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Pursuant to Delegation 1-19, dated 07/07/2005*

EPA LIBRARY DISASTER RESPONSE AND CONTINUITY OF OPERATIONS (COOP) PROCEDURES

1. PURPOSE

The purpose of this document is to establish Agency-wide procedures by which libraries in the EPA National Library Network prepare for and respond to disasters in EPA libraries and provide continuing operations during and after a disaster.

2. SCOPE AND APPLICABILITY

These procedures apply to the EPA National Library Network and all EPA organizations that provide library services either onsite or through a Memorandum of Understanding (MOU) with another Network library. They provide baseline operational standards for all Network libraries. Individual libraries may develop local procedures to supplement the Network procedures.

3. AUDIENCE

The audience for these procedures includes Assistant Administrators, Deputy Assistant Administrators, Regional Administrators, Deputy Regional Administrators, Assistant Regional Administrators, Associate Administrators, Senior Information Officials, Information Management Officers, Federal Library Managers, Contract Library Managers, and EPA staff.

4. BACKGROUND

Disaster can strike an organization in any number of ways, often without warning. Planning for disaster response and continuity of operations (COOP) will help EPA libraries better respond to unexpected calamities that can affect the services they provide to EPA staff and the public.

EPA libraries must develop location-specific plans that address all aspects of emergency preparedness, including prevention, response, recovery, and rehabilitation. A well-designed disaster plan will help to ensure the continued performance of essential library functions, provide techniques that can be used to minimize damage and losses, reduce disruptions of operations, and achieve a timely and orderly return to normal functions.

Library staff and managers, including federal employees and contract staff, need to know how to respond in the event of a disaster. They should know how to treat and replace affected materials, maintain processing functions, and provide continued services to their patrons after disaster has struck. Contract staff duties related to disaster response and COOP should be included in Statements

of Work and job descriptions as appropriate.

This document addresses baseline standards to which libraries in the EPA National Library Network should adhere when planning for disaster response and continuity of operations (COOP).

5. AUTHORITY

Agency Delegation 1-19 GENERAL, ADMINISTRATIVE, AND MISCELLANEOUS, Paragraph 2(b) (http://intranet.epa.gov/oei/imitpolicy/qic/documents/delegation_1-19_revised070705.pdf).

CIO 2170.1, EPA National Library Network Policy, dated 05/15/2009 (<http://intranet.epa.gov/oei/imitpolicy/policies.htm>).

6. PROCEDURES

6.1 Disaster Preparedness

There are a number of steps that should be taken in preparing for the possibility of disaster. The broad areas that EPA libraries should address on a local level include: threat assessment, disaster prevention, data back-up, and identification of high-priority publications and resources.

6.1.1 Threat Assessment

Each EPA library should examine and consider possible local threats, which may vary greatly across the Network, depending on the local facility and geographic location. Each area of the country has common types of natural disasters that should be considered in the threat assessment process. For example, if a library is in an area that is prone to earthquakes, certain precautions, such as reinforcing or bolting shelving, should be considered.

6.1.2 Disaster Prevention

Based on the individual threat assessment, each EPA library should identify ways to prevent or mitigate damage during a disaster. Locations should outline specific techniques, such as keeping rare or valuable materials in areas less prone to flooding, keeping plastic sheeting near stacks of rare materials, and/or keeping all materials at least six inches above the floor. EPA libraries should also ensure that basic safety features, such as fire extinguishers, are available and easily accessible to the library. Libraries should inspect their physical spaces for potential hazards, including exterior features, on a regular basis. Areas of concern should be documented and reported to the appropriate parties.

6.1.3 Data Back Up

Within EPA, much of the electronic data related to library resources is already backed up by EPA's computer services. Libraries should identify any systems or data that may exist outside of standard backup queues. In the event of a disaster, library managers should make EPA computer services aware of any lapses, or employ alternate methods of retrieving backed up data. Data such as vendor account information, the library disaster plan, shelf lists, and other information that would be needed to resume library services, should be maintained offsite in a confidential manner. If possible, rare or important library materials that are only available in hard copy should be digitized.

6.1.4 Identification of High-Priority Publications and Resources

Each library should identify the materials within the collection that hold the most value to

the Agency. Reasons for including an item in a library's high-priority list may include, but are not limited to, the rarity of the item, the importance of the item to Agency business, possible replacement costs, the significance or value of a collection of works, and the vulnerability of an item. Whenever possible, decisions about priority documents should be made and documented before disaster strikes, in order to facilitate the process of protecting, salvaging, and/or replacing them.

