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# **RECORDS DISASTER PLANNING AND RECOVERY FOR THE NEWARK HOUSING AUTHORITY**

Prepared for:

**Executive Director Jim De Volder and Records Advisory Committee**

**Newark Housing Authority**

**Newark, New York**

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## SUMMARY

The Newark Housing Authority (NHA) has had a formal records program since 2003, the year the agency completed an inventory of its 2,087 cubic feet of records and related materials. NHA engaged CGR (Center for Governmental Services Inc.) in early 2004 to help the agency move to the next stage in its records program – anticipating potential disasters by recommending a system of preventive measures, outlining steps to lessen the impact should a disaster occur, and detailing measures that will enable efficient resumption of daily operations after an emergency.

This report describes NHA vital records at risk, and recommends that the agency take undertake several actions to improve its management of records. These actions include: replacing the agency safe, purchasing additional fireproof cabinets, moving records now on media to a new location, changing a range of office practices and processes, and initiating a microfilm program for permanent records. Microfilming permanent records will allow the agency to eliminate one of its two off-site records storage areas (currently in a garage storage area that does not meet SARA guidelines for records). NHA can move to the next level in its records management program if it implements the recommendations in this report.

## Contributing Staff

Charles Zettek Jr., Director of Government Management Services, provided oversight and review of this project. Vicki Brown conducted the field research, drafted reports, and contributed the core of the written recommendations for CGR.

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CGR would like to acknowledge the many Newark Housing Authority employees who took time from their daily activities to discuss the status of records and disaster recovery issues. In particular, Executive Director Jim De Volder and the two other members of the Office of the Executive, Yolonda Casselman, office manager, and Marie Wasman, finance manager, devoted significant time to information collection and reviewing CGR's draft recommendations. CGR also thanks Marilyn Hamelinck for her extensive overview of public housing records; Suanne Klahn and Chris Daly for their detailed overview of Section 8 records; Debbie Sergent and Jennifer Heath for explaining initial client contact processes, and Kyra Yon for her review of family self-sufficiency records.

## SECTION 1 - OVERVIEW

CGR was engaged in early 2004 by the Newark Housing Authority (NHA) to develop a records recovery and disaster plan, consistent with New York State Archives and Records Administration (SARA) guidelines and recommendations. The NHA has been in existence since 1968. It owns and operates a total of 160 units of low-income rental property at three sites in Newark; administers the Section 8 housing program in the area; provides rental subsidies for a 76-unit senior citizen complex, and offers various self-sufficiency programs for area residents.

The NHA established a formal records program in 2003 after agency staff completed, with funding from a SARA grant, an inventory of 2,087 cubic feet of records and related materials. The inventory identified all active, inactive and archival records, and also all other NHA information in file cabinets, on media, on shelves, or in storage. NHA also developed policies governing maintenance of the inventory, access to records, responsibilities of the Records Management Officer (RMO) and staff, records retention, and disposal procedures.

After completing these steps NHA's Records Advisory Committee determined that the NHA emergency plan does not address records or information technology recovery issues, and that the agency still needed to identify vital records and ways to protect them in the event of a disaster. Committee members also wanted a plan to help the agency resume normal business functions in a timely manner after an emergency.

With remaining funds from its 2003-04 SARA grant, NHA asked CGR to develop a records recovery and disaster plan that would:

- ❖ Assist NHA with review and identification of vital records.
- ❖ Identify measures the NHA should implement to protect vital records from damage (i.e., list of necessary improvements,

including equipment purchases and records recovery supplies and/or procedures).

- ❖ Address records recovery issues.
- ❖ Ensure that information technology issues are addressed in assessing records and recovery.
- ❖ Develop a recovery plan for preserving documents after a disaster.

Although all NHA housing is independent living, and tenants are responsible for their own safety in the event of an emergency, the agency has developed a list of all tenants who are hard of hearing, are not mobile, or have other special needs. The list is updated regularly, and is located in several places, including such offsite locations as fire, police and ambulance offices.

