MANAGEMENT RESPONSE

Emergency Response & Disaster Recovery Plan : Hard-Copy Records

Introduction

The Office of Internal Oversight Services (OIOS) conducted an audit of archives and records management at the ICTY between June 2011 and August 2011. The overall assessment was that:

*'ICTY governance, risk management and control processes examined were **partially satisfactory** in providing reasonable assurance regarding the management of ICTY archives and records, and preparatory arrangements to transfer these records timely to the Mechanism, concerning the internal control objectives: efficient and effective operations and compliance with mandates, regulations, and rules.'*

The 'partially satisfactory' assessment related specifically to the internal control objective of 'efficient and effective operations' and the issue of emergency response and disaster recovery planning. OIOS assessed that:

'ICTY needs to improve its emergency response and disaster recovery plan to limit any damage to records and archives in case of natural disasters or power failure.,ICTY has put in place back-up and disaster recovery plans for its electronic records that include a strong communication and information technology support system. However, for its physical records and archives, ICTY has not established an emergency response and disaster recovery plan to provide appropriate measures and procedures that will minimize damage and initiate proper salvage techniques in case of water damage, mould, fire, environmental system or power failures. The plan should be tested and disseminated to all records and archives managers across ICTY for proper guidance.'

OIOS recommended that:

ICTY should establish an emergency response and disaster recovery plan that will provide appropriate procedures to limit damage to physical records and archives by applying the proper salvage techniques. ICTY accepted this recommendation and stated that a working group would be established to develop a practicable emergency response and disaster recovery plan, with a view to putting the plan in place by June 2012. The following action plan is proposed to meet this objective.

Action Plan

What?	By whom?	When?
Establish a Working Group		
· *Request the President and the Prosecutor to nominate Chambers and OTP staff members to the Working Group.*	*Registrar*	*January 2012*
· *Nominate Registry staff members to the Working Group.*	*Registrar*	*January 2012*
Convene the Working Group and undertake the work required.		
· *Organise the first meeting of the Working Group*	*Head, ARMU*	*January 2012*
· *Agree on a work plan and assignment of tasks among Work Group members.*	*Head, ARMU*	*January 2012*
· *Carry out agreed tasks.*	*Working Group members*	*February 2012 – March 2012*
· *Review information gathered, identify and appraise options and agree on the most practicable approach to emergency response and disaster recovery.*	*Working Group members*	*March 2012*
Prepare an Emergency Response and Disaster Recovery Plan (document)		
· *Prepare draft version*	*Head, ARMU*	*April 2012*
· *Distribute draft version for review and comment*	*Head, ARMU*	*April 2012*
· *Collate comments and prepare proposed final version*	*Head, ARMU*	*May 2012*
· *Organise a meeting of the working group to agree on the proposed final version.*	*Head, ARMU*	*May 2012*
· *Approve final version for implementation.*	*Registrar*	*June 2012*
Test the Emergency Response and Disaster Recovery Plan		
· *Organise exercises to test the Plan and evaluate its effectiveness.*	*Head, ARMU*	*June 2012*
· *Make any necessary adjustments to the Plan.*	*Working Group members*	*June 2012*
Brief managers on the Plan and on their responsibilities for implementation.		
· *Organise a meeting to present the Plan to managers, and to brief them on their responsibilities and action required.*	*Head, ARMU*	*June 2012*