6.2 Disaster Plan

- 6.2.1 EPA libraries will develop local disaster plans that address the needs of the library, will set out roles and responsibilities in the event of a disaster, and will effectively identify steps to be taken whether the incident is a local issue such as broken water pipes or a major act of nature.
 - 6.2.2 Each library disaster plan should fit within the framework of the relevant EPA building plan or broader location disaster plan. Library managers should ensure that those responsible for overall disaster response at the local level are aware of the special needs of the library and receive copies of the library's disaster plan.
 - 6.2.3 A copy of the library disaster plan should be provided to the Library Network National Program Manager for safekeeping purposes offsite.
 - 6.2.4 The library disaster plan should include a list of high-priority materials, referenced by location in the library, to be salvaged first in the event of a disaster. The plan should also outline steps to ensure the continuity of library services, and identify additional steps needed to return to normal operations as quickly as possible.
NOTE: If an EPA library has resources or publications that are not yet included in the Online Library System (OLS), it is imperative that these resources be identified and recorded, at a minimum, as a collection or group of items in a local database, a shelf list, or in some other manner. This information should also be included in the library's disaster plan.
 - 6.2.5 The library disaster plan should include a library floor plan, noting the locations of high-priority library materials, safety features such as fire extinguishers and alarm pulls, and any other features that may help to prevent or mitigate damage in the event of disaster.
 - 6.2.6 The library disaster plan should contain contact information for the federal and contract library staff who are responsible for participating in disaster recovery scenarios. The contact list should identify each party's responsibilities, as well as back up contacts for the primary contacts.
 - 6.2.7 The library disaster plan should include procedures for assessing damaged materials and determining salvage priorities. It should outline disaster recovery steps including the point at which external recovery services should be contacted. When possible, advance preparation or notes on the procurement of specialized disaster response services should be incorporated in the disaster plan in accordance with local procedures.
 - 6.2.8 The library disaster plan should include an explanation of essential library functions and the means to provide these services during unplanned library closures. These may include plans for alternate work locations and a process to determine when various plans or procedures should be put into effect.
 - 6.2.9 The library disaster plan should contain information about any electronic resources needed to continue library services during disaster scenarios. This may include vendor or subscription information, account IDs, or similar information.
 - 6.2.10 The library disaster plan should be reviewed annually to verify that it is sufficient, complete, and current; any revisions should be dated. Copies of revised plans should be
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distributed to all points of contact in the local organization responsible for overall disaster response as well as the Library Network National Program Manager.

- 6.2.11 Library managers should ensure that all library staff are trained in disaster response and recovery procedures, and they should work to clarify liability issues in advance.
- 6.2.12 Library managers and designated staff must be prepared to implement the library's disaster plan with or without warning, during or outside of business hours. The library disaster plan should take into account whether or not time worked outside of normal business hours by contract staff is contractually allowed.

6.3 Disaster Response

After a disaster has occurred and appropriate authorities have declared that the building is safe for reentry, there are a number of steps that should be taken. Due to the nature of federal and federally-occupied buildings and the likelihood of an Agency-coordinated response, facilities personnel or emergency staff may prevent library management from following these steps exactly. Advance coordination with the overall building emergency response plan is advised to mitigate problems in this area. Responsible parties named in the library disaster plan should take the following steps upon reentry to the library space:

6.3.1 Document the Damage

It is important that any damage to EPA libraries and materials that results from disaster be fully documented. Designated library staff should make a written assessment of the damage prior to beginning recovery efforts. Before and during the recovery process, they should gather photo and/or video evidence with pertinent identifying information, such as date and time. This information should contribute to the final disaster recovery report.

6.3.2 Stabilize the Area

After initial photographic evidence is gathered, designated library staff should work with facilities and emergency response workers to stabilize the area. This could include cleaning up standing water, using plastic sheeting to protect the collection from further damage, providing electricity through the use of generators, removing wet furnishings, and stabilizing temperature and humidity levels by using fans or dehumidifiers.

6.3.3 Locate Items on the High-Priority List

Designated library staff should identify and assess items on the high-priority list of the library disaster plan. The library should determine what method of recovery or replacement should be used for damaged items.

