

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
PRESERVATION PROGRAMS**

**AFTER ACTION REPORT LONG FORM  
Records Emergency Response Assessment**

*Directions:* Use the After Action Report long form for records emergency events that require the services of outside emergency response contractors. Name the file After Action Report [facility short name] YYYYMONTHDD for easy retrieval later, for example, After Action Report AI 2006June30. Submit the completed report to the head of your emergency response team and the appropriate administrator or institution director as applicable, and submit and retain the file using records emergency procedures for your facility.

Types of Incidents to be Assessed

1. Any incident in which holdings were endangered or damaged whether or not the Emergency Plan is activated.
  - a. Incidents handled by staff, guards and facilities contractors only (For these in house events the After Action Report short form may be used.)
  - b. Incidents that involve the use of outside responders and or outside contractors
2. Incidents which, while not resulting in use of the emergency plan, offer an opportunity to examine safety hazards, holdings protection risks, security vulnerabilities, etc. An assessment may be requested by the branch or unit involved, an administrator or the director.

System of Emergency Assessment

1. The **Records Emergency Management Team (REMT)** will assess emergency response within 30 days after the event. The REMT may solicit assessments from other involved parties. The attached list of questions is to be used to report on incidents that involve the use of outside responders and/or outside contract services. The after action short form may be used for incidents handled by staff, guards and facilities contractors.
2. The REMT leader may request that the assessment be done by individuals or collectively for an amalgamated report at the discretion of the REMT.
3. The REMT leader reviews assessments submitted by each program or branch, and prepares a final report on the emergency response and lessons learned within 30 days of receipt of the assessments.
4. The REMT leader maintains a file of all documents relating to the recovery, including the assessments, as permanent records.

## Emergency Response Assessment Checklist

**Facility:**

**Affected stacks or areas:**

**Date of Incident:**

**Response Dates:**

**Record Group/ Collection/ Accession Affected:**

**Quantity of Records Affected:**

**Cubic feet:**

**No. of boxes:**

**Assessment by:**

**Date:**

<b>1. Summarize the event</b>
<ul style="list-style-type: none"><li>▪ What were the major contributing factors?</li></ul>
comments:
<b>2. Notification:</b>
<ul style="list-style-type: none"><li>▪ How were you and others notified and by whom?</li><li>▪ Was the notification timely?</li><li>▪ Were you and other responders told of assigned role?</li><li>▪ Were you given accurate and adequate information?</li><li>▪ Was the Records Response Team notification system activated?</li><li>▪ How can notification procedures be improved?</li></ul>
comments:
<b>3. Communication:</b>
<ul style="list-style-type: none"><li>▪ What methods of communication were used; telephones, runners, radios, beeper, other?</li><li>▪ If a Manager or Supervisor, did you receive a radio?</li></ul>

<ul style="list-style-type: none"> <li>▪ Did you use it?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were the communications effective?</li> </ul>
<p>comments:</p>
<p><b>4. Records Recovery performed by: (respond to all that apply)</b></p> <ul style="list-style-type: none"> <li>▪ <b>In House Staff (complete section 4)</b></li> <li>▪ <b>Contractor Services (complete sections 4 and 5)</b></li> </ul>
<ul style="list-style-type: none"> <li>▪ What measures were taken to prevent or lesson damage to records?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Did the damage mitigation procedures and salvage operations reduce or prevent water damage, fire damage, etc.?</li> </ul>
<ul style="list-style-type: none"> <li>▪ How could these operations be improved?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were conservation efforts well coordinated and prioritized?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were adequate personnel available?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were preservation, archival, museum and/or contractor personnel effectively deployed?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were holdings relocated? Were movement of holdings and temporary storage arrangements well-planned and well-handled?</li> </ul>
<ul style="list-style-type: none"> <li>▪ What kinds of specialized response or recovery tools and supplies were needed that were not available?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were they obtained?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Did the delay play a significant role in the outcome of the incident?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Was movement of holdings accomplished in a timely manner?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were photos taken? By whom? If so where are they filed?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Was the incident videotaped? By whom? If so where are the filed?</li> </ul>
<p>comments:</p>
<p><b>5. Emergency Response or Recovery Contractor Performance</b></p>

<ul style="list-style-type: none"> <li>▪ Name of Contractor firm?      On site Contractor representative name?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Performance Overall:</li> </ul> <p>Excellent      Satisfactory      Unsatisfactory</p>
<ul style="list-style-type: none"> <li>▪ Timeliness of contractor response:</li> </ul> <p>Excellent      Satisfactory      Unsatisfactory</p>
<ul style="list-style-type: none"> <li>▪ Actions performed by contractor:</li> </ul>
<ul style="list-style-type: none"> <li>▪ Would recommend using this service again:</li> </ul> <p>Yes      No      Perhaps</p>
<p>comments:</p>
<p><b>6. Security:</b></p>
<ul style="list-style-type: none"> <li>▪ Were operations effective?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were communications clear and concise?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were communications timely?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were security operations and response documented?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were appropriate security personnel assigned to the guard station immediately?</li> </ul>
<ul style="list-style-type: none"> <li>▪ How can security operations and procedures be improved?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were the security and safety of staff and contractors properly maintained?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were adequate security personnel available?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Were security personnel effectively deployed?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Did security personnel use safe methods and equipment?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Was security of holdings, buildings, and grounds maintained?</li> </ul>
<p>comments:</p>

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**7. Facilities:**

- Were appropriate emergency response equipment and supplies available?
- Were adequate facilities personnel available?
- Were facilities personnel well deployed?
- What methods and equipment were deployed? Were methods and resources appropriate and effective?
- What kinds of equipment or supplies were needed that were not available? Were they obtained? Did the delay play a significant role in the outcome of the incident?
- Did all equipment operate properly?

comments:

**8. Media Relations:**

- Were the media contacted? If so, by whom?
- Did the Media contact staff? If so, who responded?
- Did the staff in contact with media give appropriate and accurate information?
- How can contact with the media be improved?

comments:

**9. Action Checklists:**

- Did you use the action checklist available at your institution's website?
- Did you use other checklists or materials to guide response and recovery? Specify:
- Were they useful?
- How can it be improved?

comments:

**10. Unexpected Contingencies:**

- Were emergency procurement procedures efficient and responsive? Did you use the emergency response contract templates?
- Were there any special circumstances or serious unexpected problems?
- Were they handled appropriately?
- What other problems could have arisen?
- How could they have been handled?

comments:

**11. Overall Effectiveness of Emergency Plan:**

- Was an emergency declared and did someone take charge?
- Was a chain of command established, clearly understood, and followed?
- Were duties delegated to the appropriate people, and the necessary adjustments made?
- Were major decisions and activities documented?

comments:

**12. Recommendations and Conclusions:**

- How could the incident have been avoided?
- Damage lessened?
- What policies and procedures need reevaluation?
- What specific lessons were learned?

comments:

**13. Recommendations for future actions:**