The RMO and the State of Maine Archivist will evaluate the extent of the damage to these records and determine a plan-of-work to salvage as much of this information as possible.

Photographs should be cleaned with a dry cloth if damage is limited to debris, dust. If the damage is severe, a photocopy of salvageable images should be undertaken. Photographs that can be preserved should be placed in polyester sleeves (such as Mylar) so they can be viewed without being handled directly. Newspaper clippings and other highly acidic paper items should be photocopied onto acid-free paper.

Electronic Records

Many of the city's functions, those necessary to start-up business following an emergency situation, are currently managed electronically. These record series and functions can be immediately recovered if the appropriate back-up procedures are followed. All of the various software applications are either web-based or are stored on the city's network.

The City of Maineville utilizes a nightly and monthly backup strategy. Nightly backups are performed using Microsoft Data Protection Manager 2012 SP1 to a Dell MD3000i disk based SAN device. These backups are kept on the SAN for five days with newer data replacing older data as the cycle continues. Monthly tape backups are created using the same Microsoft software to write data to a Dell TL2000 tape library. These backup tapes are then stored in a fireproof safe in the basement of a house located at 35 Town Farm Road, Elsewhere, Maine.

The City of Maineville Technology Department has implemented a separate Disaster Recovery Plan which details the implementation of temporary operations, the re-establishment of full operations, a detailed listing of all current hardware and software and vendors. This plan is attached as Appendix A.

Continuity of Business & Records Recovery

Procedures for Recovery of Mission Critical Records

The procedures for recovery of mission critical records are defined below. The recovery efforts will differ dependent upon the circumstances of the emergency situation. These procedures have been defined by 1) those that result in serious water damage to the mission critical records and 2) those that result fire damage, existence of debris (requiring document cleaning) or the need for relocation of records and/or operations off-site due to a threat to a city facility.

- a. RMO will notify the City Manager and appropriate department head of where the records will be relocated.
- b. Director of Public Works will direct Public Works personnel to remove the compromised records located in vaults or file cabinets (labeled with a green magnet on the outside of file cabinets) and relocate them to the designated off-site location.
- c. The Public Works Director will direct his staff in securing these records in the outside area and transferring them to a designated off-site location.
- d. RMO will contact the Maine State Archivist and advise him/her of the situation.
- e. The State of Maine Archivist will determine the need for state financial assistance and process the documentation needed to receive this assistance if required. Regardless of fiscal considerations, the RMO and State Archivist will evaluate the condition of the records and determine the best cost-effective course of action for recovery of documents.
- f. The RMO will be responsible for delegating staff and personnel in the recovery/preservation activities including cleaning, drying, or transporting to a vendor for these services

Relocation of business operations

In the event that a city facility becomes uninhabitable for a period of time, business operations will be moved to an off-site location. The Maineville Fire Department and the Former Manufacturing building are two possible temporary business locations. The City Manager will coordinate the availability of space in each facility and will direct the RMO of where to set up temporary operations.

The City Manager will coordinate with the Director of Information Technology the acquisition of, transport, and set up of the necessary computers, printers and other peripherals at the off-site location. The Director of Information Technology will ensure that the computer data and programs are accessible as soon as possible. See Appendix A.

The City Manager will coordinate with the local media to notify the public of the disruption of service to its citizens and of the temporary business location(s).

Distribution of Plan & Periodic Updates

Distribution of Plan

This Records Disaster Recovery Plan will be distributed to all city departments including Human Resources, Public Works, Parks & Recreations, Maineville Public Library, Police, Fire, Finance, Assessing, Health & Welfare, Planning, Code, City Engineer, Administration, Information Technology and City Clerk in addition to each individual listed as a contact on pages 3 and 4. In addition, the following will receive a copy of the Records Disaster Recovery Plan.

1. State of Maine Archives
84 State House Station
Augusta, ME 04333
2. Records Management Center
PO Box 155
Bangor, ME 04402-0155
3. Kofile
One Allen Martin Dr.
Essex Junction, VT 05452

Procedures for Periodic Updates to Plan

This plan is static in that the RMO is continually microfilming and/or digitizing mission critical records in an effort to enhance the ability to retrieve mission critical records in case of emergency or disaster. In addition, electronic records back-up procedures must be reviewed periodically and revised as the technology needs and abilities of the city are continually upgrading and changing. The following items must be reviewed for revision and updating on a periodic basis. Items to be reviewed include:

1. Changes in Contact information: personnel changes, phone number and address changes must be kept current by annual review.
2. Updates to record series microfilmed will be updated as additional filming is undertaken.
3. Review and revise electronic records back-up procedures on a routine basis.