Disasters that could create records emergencies for the agency include a broad spectrum of problems due to power outage, fire, flooding, vandalism, explosion, tornado, heavy snow, ice, electrical storms or other occurrences that could shut down operations for a significant period. NHA is 30 miles from the Ginna nuclear plant. It is also an agency with security concerns because many of its records are confidential. The agency has taken many steps to address security issues (e.g., bulletproof glass at the reception window; panic buttons in strategic locations linked to the police department, no “rent drop boxes” to avoid pipe bombs, steel entry doors, alarm system for main offices).

Per SARA, the definition of “vital records” refers to all records essential to the financial well-being of NHA, its legal rights, and the rights of its tenants and employees, and all records without which NHA could not conduct its business. In this report CGR also makes recommendations regarding the agency’s small but important “archival records.” SARA defines an archival or historical record as a record that should be kept permanently because of its administrative, legal, fiscal, or research value.

This report outlines CGR's recommendations for disaster planning, mitigation and recovery for NHA vital and archival records.

## SECTION 2 - PROJECT APPROACH

CGR held an initial meeting with the Records Advisory Committee (executive director, office manager, finance manager), and subsequently conducted one or more in-depth interviews with each of them. CGR also interviewed six other staff members about agency processes and specific records. In addition, CGR conducted on-site inspections of records storage facilities at two locations outside the main agency offices.

CGR also met with Gail Fischer, SARA Regional Advisory Officer; reviewed written records grants/accomplishments since 2000 at Geneva Housing Authority (larger but similar agency), and sent a representative to an April 28, 2004 SARA workshop on "Managing Electronic Records" to ensure the latest SARA guidelines are incorporated in this report.

CGR also talked to vendors and obtained current quotes for the major equipment this report recommends NHA obtain.

## SECTION 3 - OBSERVATIONS

### **Positive Factors Affecting Disaster Planning**

As a result of the 2003 records inventory, NHA is enjoying many of the benefits of having a records management program. Agency staff members, for example, are meeting external compliance requirements without keeping records for longer-than-required periods; know where all agency records and materials are located; have purged and destroyed unnecessary duplicate records from closed files, and have implemented a plan re: record retention and disposal. Most important, top management and staff members support the new records management program.

From a records recovery and disaster planning standpoint, CGR also observed the following positive aspects of existing business operations at NHA:

***Backup copies already exist, except for the current month, for many vital records.***

- 1) Backup systems for business-critical records, except for the current month, already exist. Four key support systems (accounting, payroll services, auditing, HUD electronic filing) are off site. All are located outside the Newark area and keep – for varying lengths of time – copies of essential records.
  - a) The accountant, located in Georgia, maintains key NHA financial records, except for the current month, in his accounting system; general ledger and journal vouchers back one year, and budgets for the three previous years. NHA is planning on soliciting bids for accounting services in the near future. If the agency changes accountants, CGR recommends it require the new firm to keep records at least as long as its current accountant.
  - b) The payroll firm is in Rochester. It maintains all tax forms for a minimum of three years, and NHA earnings records back 18 months. The firm could recreate W-2s for the previous two years, if needed.
  - c) The auditor, located in Florida, produces, from information supplied by NHA, the records that are audited annually and must be kept permanently by the agency. The auditor maintains copies of these audit records in his own firm's files for 7-10 years, and work papers for four years. NHA expects to sign a contract with a new auditor in July. It should require the firm to keep records at least as long as the current auditor.
  - d) For critical HUD reporting the agency relies on the Software Support Consortium Inc., based in Syracuse, which also provides similar services for many other housing agencies (e.g., Syracuse, Buffalo, Auburn, Ithaca). Information on NHA's AS400 system is saved to media and mailed the first or second week of every month (e.g., tenant files, general ledger). The vendor keeps current information on its system for two months, but maintains a historical archive of files for the agency dating back to 1989. In other words, data for virtually every person who has been in an NHA public housing unit or held one of its Section 8 vouchers since 1989 is readily

available, and includes such detailed information as tenant name, social security number, phone number, address, family members, gross income, type of rent, effective move-in date, etc.

