

TERM	DEFINITION
Controlled Unclassified Information (CUI)	Controlled Unclassified Information (CUI) is information that requires safeguarding or dissemination controls pursuant to and consistent with applicable law, regulations, and government-wide policies but is not classified under Executive Order 13526 or the Atomic Energy Act, as amended. Executive Order 13556 “Controlled Unclassified Information” (the Order), establishes a program for managing CUI across the executive branch and designates the National Archives and Records Administration (NARA) as Executive Agent to implement the Order and oversee agency actions to ensure compliance. The Archivist of the United States delegated these responsibilities to the Information Security Oversight Office (ISOO). 32 CFR Part 2002 Controlled Unclassified Information was issued by ISOO to establish policy for agencies on designating, safeguarding, disseminating, marking, decontrolling, and disposing of CUI, self-inspection and oversight requirements, and other facets of the Program. Many essential records fall under CUI categories, including privacy, physical security, personnel, financial, and others.
Cycle	Periodic removal of obsolete copies of essential records and their replacement with copies of current essential records. This may occur daily, weekly, quarterly, annually, or at other designated intervals.
Delegation of Authority	Identification, by position, of the authorities for making policy determinations and decisions. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.
DERG	Devolution Emergency Response Group – Regional, interagency, and available headquarters staff that assume the responsibility and execution of headquarters essential functions during Devolution of Operations Plan activation.
Devolution	The continuation of essential functions in the event that the primary operating facility is incapacitated and personnel are unavailable or incapable of activating or deploying to the normal continuity facility.
Devolution Plan	Devolution Plan is one of the Continuity Plans required by PPD 40 and FCD 1.
Disaster	Unexpected occurrence inflicting widespread destruction and distress and having long-term adverse effects on agency operations. Each agency defines what a long-term adverse effect is in relation to its most critical program activities.
Disaster Plan	Generic term – see also may be called Continuity Plan, Records Disaster Mitigation and Recovery Plan, Disaster Preparedness Plan, Disaster Recovery Plan, or Emergency Plan.

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Disaster Preparedness Plan	A continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action in an effort to ensure effective coordination during incident response. See also Disaster Plan. This requirement is briefly summarized in annex J of FCD 1 Requirements and Criteria for Reconstitution Operations which states “identify how the organization will determine if any records were affected by the incident to ensure an effective transition or recovery of essential records”. However, FCD 1 does not use the term Records Disaster Mitigation and Recovery Plan or any similar name.
Disaster Recovery Plan (DRP)	Documented process or set of procedures to recover and protect assets of a unit in response to a disaster. See also Records Disaster Mitigation and Recovery Plan.
Disaster Recovery Team	See <i>Section 11 - Appendix C “Typical Agency Emergency Response Positions & Related Teams”</i> . Applicable staff receive overall direction from the Program Coordinator or Emergency Coordinator but sometimes via local management who, in turn, work with the coordinators. See also Records Disaster Mitigation and Recovery Team.
Dispersal	Protection of essential records through production of duplicate copies stored at other locations and/or levels of an organization.
Electronic Records Vault (ERV)	NARA vault, operated by the Federal Records Centers Program, designed for optimal storage of an agency’s essential electronic record formats. Currently available only at the Fort Worth FRC.
Emergency	Situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. This is generally of short duration, for example, an interruption of normal agency operations for a week or less. It may involve electrical failure or minor flooding by broken pipes.
Emergency Coordinator	See <i>Section 11 - Appendix C “Typical Agency Emergency Response Positions & Teams”</i> .
Emergency Operating Records	Types of essential records an organization needs to continue functioning or to reconstitute after an emergency. Such records support the execution of an agency’s essential functions.
Emergency Operations Center (EOC)	EOC is the location directing the emergency response. The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place.

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Emergency Action Plan	See Occupant Emergency Plan (OEP)
EO	Executive Order – Orders issued by the President.
Emergency Relocation Group (ERG)	Emergency Relocation Group – Staff designated to move to a relocation site [which may include teleworking if authorized] to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.
Essential Functions	The critical activities performed by agencies, especially after a disruption of normal activities. There are three categories of essential functions: National Essential Functions (NEFs), Primary (Priority) Mission Essential Functions (PMEFs), and Mission Essential Functions (MEFs).
Essential Records	Essential records are defined by 36 CFR 1223 as: “[R]ecords an agency needs to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).” Previously referred to as vital records.
Essential Records Checklist	Optional checklist created by NARA combining FEMA’s Continuity Evaluation Tool – V.8 and the former NARA Appendix E Self-Evaluation Guide of the previous version of this Guide (then called “ <i>Vital Records and Records Disaster Mitigation and Recovery: An Instructional Guide</i> ”). See current <i>Section 11 - Appendix D – “Essential Records Checklist”</i> .
Essential Records Inventory	A list which identifies the records that have been designated as essential. It includes other identifying information such as where the records are located, who is responsible for them, when they are cycled, format, and similar information useful for the agency to effectively manage the records.
Essential Records Management Regulation	See 36 CFR 1223
Essential Records Manager	See <i>Section 11 - Appendix C “Typical Agency Emergency Response Positions & Teams”</i> .

