

GRS 5.2

Continuity and Emergency Planning Records

This file contains three documents. The draft schedule is proposed as a new General Records Schedule. The Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. The Crosswalk matches authorities in the draft schedule with current GRS authorities.

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GENERAL RECORDS SCHEDULE 5.2: Continuity and Emergency Planning Records

This schedule covers records related to the function of Federal agency internal emergency planning to protect people, government facilities, equipment and records, safeguard classified or sensitive information, ensure the continuity of agency operations in the face of potential natural and man-made disasters and facilitate the timely recovery and return to normal agency operations once the emergency or disaster has passed. This schedule does not include the external emergency planning records in agencies with responsibility under the National Response and/or National Disaster Recovery Framework for providing emergency response and recovery services to the public in emergencies and disasters (FEMA, Department of Defense, DHS, EPA, CDC, HHS, FAA, Intelligence Community agencies, etc.). Neither does it cover records related to a national disaster or incident response. These records may be of permanent value in some cases and must be scheduled on an agency-specific records schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Continuity planning and related emergency planning files. Records may include:</p> <ul style="list-style-type: none"> • records related to operating continuity and emergency planning program activities: <ul style="list-style-type: none"> ○ correspondence ○ briefing materials and presentations ○ status reports ○ informational papers ○ files documenting policy or plan development, including policy studies ○ procedures, operational manuals, and related development records ○ implementation guidance • plans or directives and supporting documentation: <ul style="list-style-type: none"> ○ Continuity plans ○ Occupant Emergency Plans (OEAP) ○ Emergency Action Plans (EAP) ○ Facility Emergency Action Plans (FEAPS) ○ Records Emergency Plans (REMT) ○ Disaster Recovery Plans (DRP) ○ Pandemic Flu Plans • records related to conducting continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ instructions to members participating in test, ○ staffing assignments ○ records relating to tests of communications and facilities • evaluative reports on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ result reports 	<p>Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use.</p>	<p>DAA-GRS-20XX-XXXX-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ readiness reports ○ risk and vulnerability assessments ○ site evaluations and inspections ○ corrective action plans <p>Note 1: 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>Note 2: Records related to employee training for COOP are scheduled in GRS 2.6. Records related to vital records management are scheduled in GRS 4.1.</p> <p>Exclusion 1: 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> <p>Exclusion 2: This item does not include mission-related disaster response and/or recovery planning for agencies such as FEMA, DoD, HHS, the Intelligence Community, and others with mission-related responsibilities to provide services to the public in disaster situations.</p> <p>Supersedes: GRS 18, item 26 (GRS 18, 1960, item 27) GRS 18, item 27 (NC1-GRS-81-1 item 1b) GRS 18, item 28 (NC1-GRS-81-1 item 4)</p>		
020	<p>Employee Emergency Contact Information Records used to account for and maintain communication with personnel during emergencies, office dismissal, and/or 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>Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers. Those records will be covered by GRS 5.1.</p>	<p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee.</p>	DAA-GRS-20XX-XXXX-0002



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Date: October 14, 2015
Appraiser: Andrea M. Riley, ACNR
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-20XX-000X

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INTRODUCTION

Schedule Overview

GRS 5.2 Continuity and Emergency Planning Records

Additional Background Information

GRS 5.2 is an update of items in GRS 18 related to agency emergency planning. The items in GRS 18 were always intended to be limited to emergency planning related to maintaining facility operations. This activity is now generally known as continuity planning. The schedule has been revised to clarify that Continuity of Operations Planning (COOP) records, and other related continuity planning records, are included in this schedule.

NARA's continuity and emergency planning office and FEMA assisted in the development of this schedule.

Rescinded items:

- GRS 18, items 29a and 29b: According to FEMA, the National Defense Executive Reserve program has been dormant for the past 5 years and no agency has open programs. For this reason, FEMA agreed that we could rescind these items.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

Item 0001 (GRS 5.2, item 010): Continuity planning and related emergency planning files.

This item aggregates records related to the continuity and emergency planning function into a single item covering program related activities, plans, emergency tests or exercises and reports. We have removed the statement in the note on GRS 18, item 27, that required agencies to schedule as permanent emergency plans that were not part of a formal set of directives, and the exclusion in GRS 18, item 28, of comprehensive or consolidated reports of operational tests. These stipulations have been removed because continuity plans are revised on a regular basis and often are never implemented. Some agencies have scheduled them as temporary already (N1-412-07-054, N1-406-09-004, N1-016-10-005, N1-584-11-002; only one agency we found, FBI,

has scheduled them as permanent). Comprehensive and consolidated reports of operational tests were excluded because at one time they were scheduled in the GRS as permanent. This was because the emergency plans were also scheduled as permanent and it was argued that between these two series agency emergency planning programs would be adequately documented. In the intervening 24 years, views on these records have changed, as can be seen in how some agencies have scheduled COOP plans. Our research has indicated that emergency planning records are more typically scheduled as temporary.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary: GRS 18, item 26 (GRS 18, 1960, item 27); GRS 18, item 27 (NC1-GRS-81-1 item 1b); GRS 18, item 28 (NC1-GRS-81-1 item 4).

*Has little or no research value. Emergency planning records change frequently and many are never acted upon. The schedule stipulates that agencies can submit schedules to cover records that were acted upon if they believe them to be of permanent value. These records are operational and administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previously approved retention for emergency planning case files and operation test files was 3 years after issuance of a new plan and when 3 years old respectively. The administrative correspondence files for these records were scheduled with a 2 year retention. We have not changed the retention for the case files or operation test files. The increase in retention of correspondence is in line with GRS 6.1 for administrative email managed under a Capstone approach. Since most correspondence is now email, we consider the 3 years for administrative correspondence a best practice.

Media Neutrality: Requested and approved.

Item 0002 (GRS 5.2, item 020): Employee Emergency Contact Information

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Has little or no research value. These records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Information is no longer needed for business purposes once it is superseded or made obsolete by new information or the person is no longer required to be on the contact list for reasons of separation, transfer, or reassignment.

Media Neutrality: Requested and approved.

ANDREA M. RILEY
Appraiser

**GRS 6.2 Federal Advisory Committees
Crosswalk**

New GRS				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.2	010	3 years	DAA-GRS-20XX-000X-0001	18	26	2 years	GRS 18, 1960, item 27
				18	27	3 years	NC1-GRS-81-1 item 1b
				18	28	3 years	NC1-GRS-81-1 item 4
5.2	020	Superseded, obsolete, separation or transfer	DAA-GRS-20XX-000X-0002	New Item			

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