- 2) All agency records/data/information on staff members' computers is backed up on zip discs on a monthly basis. The finance manager also backs up critical finance information on electronic media – some records on a daily basis, other records on a weekly basis.
- 3) NHA works closely with a readily available IT firm that responds quickly when computer hardware problems disrupt operations.
- 4) The agency has a “cold site” – approximately 10 minutes away – at one of its public housing sites (the “high rise” for the elderly at 200 Miller St.) should there be a disaster that necessitates moving business operations from the agency's main office. This site is equipped with a generator and could be operational within a short period of time. The IT firm noted above could be available to assist with bringing in computer hardware on short notice.
- 5) Should NHA ever have to move to its emergency location in the high rise in order to conduct business it would have immediate access to its backup records. The cold site location is in the same building and on the same floor as the agency's primary record storage area.
- 6) The Executive Director has designated specific individuals, and is now designating additional staff, to be “back ups” for other staff members, so that key operations will not be disrupted due to disaster-related personnel absences. Several of these staff members have already developed detailed policy and procedures handbooks as their own quick-reference guides and as guides for backup personnel. CGR recommends that every policy and procedure handbook still in development (e.g., Office Manager, Public Housing Clerk) be completed as soon as possible. Resuming business operations after any disaster will be made more

***A space for business operations at another agency site has been identified for emergency use.***

difficult if one or more key staff members are unable to participate in getting the agency operational again, and have not clearly identified policies and procedures for others to follow.

7) All staff members have a copy of the NHA Emergency Plan in their homes, and the plan is updated annually.

## Disaster Planning Issues to Address

- ❖ Approximately 99% of NHA's stored records are paper, and there are no microfilmed records. SARA strongly advocates microfilming NHA permanent records. Gail Fischer, State Archives Regional Advisory Officer, emphasized the importance of preserving permanent records in a medium such as microfilm that can be easily retrieved and read. In the event of a disaster it is relatively easy to move microfilmed records, but moving the same records in paper format can be difficult and time consuming and salvage operations can be expensive. It is also relatively easy to store microfilm originals in a safe deposit box at a local bank for safekeeping. Diazo duplicates, created at the same time as the original microfilm, would be kept on site, to be used as needed.
- ❖ One of the agency's two off-site storage facilities is in the maintenance garage, and SARA strongly advises against storing records in any type of garage. Even though the NHA maintenance garage is exceptionally clean, there is still a significant fluctuation in temperature over time. SARA guidelines for paper records call for temperature and humidity to fluctuate as little as possible within a storage facility and fall between 65-72 degrees Fahrenheit and 40-55 percent relative humidity. For electronic records the targets are 45-65 degrees Fahrenheit and 30-40 percent relative humidity. (A combined storage area is acceptable, with paper records stored at slightly cooler than target ranges. What is critical is to avoid fluctuations in environmental conditions.)
- ❖ The agency's safe is at least 20 years old, and may be much older. No documentation exists regarding its age or how well it protects paper records. The current office manager reports the safe was in place when she joined the agency 20 years ago. There are also items stored in the safe that would not be protected in the event of a fire, but are critical to the agency. They include:

- ◆ zip discs with current information from staff members' computers
- ◆ tapes of the preliminary year-end close out information
- ◆ previous year's close-out tape
- ◆ CDs for setting up the AS400
- ◆ Disc of the records inventory

SARA recommends that in the event of a fire, a fireproof safe not be opened for a minimum of one week, and ideally two weeks, because of the potential for spontaneous combustion to occur. SARA also recommends media with backup information be stored at a separate location, and not in a safe, since media is damaged at a much lower temperature than paper.

- ❖ Although NHA has recently purchased three fireproof cabinets for its finance manager's office and records storage room, not all agency-critical finance information can be properly protected in these cabinets. An additional legal-size four-drawer fireproof cabinet is needed for the finance area to protect items such as the following: general ledger books, timecards, Section 8 vouchers payable for the current year, claims against NHA and notes on problems with landlords for the current month and year.
- ❖ Every month the finance manager mails a package of monthly finance records – many of them with hand-written notations – to the accountant in Georgia. If the package were to be lost in the mail, the finance manager would have to recreate information from the copies of “the cut checks” on hand and from information in her computer. CGR recommends sending the materials by Federal Express or some other method where the package can quickly be “tracked” via the Internet, or via certified mail.
- ❖ Agency-critical public housing and Section 8 records most at risk are those being created within the current month. Given backup schedules and deliveries to outside support services, the agency could have from 1 to 40 days of data at risk of being lost in the

event of a disaster. At the current time there are no fireproof cabinets available to public housing and Section 8 clerks.