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Essential Records Plan	The Plan contains a description of records that are essential to continued agency operations or for the protection of legal and financial rights. The Plan also includes specific measures for storing and periodically cycling (updating) copies of those records. The Plan should include appropriate position descriptions, functional statements, and procedure manuals and / or SOPs. Formerly known as Vital Records Plan. See also Essential Records Packet.
Essential Records Packet	Per FEMA guidance (FCD 1), agencies must develop and maintain an Essential Records Packet and include a copy of the Packet at their continuity facilities. An Essential Records Packet is an electronic or hard copy compilation of key information, instructions, and supporting documentation needed to access essential records in an emergency situation. The Packet contains the fungible contents of the Essential Records Plan that need to be updated and maintained to ensure they are current.
Essential Records Program	Essential Records Program means the policies, plans, and procedures the agency develops and implements – and the resources needed – to identify, use, and protect essential records. This is an important program element of an agency’s emergency management function.
Event	A planned, non-emergency activity.
Executive Order (EO) 13526	See Classified Records and Information (Classified National Security Information).
Executive Order (EO) 13556	See Controlled Unclassified Information (CUI).
FCD (Federal Continuity Directive)	Federal Continuity Directive – These directives issued by FEMA, direct executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria. - FCD 1 – establishes the framework, requirements, and processes to support the development of agencies’ continuity programs and by specifying and defining elements of a continuity plan. It includes essential records. (See <i>Section 11 - Appendix A “Resources, Laws, Regulations, and Guidance”</i>) - FCD 2 – provides guidance and direction to Federal departments and agencies on how to validate and update their mission essential functions using risk management process. (See <i>Section 11 - Appendix A “Resources, Laws, Regulations, and Guidance”</i>)
FEMA	Federal Emergency Management Administration

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General Records Schedule 4.1	Also referred to as GRS. Schedule that addresses disposition of essential records. See p. 21 and 29 of the GRS.
Incident	An occurrence or event, natural or human-caused, which requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wild land and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.
Information System Contingency Plan (ISCP)	All Federal agencies must have a contingency plan. Plan provides established procedures for the assessment and recovery of a system following a system disruption. The Plan provides key information needed for system recovery, including roles and responsibilities, inventory information, assessment procedures, detailed recovery procedures, and testing of a system. NIST SP 800-34 Rev. 1 – Contingency Planning Guide for Federal Information Systems – May 2010. The relationship of this Plan to the COOP Plan depends on whether or not the system that is disrupted impacts the agency's ability to perform one or more of its essential functions. It is also related to the Continuity Plan reconstitution function of returning the agency to normal operations.
Legal and Financial Rights Records	Type of essential records needed to protect the legal and financial rights of the Government and of the individuals directly affected by its activities.
Mission Essential Functions (MEFs)	The limited set of agency-level Government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.
National Security Emergency	Defined as any occurrence, including natural disaster, military attack, technological emergency, or other emergency, that seriously degrades or threatens the national security of the United States. See EO 12656.
Occupant Emergency Plan (OEP)	For Federal agencies the Occupant Emergency Plan is specifically required by the FMR 41 CFR 102—74.230 through 102.74.260, and the Interagency Security Committee Standard (ISC). Per the ISC the terms “occupant emergency plan” and “emergency action plan” are interchangeable.
Orders of Succession	Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

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Pandemic Influenza Plan	Since the threat to an agency's continuity of operations is great during a pandemic outbreak, it is important for an agency to have a Pandemic Influenza Continuity of Operations Plan (or annex) in place to ensure it can carry out its essential functions and services. While an agency may be forced to suspend some operations due to the severity of a pandemic outbreak, an effective COOP Plan can assist in its efforts to remain operational, as well as strengthen the ability to resume full operations. Essential records must be addressed in the Plan. See FEMA's website for a template of a Pandemic Influenza Plan (or annex to COOP Plan). FCD 1 requires agencies to have this Plan. It is up to the agency to decide if they want a Pandemic Plan as an annex to the COOP Plan or as a standalone plan.
PPD 40 (Presidential Policy Directive 40)	Presidential Policy Directive 40 (PPD 40), <i>National Continuity Policy</i> , directs FEMA to coordinate the implementation, execution, and assessment of continuity activities among executive departments and agencies. Signed by the President on July 15, 2016, replaced NSPD-51/HSPD-20 and the NCPIP. PPD 40 created an Inter-agency Reconstitution Working Group (IRWG) which includes DHS/FEMA, OPM, GSA, and NARA. Parts of PPD 40 are classified.
Program Coordinator	See <i>Section 11 - Appendix C "Typical Agency Emergency Response Positions & Teams"</i> .
Program Managers	See <i>Section 11 - Appendix C "Typical Agency Emergency Response Positions & Teams"</i> .
Reconstitution	The process by which surviving and or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.
Records (defined)	44 U.S.C. 3301(a)(1)(A) - As used in this chapter, the term "records"—(1) IN GENERAL.—As used in this chapter, the term "records"— (A) includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and (B) does not include — (i) library and museum material made or acquired and preserved solely for reference or exhibition purposes; or (ii) duplicate copies of records preserved only for convenience.

