

## DEPARTMENT OF ENERGY (DOE) 5.3: Continuity and Emergency Planning Records

This schedule covers records related to DOE internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or controlled unclassified information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

This schedule also covers records related to the DOE Continuity and Emergency Response and Recovery records, as well as a select group of planning records. The Continuity and Emergency Response and Recovery records ensure continuity of agency operations in the face of a natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

**Note:** Refer to GRS 5.3 for all other Continuity and Emergency Planning records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Continuity planning and related emergency planning files.</b></p> <p>Records related to continuity and emergency planning, including:</p> <ul style="list-style-type: none"> <li>• continuity and emergency planning operational activities                             <ul style="list-style-type: none"> <li>○ status reports</li> </ul> </li> <li>• records on continuity or emergency tests or exercises, such as:                             <ul style="list-style-type: none"> <li>○ instructions to members participating in tests</li> <li>○ staffing assignments</li> <li>○ records of tests of communications and facilities</li> </ul> </li> <li>• evaluative reports on continuity or emergency tests or exercises, such as:                             <ul style="list-style-type: none"> <li>○ result reports</li> <li>○ readiness reports</li> <li>○ risk and vulnerability assessments</li> <li>○ site evaluations and inspections</li> <li>○ corrective action plans</li> <li>○ after action reports/improvement plans</li> </ul> </li> </ul> <p><b>Exclusion:</b> All other continuity and emergency planning records are covered by GRS 5.3, item 010.</p>	<p><b>Temporary.</b> Destroy when 75 years old.</p>	<p>DAA-GRS-2016-0004-0001</p>

## GENERAL RECORDS SCHEDULE 5.3: Continuity and Emergency Planning Records

This schedule covers records related to federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or controlled unclassified information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

This schedule does not include the following:

- external emergency planning records related to providing emergency response and recovery services to the public
- records related to high-level Government-wide Continuity of Government (COG) planning
- emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes
- records related to a national disaster or incident response

These records may be of permanent value and must be scheduled on an agency-specific records schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Continuity planning and related emergency planning files.</b>                      Records may include:</p> <ul style="list-style-type: none"> <li>• records on continuity and emergency planning administrative and operational activities:                             <ul style="list-style-type: none"> <li>○ briefing materials and presentations</li> <li>○ <del>status reports</del></li> <li>○ informational papers</li> <li>○ files documenting policy or plan development, including policy studies</li> <li>○ procedures, operational manuals, and related development records</li> <li>○ implementation guidance</li> <li>○ related correspondence</li> <li>○ Memorandum (s) of Understanding</li> <li>○ Delegations of Authority/Orders of Succession</li> </ul> </li> <li>• continuity plans or directives and supporting documentation, including but not limited to:</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, <del>but longer retention is authorized if required for business use.</del></p> <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p>See DOE 5.3, item 010 for emergency planning records removed from this schedule.</p> </div>	DAA-GRS-2016-0004-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>○ Continuity of Operations (COOP) plans</li> <li>○ Devolution Plans</li> <li>○ Occupant Emergency Plans (OEP)</li> <li>○ Emergency Action Plans (EAP)</li> <li>○ Facility Emergency Action Plans (FEAPS)</li> <li>○ Records Emergency Plans (REMT)</li> <li>○ Disaster Recovery Plans (DRP)</li> <li>○ Pandemic Influenza Plans</li> <li>● <del>records on continuity or emergency tests or exercises, such as:</del> <ul style="list-style-type: none"> <li>○ <del>instructions to members participating in tests</del></li> <li>○ <del>staffing assignments</del></li> <li>○ <del>records of tests of communications and facilities</del></li> </ul> </li> <li>● <del>evaluative reports on continuity or emergency tests or exercises, such as:</del> <ul style="list-style-type: none"> <li>○ <del>result reports</del></li> <li>○ <del>readiness reports</del></li> <li>○ <del>risk and vulnerability assessments</del></li> <li>○ <del>site evaluations and inspections</del></li> <li>○ <del>corrective action plans</del></li> <li>○ <del>after action reports/improvement plans</del></li> </ul> </li> </ul> <p><b>Note 1:</b> Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>Note 2:</b> Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.</p> <p><b>Exclusion 1:</b> This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.</p>		<div style="border: 2px solid red; padding: 5px; margin-top: 20px;"> <p><b>Exclusion 1 and 2:</b> New DOE records disposition schedules are being created to cover these records.</p> </div>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p><b>Exclusion 2:</b> This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.</p> <p><b>Exclusion 3:</b> This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.</p>		
020	<p><b>Employee emergency contact information.</b>            Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.</p> <p><b>Exclusion:</b> This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under GRS 5.5, item 020).</p> <div style="border: 2px solid red; padding: 5px;"> <p><b>DOE Privacy Act System of Record – DOE-11 – Emergency Operations Notification Call List: Department of Energy and National Nuclear Security Administration senior officials, office directors, managers, key support staff, and DOE contractors involved in DOE emergency management and operations activities, Continuity of Government activities and Continuity of Operations activities.</b></p> </div>	<p><b>Temporary.</b> Destroy when superseded or obsolete, or upon separation or transfer of employee.</p>	<p>DAA-GRS-2016-0004-0002</p>