- ❖ Some security steps need enhancement, e.g., individual passwords for staff to get onto their computers, locking file cabinets at lunch if no one is in the building, putting “goosenecks” inside drawers that can be locked, and ensuring all information is erased from computers when they are replaced.
- ❖ NHA has only a few boxes of historical records, but they are in regular one cubic-foot boxes rather than archival boxes.
- ❖ All permanent and historical boxes in storage, on site and off site, are not currently labeled with reflective labels, for easy identification following a disaster.

## SECTION 4 - DISASTER PLANNING

### Preventative Measures

*Top Priority: a replacement safe*

CGR recommends NHA replace its current safe as soon as possible. The agency stores critical paper documents such as agency checks, security deposits and other items, including the NHA seal, in its existing safe. Since the fireproof characteristics and age of this safe cannot be documented, we have to assume the safe does not meet today’s generally recognized standards for fireproof safety. Prices and specifications quoted below are sample prices/specifications to provide a guide. Prices are current as of mid-June, 2004. Fireproof safes are not available under state or GSA contract. SARA does not provide guidelines for safes because they are not items that SARA funds.

**Option 1 - FireKing KV2015-2** is UL listed, weighs 325 pounds, and keeps paper at 350 degrees F. for two hours with external temperature at 1700 degrees F. The 350 degree measure is the temperature at which paper begins to darken. Capacity: 2.3 cubic feet.

External dimensions: 26"H x 20"W x 21¼"D  
Internal dimensions: 20"H x 15"W x 13 ¼"D

Vendor	Price
ASR Systems Group Inc., 126 Metropolitan Park Drive, Liverpool, NY 13088  Contact: Bob Dudley, <a href="mailto:bdudley@asrsystemsgroup.com">bdudley@asrsystemsgroup.com</a> , 585-334-1911, ext. 305; or cell 315-427-2424	\$1,185 plus \$48 shipping, includes installation.  Discounts apply if more than one item ordered at same time; no shipping if items are 500 lbs. or more.
BeSafeFiles.com  1-800-924-2472	\$587.99 + \$175 inside delivery and installation (need to confirm no extra freight charges if you order)

**Option 2 - Sentry Fire-Safe Model A5889** is UL listed 2-hour fire protection and weighs 206 lbs. Interior remains below 350 degrees F with external temperature of 1850 degrees F. Capacity: 2 cubic feet. Water resistant.

External dimensions: 23¾"H x 18 19/32"W x 18 19/32"D  
Internal dimensions: 19 20/31"H x 14 13/16"W x 11 7/8"D

Price: [www.staples.com](http://www.staples.com) is \$364.99 (delivery/freight additional)

***Second Priority:  
additional fireproof  
cabinets***

Many vital records at NHA are now stored in fireproof cabinets, but the volume of vital records that need fire protection exceeds current capacity. CGR recommends NHA purchase four more fireproof cabinets so that all remaining vital records at risk can be protected. The standard is one-hour fire protection, where inside temperature stays below 350 degrees F. with external temperatures of 1700 degrees F. Fireproof cabinets are not available on state or GSA contract, but in the past two years SARA has funded such purchases for agencies with vital records at risk.

Vital records to be placed in these additional cabinets include finance records that should be but aren't now protected; current month records for Section 8 clients; and current month records for public housing.

The finance manager requires a 4-drawer legal fireproof cabinet. ASR Systems Group Inc. currently offers the following:

**Firemaster 9412 (Victor product).** Price: \$2325, includes delivery and installation. Shipping is free.

External dimensions:           52 3/4" H x 20 3/4 " W x 31 9/16" D  
Internal drawers:               10 3/8 " H x 15 1/4 " W x 26" D

Internet prices are cheaper (approximately \$1380 with free shipping, but there may be additional charges prior to ordering.)

Other fireproof cabinets to compare to the ASR Systems Group prices as a guide:

**Option 2 - Victor 9410, a four-drawer file cabinet.** For established Section 8 clients: \$2325, including delivery, installation, and free shipping. Internet prices: approximately \$1350 base price.