6.3.4 Evaluate and Assess Losses

Designated library staff should assess the condition of damaged materials using procedures established in the library's disaster plan. During assessment, each item should be considered individually. The assessment phase ends in the event a total-loss determination is made. Assessment categories may include: unsalvageable (replace or discard), to be repaired, or to be cleaned. Cost considerations for sending materials through a remediation process should be weighed against purchasing replacement items that may have a longer lifespan.

6.3.5 Prioritize Treatment/Replacement

After assessing materials, the library should determine a priority order in which to treat or replace materials. If many items require treatment for water damage or if any mold is detected, the library should consider freezing processes for those materials that are deemed worth salvaging. Whether recovered materials are treated in-house or sent to an

outside vendor, the library should be aware that not all techniques are appropriate for all library materials. After damaged materials are treated, they should be prepared for shelving.

6.3.6 Maintain Bibliographic Control

During the remediation period the library may need to temporarily change its loan status to "non-supplier" in Online Computer Library Center (OCLC) interlibrary loan systems. Catalog records in both the Online Library System (OLS) and OCLC should be updated to reflect those items that were destroyed or sent for treatment.

6.3.7 Write a Disaster Recovery Report

Regardless of how major or minor a disaster, the library should write a disaster recovery report. The report should include the date, time, and description of the disaster, the approximate number of EPA documents and other materials affected, a description and count of materials that were lost, immediate and long-term response efforts, the amount of time spent in recovery, the results and impacts of the disaster, the recovery budget, and any evidentiary photographs or video taken during the recovery effort. A copy of the disaster recovery report should be provided to the Library Network's National Program Manager.

6.4 Resumption of Library Services

After the initial disaster response steps are taken, the library should attempt to return to normal or partial services as quickly as possible. If the physical library space is uninhabitable during remediation work, the library should provide services from an alternate location, or coordinate with the EPA National Library Network to provide temporary services to patrons through other libraries. The library should communicate changes to its services, hours of operation, location, and other relevant access issues as early as possible and through multiple communication channels, including, but not limited to signage, Internet sites, Intranet sites, all-hands memos, and other announcements. A Federal Register Notice may be necessary if changes in service are expected to be significant; libraries should communicate with the Network Program Manager on this decision.

7. RELATED DOCUMENTS

American Library Association (ALA). Disaster Preparedness and Recovery, updated 09/25/2008 (<http://www.ala.org/ala/issuesadvocacy/advocacy/federallegislation/govinfo/disasterpreparedness/index.cfm>).

American Library Association (ALA). Disaster Response: A Selected Annotated Bibliography (Fact Sheet 10), updated 10/2009 (<http://www.ala.org/ala/aboutala/offices/library/libraryfactsheet/alalibraryfactsheet10.cfm>).

California Preservation Program. Emergency Preparedness & Response, updated 02/2008 (<http://www.calpreservation.org/disasters/index.html>).

EPA Office of Technology Operations and Planning. Directive 300.06: Disaster Recovery, revised 06/26/2002 (<http://basin.rtpnc.epa.gov/ntsd/directives.nsf/bynum/300.06>).

Federal Emergency Management Agency. FPC 67, Federal Preparedness Circular; Acquisition of

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Alternate Facilities for Continuity of Operations (COOP), dated 04/30/2001
(<http://www.fema.gov/pdf/library/fpc67.pdf>).

Federal Library and Information Center Committee (FLICC). FLICC Disaster Recovery Contract Guidelines, updated 08/27/2009 (<http://www.loc.gov/flicc/about/FLICC%20WGs/disasterprepwg.html>).

Library of Congress. Emergency Preparedness, updated 04/27/2009
(<http://www.loc.gov/preserv/emergprep/prepare.html>).

Special Libraries Association (SLA). Disaster Planning and Recovery, updated 12/2009
(<http://www.sla.org/content/resources/infoportals/disaster.cfm>).

Special Libraries Association (SLA) Task Force on Natural Disasters. Crisis Action Plan, dated 05/2006 (<http://www.sla.org/PDFs/CrisisActionPlan.pdf>).

Northeast Document Conservation Center. Disaster Assistance [including dPlan: a free template for writing disaster plans], accessed 04/25/2008 (<http://www.nedcc.org/disaster/disaster.php>).

U.S. Government Printing Office. Federal Library Depository Handbook: Chapter 14, Disaster Preparedness and Recovery, updated 05/13/2009 (<http://www.fdlp.gov/administration/handbook/118-chapter14>).