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Records Disaster Mitigation and Recovery Plan	Plan that includes specific procedures for staff to follow in the event that an emergency or disaster occurs. Records recovery should be included in the agency's Disaster / Continuity Plan. Provides details on appropriate personnel to assist; assess damage and related details about impact; assembling a records recovery team to stabilize records; consult with records salvage and recovery vendors; recovery of damaged records; and resuming normal operations. May also be referred to as a Records Emergency Plan (REP or REMT). See also – Disaster Recovery Plan (DRP).
Records Disaster Mitigation and Recovery Program	An agency's records disaster recovery program should include: plan, procedures, SOPs, for how to recover damaged records following a disaster. Program needs to address: leaders, lists of staff to support function, training, communication strategy and information, points of contact for assistance, records inventories / locations, inventory of emergency supplies and equipment. An agency should include records recovery in its disaster plan with specific procedures for personnel to follow in the event that an emergency or disaster occurs.
Records Disaster Mitigation and Recovery Program Coordinator	Also referred to as Program Coordinator (See <i>Section 11 - Appendix C "Typical Agency Emergency Response Positions & Teams"</i>).
Records Disaster Mitigation and Recovery Team	Designated agency staff that expedite stabilization of damaged or threatened records. Receive overall direction from the Program Coordinator or Emergency Coordinator but sometimes via local management who, in turn, work with the coordinators. See also Disaster Recovery Team (<i>Section 11 - Appendix C "Typical Agency Emergency Response Positions & Teams"</i>). The Records Disaster Recovery Team and any designated alternate members assist the official coordinating the disaster recovery in time of need. At the minimum, team members should assist in assessing the nature and extent of the records disaster and identifying which records were affected and the physical media of the records, so the recovery manager can report accurately on the disaster and recommend specific recovery steps for approval by the agency's senior managers.
Records Emergency Plan (REP or REMT)	See Records Disaster Mitigation and Recovery Plan and / or Disaster Recovery Plan (DRP).
Records Officer (RO)	See <i>Section 11 - Appendix C "Typical Agency Emergency Response Positions & Teams"</i> .
Records Salvage and Recovery	The portion or phase of disaster response in which efforts are made to salvage and reconstruct damaged records in order to restore normal operations.

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Records Salvage and Recovery Vendors	NARA has compiled a list of these specialized vendors at the NARA website. No endorsement of the companies is made by NARA. www.archives.gov/preservation/records-emergency
Records Schedules	A records schedule or schedule is: a) A SF-115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records b) A General Records Schedule (GRS) issued by NARA c) A printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF-115s or issued by NARA in the GRS.
Records Series	36 CFR 1220.18(3)(Series) - Series means file units or documents arranged according to a filing or classification system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a records series.
Records Storage Standard Toolkit	This toolkit located on the NARA website provides agencies with information to comply with NARA regulations concerning the Records Storage Facility requirements.
Recovery	The implementation of prioritized actions required to return an agency's processes and support functions to operational stability following an interruption or disaster.
Recovery Manager	See <i>Section 11 – Appendix C “Typical Agency Emergency Response Positions & Teams”</i> .
Rights and Interests Records	NARA formerly referred to legal and financial rights records as rights and interests records. Rights and interests records is a term that is no longer used.
Risk Analysis	The process by which risks are identified and evaluated.
Senior Agency Official for Records Management (SAORM)	See <i>Section 11 - Appendix C “Typical Agency Emergency Response Positions & Teams”</i> .