External dimensions:   52 3/4 " H x 17 11/16" W x 31 9/16" D  
Inside drawers: 12 3/16 " W and 26 " D

**Option 3 - Victor 9210, a two-drawer file cabinet.** Recommend one for newer Section 8 clients, and one for public housing: \$1490. Dimensions are same as 9410, except external height is 27 ¾". Internet prices approximately \$860 base price.

***Third Priority: begin  
microfilming  
permanent records***

Microfilming permanent records ensures that recorded information is reproduced onto a stable medium. When done properly, microfilm significantly outlasts today's highly acidic paper records.

CGR recommends NHA have vendors come to the agency, review permanent record series, and provide prices for both microfilming permanent records and purchasing an analog reader-printer with motorized carrier and lens to read them. Sue Natalie of ImageMax of Rochester, which recently completed 41 rolls of microfilming for Geneva Housing Authority, offers the following as a guideline:

Based on 1 cubic box of records, which is 2500-3000 images.

Preparation of existing records at 600 images/hour. Note: preparation can also be done by NHA and vendor can train staff.	5 hours @ \$12.95 = \$64.75
Film	\$32/1000 = \$96.00
Diazo duplicate	\$12/roll = \$12.00
Pickup & delivery charge	Round trip = \$60.00
SARA-required 3 <sup>rd</sup> party testing	Test 2 rolls for every 10 prepared at \$15 a roll
Minolta RP603, on state contract, includes lens, carrier, machine, starter toner, delivery,	\$6,560

installation, 90-day warranty	
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Other microfilm vendors price differently (See Appendix A). Contacts include: Judy Marsh, Wayne Finger Lakes BOCES in Newark; Jim Wozniak, Biels Information Technology Systems in Rochester (585-227-3069); Rich O'Donnell, Lason in Rochester (585-427-7305).

### **Options for Microfilm Reader-Printers**

Lason offers the Alos Z40, delivered and set up, and cartridge toner for approximately \$4,000.

Biels offers Canon MP90 on state contract for \$5,900, and toner is extra.

*Fourth Priority:  
eliminate the  
maintenance garage  
storage area.*

When permanent records have been microfilmed, properly dispose of the paper documents. Then move all files now in the maintenance garage to the high rise. Remove carpet in the high rise storage area, have maintenance staff take steps to meet SARA environmental standards (i.e., 65-72 degrees F. and 40-55 percent relative humidity), and install an alarm system for the storage area.

## **SECTION 5 - ADDITIONAL STEPS TO PROTECT VITAL RECORDS**

- Take all “backup media” now in the safe and move to the high-rise storage area as soon as possible.
- Put reflective labels on all permanent storage boxes in on-site and off-site locations as soon as possible.
- Alarm the high-rise storage room. The security alarm should be connected to the police department, and the fire alarm to the fire department.
- Make sure there are working smoke detectors in the high-rise storage area.

- Put a copy of the following in the high-rise storage room:
  - Agency plan
  - Administrative policies ( can be on disc)
  - Policy book for Section 8 public housing
  - The maintenance plan
  - HUD rules for procurement
  - Vendor and contractor lists
  - Important phone logs
  - Rent reasonable comparison information
  - List of Mobil, HSBC, Chase Pitkin credit card numbers.
- Move the “in case of fire numbers” from the safe to the high rise, but keep a copy in Room 109 storage area.
- Back up information for the Syracuse consortium at noon one Friday a month during lunch, and mail immediately, rather than waiting until Monday – to reduce the period NHA is vulnerable to losing data.
- At a minimum, log off untended computers at lunch breaks. A better solution is to add passwords for staff members when logging onto their computers.
- In this era of identity theft, put “goosenecks” inside drawers that can be locked at lunchtime and when the offices are closed for the day.
- Have every staff member make a copy of the policy/procedures they have developed and place in the high-rise storage area.
- Check to see (or arrange to purchase) insurance that allows for the replacement or restoration of records. SARA recommends you determine whether you have actual cash value or average cost value to replace damaged or destroyed equipment and other property. Verify whether you have an all-risk policy or one that covers “acts of God” only partially or not at all.
- SARA recommends NHA determine what staff are expected to do in the event of a disaster to meet insurance requirements (e.g., have the agent personally inspect the disaster site, take photographs to document damage.)
- Keep both a disc and a copy of all forms used at the reception desk in the high-rise storage area, so that in the event of a disaster, frequently used forms are readily available.