8. ROLES AND RESPONSIBILITIES

Assistant Administrator for Environmental Information: The Assistant Administrator, OEI, as the CIO for the Agency, has the overall responsibility for the governance and coordination of the EPA National Library Network including establishing policy and supporting procedures, standards and guidance to ensure the effective oversight of the EPA National Library Network.

Assistant Administrators and Regional Administrators: Assistant Administrators and Regional Administrators with libraries within the EPA National Library Network have the overall responsibility for the management of their individual libraries, for compliance with Agency-wide policies, procedures, standards and guidance relating to the Library Network and to ensure that their individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission.

National Library Program Manager: The National Library Program Manager has the day-to-day responsibility to provide assistance and guidance to offices in the operation of the EPA National Library Network and to ensure that the individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission. The National Library Program Manager resides in OEI's Office of Information Analysis and Access.

Federal Library Managers: The Federal Library Managers have first-line responsibility for operation of physical libraries and provision of library services and to ensure that their individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission.

9. DEFINITIONS

Access: The ability of members of the public to obtain information from a government agency. All public libraries and most academic libraries in the United States are open to the general public, but access to certain areas such as closed stacks, rare books, and special collections may be restricted. In a more general sense, the right or opportunity to use a resource that may not be openly and freely available to everyone. In computing, the privilege of using a computer system or online resource, usually controlled by the issuance of access codes to authorized users or, more broadly, the ability of a user to reach data stored on a computer or computer system.

Bibliographic Control: A broad term encompassing all the activities involved in creating, organizing, managing, and maintaining the file of bibliographic records representing the items held in a library or archival collection, or the sources listed in an index or database, to facilitate access to the information contained in them.

Bibliographic Information: Any information that describes a work or resource. The description can be about any format or container for information in a library: books, CD-ROMs, DVDs, maps, etc.

Bibliographic Record: An entry in a database that describes the attributes of a work, including its physical properties, its subject(s), its location in the physical collection and/or links to the online version. Also known as Catalog Record.

Continuity of Operations (COOP): The preplanned capability of EPA Libraries to continue to operate in any emergency or situation that may disrupt normal operations.

COOP: See Continuity of Operations.

Database: A large, regularly updated file of digitized information (bibliographic records, abstracts, full-text documents, directory entries, images, statistics, etc.) related to a specific subject or field, consisting of records of uniform format organized for ease and speed of search and retrieval and managed with the aid of database management system (DBMS) software. Content is usually created by the database producer. In the case of commercial databases, the content may be leased to one or more database vendors (Dialog, EBSCO, OCLC, etc.) that provide electronic access to the data after it has been converted to machine-readable form, usually online via the Internet, using proprietary search software. Most databases used in libraries are catalogs, periodical indexes, abstracting services, and full-text reference resources leased annually under licensing agreements that limit access to registered borrowers and library staff.

Disaster Plan: A library disaster plan is a guide that is used to assist a library in preparing for and recovering from a disaster.

EPA Document/Publication: An official EPA publication in any format, with a special alpha-numeric identifier known as an EPA publication number.

EPA National Library Network: A national network composed of EPA libraries and repositories located in the Agency's Headquarters, Regional and Field Offices, Research Centers, and specialized laboratories, as well as Web-based access to electronic collections. Network libraries are defined as

those libraries with an official membership presence in the Online Computer Library Center (OCLC) system. Centralized network coordination comes from the Agency's Office of Environmental Information. Individual EPA libraries are administered by a range of offices in conjunction with contract staff.

Essential Library Functions: Those library services that are critical to the mission of the library and the Agency. The services may include reference, circulation, etc. Functions that are considered "essential" may vary from one EPA Library to the next.

External Recovery Services: Companies that have expertise in various disaster recovery techniques for library materials. These companies can provide services that include the freezing of water damaged books, rebinding services, etc.

High-Priority Publications and Resources: Those materials that are essential to library functions or the Agency's mission. The resources that should be the first to go through a remediation process or be replaced after a disaster.

ILL: See Interlibrary Loan.

Interlibrary Loan (ILL): The process by which a library requests materials from, or supplies materials to, another library. This service is provided upon request of a library user for materials not available in the local library.

Library Floor Plan: A map or graphical representation of the library space that includes the locations of materials, high-priority resources, and emergency support features such as fire extinguishers and alarm pulls.

