Essential Records Plan Packet Template

The identification, protection, and ready availability of organizational essential records, databases, emergency operating records, rights and interests records, and other documents are critical to the successful implementation and execution of a robust continuity program. These records support the execution of organizational essential functions, as well as Governmental Primary Mission Essential Functions and Mission Essential Functions.

Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*, Annex I, Essential Records Management states organizations must develop and maintain an essential records plan packet and include a copy of the packet at the continuity facilities. The Essential Records Plan Packet is an important piece of an effective organizational essential records management program. The Packet is an electronic or hard copy compilation of key information, instructions, and supporting documentation needed to access essential records in an emergency situation. Although ***not a copy*** of the organization's essential records, the Packet provides continuity personnel with convenient access to key information ***about*** the organization's essential records.

The Essential Records Plan Packet must include:

a. A hard or soft copy of ERG members with up-to-date telephone numbers;

b. An essential records inventory with the precise locations of essential records;

c. Necessary keys or access codes;

d. Continuity facility locations;

e. Access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines);

f. Lists of records recovery experts and vendors; and

g. A copy of the organization's continuity plans.

The purpose of this template is to provide instructions, guidance, and sample text for the development of an Essential Records Plan packet in accordance with FCD 1, Annex I. Sample text and instructions have been provided throughout the template in *blue italics* and **bold text** inside of brackets.   Once organization-specific information is entered into the body of the template throughout the document, ***delete*** the *blue* italicized instructions and replace the instructions in brackets with the applicable information (e.g., for FEMA, the instruction *{Organization Name}* would be replaced with FEMA).

To request a Microsoft® Word version, please contact National Continuity Programs, Continuity of Operations Division via e-mail at FEMA-NCP-Federal-Continuity@dhs.gov.

TAB A: KEY AGENCY PERSONNEL AND DISASTER STAFF WITH CURRENT TELEPHONE NUMBERS HARD COPY

The Key Agency Personnel and Disaster Staff Roster is maintained and updated on a monthly basis. Use the following directory path to access the most current Roster: *{Insert location where file is located}*

Key Agency Personnel and Disaster Staff Roster Hard Copy

Title/ Position	Name	Telephone Numbers/Email	Additional Info
Deputy Division Head	**Jonathan Smith**	**H: (###) ###-####** **W: (###) ###-####** **C: (###) ###-####**	**Insert other organization-required information, i.e.**
Chief	**Shirley Durham**	**H: (###) ###-####** **W: (###) ###-####** **C: (###) ###-####**	**Insert other organization-required information, i.e.**
Alternate: Deputy Chief	**Bob Baker**	**H: (###) ###-####** **W: (###) ###-####** **C: (###) ###-####**	**Insert other organization-required information, i.e.**

TAB B: ESSENTIAL RECORDS INVENTORY

The organization has ensured that databases and other reference material supporting essential functions are pre-positioned at *{Your designated site}*, carried with deployed personnel, or are made available through an automated data backup process.

Essential Records Inventory

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-Positioned at Alternate	Hand Carried to Alternate Facility	Storage Location(s)	Maintenance Frequency
COOP Communications Plan (CCP)	Hardcopy	Yes	No	Bldg 114, SCIF	Bi-Annually
Delegations of Authority	Hardcopy & Electronic	Yes	No	COOP Folders,	Reviewed annually
Orders of Succession	Hardcopy & Electronic	Yes	No	Located in the COOP Implementation Plan,	Reviewed annually
COOP Plan	Hardcopy & electronic	Yes	No	Intranet & Bldg	Annually
ERG Roster	Hardcopy & Electronic	Yes	No	Your Server	Monthly
Cascade Roster	Hardcopy & Electronic	Yes	Yes	CST, each ERG Member	Monthly

TAB C: NECESSARY KEYS OR ACCESS CODES

The following tables contain *{Insert D/A Name}* access codes and necessary key locations for continuity site access.

Access Code		
Point of Contact:		
System Access	**Code**	**Location**

Key Access		
Point of Contact:		
Key Number	**Door/Drawer It Opens**	**Location**

Note: Add primary and alternate points of contact for access codes and key access

TAB D: CONTINUITY FACILITY LOCATIONS ADDRESS AND MAP LOCATIONS)

The *{Insert D/A Name}* continuity of operations facility is located at {*Add Facility Name here}*. Listed below are specific facility information and supporting information pertinent to ERG members involved in *{Insert D/A Name}* continuity program:

Location: *State where facility(ies) is located*

Telephone numbers: *Add important contact information for COOP facility(ies)*

Address: *Insert address to COOP Facility(ies)*

{Insert Map of your Continuity Facility Here}

TAB E: Essential Records Access Requirements & List of Equipment Sources

Include a list of your organizations access requirements and List of sources of equipment necessary to access the records (this may include hardware and software, internet access, and/or dedicated telephone lines.

Access Requirements & List of Equipment Sources

Access Requirement	Equipment Type	Equipment Source

TAB F: List of Recovery Experts and Vendors

Listed on the following NARA website are selected vendors* that provide recovery and salvage services for records.

http://www.archives.gov/preservation/disaster-response/vendors.html

Contact your Records Management Section to develop a list of recovery experts and vendors for your organization

TAB G: CONTINUITY PLAN

{Insert copy of your organization's Continuity Plan Here}