- Keep copies of the Public Housing and Section 8 briefing packages in the high-rise storage area, to ensure they are readily available in the event of a disaster.
- Two special management reports (PHAS and SEMAP) prepared by the office manager are at risk only between the time they are completed and the audit. During this time, these reports should be filed in the two-drawer fireproof cabinet CGR recommends be purchased for public housing current records.
- Store Section 8 “Rent Comparable Book” in 2-drawer fireproof cabinet that CGR recommends be purchased for the Section 8 clerk.
- Have IT specialist determine how to ensure all records on about-to-be discarded computers are completely scrubbed. SARA recommends “defragging” all office computers periodically, and before hardware is discarded. NHA may also want to consider using off-the-shelf software designed to wipe a hard drive clean when discarding a computer. NHA should consider asking the agency’s IT specialist for his recommendations in this area.
- When NHA submits its next grant proposal to SARA (i.e., fireproof cabinets, microfilming, microfilm reader/printer, disaster supplies) include costs for the following:
  - Four of the R95 facepiece respirators (total cost \$375) – with two to be kept in Room 109 and two in the high-rise record storage area.
  - Plastic sheeting
  - Rubber gloves (half-dozen or more pairs)

*(Note: for a full list of SARA-recommended equipment and supplies see Appendix B.)*
- Make a short list of companies with refrigeration capabilities in the area, in case NHA ever has to contact one to freeze wet records to keep them from deteriorating until they can be restored.
- Move the contents of the small number of boxes with historical items, now located in the high rise, to acid-free and lignin-free containers and folders available from archival supplies vendors.
- Have the maintenance staff make changes so that the high rise storage area meets SARA guidelines. *(See Appendix C.)*

## SECTION 6 - WHEN A DISASTER OCCURS AND RECORDS ARE AT RISK

CGR recommends the following steps, in accordance with SARA guidelines:

- Using the contact list at the end, call the SARA regional advisory officer as soon as possible.
- Once deemed safe to enter by authorities, try to stabilize the temperature at about 65 degrees and the humidity between 45 and 55 percent.
- If an area is flooded or has high levels of humidity, reduce the temperature further to delay the onset of mold infestation. Mold can grow within forty-eight hours. Remove standing water as soon as possible.
- Have someone take photographs to document damage, then develop a salvage strategy. Someone (preferably the finance manager) can be designated to call the insurance company.
- Identify the records NHA needs to retain temporarily and those that are permanent. Take steps to ensure vital or archival records are usable. SARA refers to salvage as “essentially a process of triage.”
- If records are wet or fire-damaged, staff should wear rubber gloves and face masks. If the air quality is poor, call the county health department for advice on what protective clothing to wear and the breathing apparatus to use.
- If a large number of wet paper records are vital records, hire a freeze-drying specialist to dry them fully and move them to a commercial food storage freezer for freeze drying.
- If the disaster is a flood or fire, NHA may need to call a fumigator to remove lingering odors and mold.

## SARA Step-by-Step Recovery of Wet Records

- In the event the main office building is destroyed due to tornado or other cause, NHA will have to rely on records stored at other locations, as identified above.

*The following is taken from SARA's 2004 publication, "Preparing for the Worst: Managing Records Disasters"*

- First, salvage any records threatened with further damage because they are under water or about to fall.
- Immediately reduce temperature and humidity levels in wet or humid storage areas, and set up fans, air conditioners, and dehumidifiers to help dry out these areas.
- If some records boxes are temporarily falling apart, temporarily store their contents in plastic crates to keep them neat and under control. Use cardboard boxes if you don't have plastic crates, then move the reboxed records to a dry, sheltered area. Never leave wet records to dry on their own, and do not leave them in an area with standing water, high humidity levels, or mold growth.
- To remedy damage to the records, move them to a cold, dry environment. If a large quantity of records is involved, check with school districts, supermarkets, or businesses to see whether space is available in an industrial-size freezer for temporary storage. Then contact a vendor that specializes in freeze-drying records to extract moisture completely.
- If dealing with a small quantity of records, dry them using the appropriate method listed below:
  - *Damp, coated or uncoated paper:* Fan pages open, insert blotter paper, and position them under a fan so air circulates between the leaves.