Loan Status: The type of loan in effect at a particular time for a specific item in a library collection. Typical status indicators include materials available for general circulation, materials on loan to other libraries via interlibrary loan, and noncirculating materials.

Materials: Items within the library collection that may include books, journals, reports, miscellaneous publications, microform, multimedia, and other physical objects. Generally, library materials do not include official records, but convenience copies of records may be included.

Memorandum of Understanding (MOU): A memorandum signed by more than one agency or organization that promises cooperation or coordination on a specific issue, project, or agenda.

MOU: See Memorandum of Understanding.

OCLC: See Online Computer Library Center.

OLS: See Online Library System.

Online Computer Library Center (OCLC): OCLC is a nonprofit, membership-based, computer

library service and research organization dedicated to the public purposes of furthering access to the world's information and reducing information costs. OCLC maintains the largest catalog and interlibrary loan network in the world, which assist librarians and the general public with locating, acquiring, cataloging, lending, borrowing and preserving library materials.

Online Library System (OLS): The online catalog for the EPA Library Network, which provides bibliographic records for the items residing in EPA libraries and links to documents on environmental topics on the Internet. OLS allows searches by author, title, subject heading, any standard numbers that are assigned to the work, classification number, and allows for keyword searching of the record.

Patrons: Anyone authorized to use the materials and services of the library. May include EPA staff, contractors and/or the public.

Processing Functions: The steps taken to make materials shelf-ready in libraries. This can include but may not be limited to cataloging, stamping, and placing labels on books and resources.

Rebinding: The process of replacing or repairing the cover and spine of a book. This process may be required after a book receives water, smoke or fire damage. General wear on a book can also necessitate rebinding.

Services: Any service provided by the library. The most common services are answering questions and conducting research (known as reference), providing access to online databases, and interlibrary loan to retrieve materials from other libraries.

Shelf List: A list of library books and resources, containing bibliographic information about each book or resource, in the order the resources appear on the library shelves.

Signage: A collective term for all the static visual symbols and devices posted in a library to direct patrons to specific resources, services, and facilities, and to inform them of library hours, policies, programs, and events, including their size, design, and placement. Signs that are clear, concise, consistent, courteous, and appropriately placed can significantly reduce the number of directional questions received at the reference desk and make using the library less stressful, especially for inexperienced patrons. To comply with ADA requirements, many libraries in the United States have added Braille to signs posted within physical reach of users. In libraries that serve a significant number of non-English-speaking patrons, signs may be provided in more than one language. An effort is made in new construction and major renovations to avoid a piecemeal approach by incorporating the style and placement of signs into the overall interior design.

SOW: See Statement of Work.

Stacks: The area of a library where the main body of the collection (usually books and periodicals) is stored when not in use, usually on rows of free-standing double-faced shelving. In some libraries the stacks are closed to the public, but most libraries in the United States allow patrons to browse all or part of their primary collections in open stacks.

Statement of Work (SOW): A specific statement regarding the requirements needed in a service

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contract. The statement of work should include all aspects of job requirements, performance and assessment.

Subscription: The right to receive a newspaper or periodical for a designated period of time (or prescribed number of successive issues), upon payment of a subscription fee payable in advance to the publisher or subscription agent. Most subscriptions are renewed annually. Subscription also refers to the right of a library or library system to provide access to a bibliographic database or other online resource to its patrons under a licensing agreement with a vendor upon payment of an annual subscription fee and is subject to renewal.

10. WAIVERS

Waivers to these procedures must be approved by the Assistant Administrator for Environmental Information/Chief Information Officer. Waiver requests must be submitted in writing by the requesting office's Senior Information Official (SIO) through the Director of the Office of Environmental Information, Office of Information Analysis and Access (OIAA).

11. RELATED POLICIES, STANDARDS AND GUIDANCE

The following related policies, standards, and guidance documents are available on the Office of Environmental Information Policy page (<http://epa.gov/irmpoli8/policies/index.html>): CIO 2170.1-P-06. EPA Library Facility Management Procedures

12. MATERIAL SUPERSEDED

These procedures supersede the EPA Library Systems Manual 2130, dated January 1977.

13. ADDITIONAL INFORMATION

For further information about these procedures, please contact the Policy and Program Management Branch of the Information Access Division in Office of Information Analysis and Access, Office of Environmental Information.



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