- *Wet, uncoated paper:* Interleave pages with a paper towel or blank newsprint until damp, then remove the interleaving and proceed as above.
- *Wet, coated paper:* Interleave pages with waxed paper, then fan open, and proceed as for wet, uncoated paper.
- *Photographs:* Rinse in clear, cold water. Dry them face-up on a blotter or hang them on a laundry line.

Once dried, place the records in new cartons. Label the boxes with records series titles, dates, and retention periods so that you know what each box contains.

## **Business Continuity**

CGR recognizes that its recommendations may need to be phased in over time. However, full implementation will ensure ease of maintaining business operations following a disaster.

CGR recommends NHA copy the sections of this report entitled “When a Disaster Occurs and Records Are at Risk” and “SARA Step-by-Step Recovery of Wet Records” and include them in the NHA emergency plan, along with the NHA emergency contact list that follows.

## **SECTION 7 - CONTACT NAMES IN THE EVENT OF A DISASTER**

### **SARA**

#### **Gail Fischer**

State Archives Regional Advisory Officer

Ph: 585-241-2827

Ph: 585-461-1212 (home)

(Note: in the event of disaster, emergency grant funds are available but she needs to be notified ASAP)

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### **Government Records Services in Albany**

Ph: 518-474-6926

### **John Haines**

NYS Mycologist

Ph: 518-474-5809

(Note: John Haines recently retired. The new person had not been named at the time of this report. When updating your emergency plan call the number and ask who has replaced him. The number will not change.)

### **Insurance**

Housing Insurance Services Inc.

Housing Authority Risk Retention Group (same contact info for both)

Jean Solla

189 Commerce Court

PO Box 189, Cheshire, CT 6410

Ph: 800-873-0242 ext. 230

Fax: 203-271-2265

[www.housingcenter.com](http://www.housingcenter.com)

Policies:

- Blanket Employee Dishonesty – Form O; Forgery – Form B #103260663-2003
- Auto Phys. Damage, liability program #Kth-810-218t9151-tia-04
- Excess Auto Liability #33-0689-04-00-000A
- Commercial Property, Bus. Computer, equip. floater, boiler& machinery, terrorism #689/KTJCMB-198D684-2-2004

**Accountant**

Mark Boeckman

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**Payroll Services**

Acct. #0017-2831

Roy Wegman (if unavailable, ask for anyone on his team)

PAYCHEX, INC.

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105 Despatch Dr.  
Suite One  
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### **HUD Reporting**

Lorie Brothers, Executive Director  
Software Support Consortium Inc.  
8444 Gaskin Road  
Baldwinsville, NY 13027  
Ph: 315-622-1488  
Fax: 315-622-1233  
Email: [ED@housingsoftware.org](mailto:ED@housingsoftware.org)

### **IT Specialist**

Tom Miller  
Tri-Delta Resources  
15 North St.  
Canandaigua, NY  
Cell: 716-259-6106  
1-800-724-4200, ext. 224

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Dispatch: 1-800-724-4201

**Auditor**

Jim Barker

Vice President

Malcolm Johnson Co.

PO Box 530848

DeBary, FL 32753-0848

Ph: 386-668-6464

Fax: 386-668-6463.

**Workman's Comp.** – w/The State Insurance Fund

Policy #Z1072783-2

Heather Dougherty (or anyone else)

The Flanders Group

West Brook Building

2850 Clover St.

Pittsford, NY 14534

Ph: 800-462-6435

Fax: 585-381-3565

## APPENDIX A: ADDITIONAL MICROFILMING QUOTES

CGR collected the following information in mid-June 2004 regarding microfilming options.

### Wayne Finger Lakes BOCES

Contact: Judy Marsh

Ph:315-332-2100

#### *Preparation of records*

Charge: \$130/day (based on 6-hour day)

Typically can do 4,000 frames (not quite 2 cubic boxes) in day

#### *Typical costs for film for 4,000 frames*

Silver gel film and process: \$22 a roll

Diazo film: \$11 each/ two needed for each silver gel film

Return charge: \$7.50 total (\$2.50 x 3)

#### *Testing extra*

SARA requires outside testing of microfilm. SARA identifies organizations that can do the testing for the microfilm vendors. Only limited number of microfilm rolls are tested.

Total testing per roll = \$24

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*Delivery*

Minimal – easy accessibility to NHA

**Lason**

Contact: Rich O'Donnell

Ph: 585-427-7305

[rodonnell@lason.com](mailto:rodonnell@lason.com)

*Preparation (estimated based on "light-to-medium prep")*

Charge: \$16 per hour

Typically can do 1000 documents per hour. A standard records storage box can equal about 3,000 documents, so preparation total for a box would be about \$48.

*Film*

Normal charge (can be more competitive depending on amount) is 3 cents per page. If 3,000 images to the box, would be \$90 for film.

Diazo duplicate is typically \$7 per roll.

And a roll of film generally equals 2600-2700 images (so roughly 1 box = one roll).

#### *Delivery*

\$50 each way or \$100 total. (Based on one delivery and one pickup).

#### *Testing*

Charge is usually \$14 per roll. If a 100 rolls of microfilm were sent to a test lab, he estimates they would test approximately 25.

### **Biels Information Technology Systems**

Contact: Jim Wozniak

Ph: 585-227-3069

[jwozniak@biels.com](mailto:jwozniak@biels.com)

#### *Preparation*

Charge: \$20 per hour

Typically can do 1,000 documents (pages) per hour

#### *Film*

\$35 to \$40 per 1,000 images

Diazo duplicates: \$9-10 per roll depending on number

*Delivery*

No charge for pickup and delivery – Newark within our area..

*Testing*

Charge is extra but charged by the testing lab.

## **APPENDIX B: EMERGENCY EQUIPMENT AND SUPPLIES**

In addition to fire extinguishers, SARA recommends the following emergency equipment and supplies for a disaster. NHA should determine which items to keep on hand and which to identify outside sources for in order to contact them in an emergency.

- Freezer space

- Drying space
- Dehumidifiers
- Fans
- Pallets
- Plastic sheeting
- Duct tape
- Portable sump pump
- Wet-dry vacuum
- Unprinted newspaper
- Plastic trash cans
- Plastic trash bags
- Plastic crates
- Rubber gloves
- Protective clothing
- Respirators
- First-aid kit
- Paper towels
- Fumigation supplies
- Forklift
- Refrigerator

## APPENDIX C: NHA RECORDS STORAGE CHECKLIST

- Evaluate walls, window, foundation and other structural elements – are they prone to leakage?
- It is ideal if walls are cement block or an appropriate grade of fire resistant sheetrock..
- Within and outside the records storage area – check quality of electrical wiring, sewer lines, water and steam pipes.
- Install a good fire alarm and suppression system and set an annual schedule for inspection and testing. Ideally there should be a smoke detector/sprinkler system along with the fire extinguisher.
- Lighting fixtures should be at least one foot above the cartons on the top shelf, and sprinkler heads one and a half feet above the cartons.
- SARA guidelines for paper records call for temperature and humidity to fluctuate as little as possible within a storage facility and fall between 65-72 degrees Fahrenheit and 40-55 percent relative humidity. For electronic records the targets are 45-65 degrees Fahrenheit and 30-40 percent relative humidity. (A combined storage area is acceptable, with paper records stored at slightly cooler than target ranges. What is critical is to avoid fluctuations in environmental conditions.)
- Regarding the HVAC system, make sure there is adequate air circulation. Mold infestation can become a major problem if air flow is minimal.
- Since the high rise storage area has a window, make sure it always has blinds or shades to protect records from natural light. Ultraviolet ray filter sheets for window glass are another inexpensive alternative.

- Remove carpeting from the high rise storage area.
- Storage area should be clean, well lit, dry and free of mold.
- Bottom shelf of records shelving should be at least 4-6 inches from the floor so that records stay dry during minor flooding.