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Testing, Training, and Exercises (TT&E)	Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity situation.
Unclassified Records and Information (Uncontrolled Unclassified Information)	Uncontrolled unclassified information is information that neither EO 13556 nor the authorities governing classified information cover as protected. Although this information is not controlled or classified, agencies must still handle it in accordance with Federal Information Security Modernization Act (FISMA) requirements.
Vital Business Information Course	Course offered by NARA. This course provides the knowledge and skills required to identify, protect, and make readily-available, essential records needed to support the resumption of critical business functions after a disaster, and to establish and administer an Essential Records Program. Course is based on the essential records requirements contained in FEMA's Federal Continuity Directives (FCD 1, FCD 2), and 36 CFR 1223. See Section 7 – "Training" for more information.
Vital Business Information Program	See also Essential Records Program. NARA Records Management Training unit also uses the name - Vital Business Information Program in its VBI course. Program is defined as the official program supporting an agency's actions to identify, protect, and make available vital (essential) information.
Vital Records	Now referred to in the Federal government as "essential records". Many state archives use the term "vital records" for birth and death certificates, marriage licenses, divorce decrees, and wills.
Vital Records Plan	See Essential Records Plan

APPENDIX C – AGENCY EMERGENCY RESPONSE POSITIONS & TEAMS

Typical agency emergency response positions, roles, and related teams are summarized in the table below:

POSITION	ROLES	PAGE #(s)
Agency Records Officer <i>(aka Records Officer)</i>	See Records Officer.	NA
Continuity Coordinator	Senior agency official responsible for coordinating with the agency head and national continuity leadership to ensure the organization maintains a viable and effective continuity capability. (FCD 1)	P. 23
Continuity Program Manager (Continuity Manager)	On behalf of Continuity Coordinator, oversees day-to-day continuity programs and represents agency at inter-agency forums and working groups as appropriate. (FCD 1).	P. 1, 22, 23, 28
Devolution Emergency Response Group (DERG)	Devolution Emergency Response Group – Regional, interagency, and available headquarters staff that assume the responsibility and execution of headquarters essential functions during Devolution of Operations Plan activation.	P. 28, 33, 34, 49
Emergency Coordinator	- Works with Program Coordinator and others in developing records recovery plan - Assists in identifying and inventorying of essential records – consulting with officials responsible for emergency coordination	P. 19, 35, 40, 45, 47
Emergency Relocation Group (ERG)	Emergency Relocation Group – Staff designated to move to a relocation site [which may include teleworking if authorized] to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.	P. 6, 36

POSITION	ROLES	PAGE #(s)
Essential Records Manager	- Coordinates the agency's Essential Records Program and Plan – working with continuity manager and planners to ensure essential records are available to support MEFs and the agency's continuity plans and program - Assists in effectively managing / protecting agency information assets - Coordinates essential records training for agency personnel - Coordinates agency inventory of essential records and outlining measures to protect them - Periodically tests emergency plans and procedures to determine that essential records are properly identified, protected, and managed - Oversees or assists in development and maintenance of the agency's Records Disaster Mitigation and Recovery Program / Plan - Designated in writing to the Agency Records Officer	P. 1, 3, 6, 7, 9, 14, 19, 22, 23, 36, 47, 48
Information System Contingency Plan Coordinator	Pursuant to the National Institute of Standards and Technology Special Publication 800-34, Revision 1, <i>Contingency Planning Guide for Federal Information Systems</i> , May 2010 – Coordinator is typically a functional or resource manager within the organization. Develops the strategy in cooperation with other applicable managers and manages the development and execution of the ISCP.	P. 33
Information Technology Managers	Responsible for ensuring the appropriate replication of databases containing essential records / information. Also play a role in making sure that the infrastructure / hardware / software is always capable of / ready for reading the essential information, that backups exist, and that essential information is migrated properly.	NA

POSITION	ROLES	PAGE #(s)
Program Coordinator (<i>aka Records Disaster Mitigation and Recovery Program Coordinator</i>)	- Primary responsibility for ensuring up-to-date Records Disaster Mitigation and Recovery Plan and making it available - Agency official responsible for managing Records Disaster and Recovery Program - Works with others to develop and implement protective measures to mitigate potential records disasters - Works with emergency coordinator and others in developing Records Disaster and Mitigation Recovery Plan - Notifies appropriate persons immediately in emergencies – re. nature of emergency and level of threat to the records - Assesses damage to records and takes steps to stabilize them - Consults with records salvage and recovery vendors as needed in recovery of records and information and helping to resume normal operations using recovered records - Periodically review the Records Disaster Mitigation and Recovery Plan with assistance of selected officials to determine effectiveness of plan - Coordinate activities of the Records Disaster Mitigation and Recovery Team (aka Records Recovery Team) – which is designated agency staff that expedite stabilization of the records.	P. 17, 19, 22, 23, 35, 39, 40, 43
Program Managers	Managers throughout the department or agency that are charged with overseeing the missions of the various units. Program managers must work closely with other continuity related officials named in this table to protect an organization's essential records.	P. 1, 9, 14, 22, 23, 39, 45
Records Disaster Mitigation and Recovery Coordinator	See Program Coordinator.	NA
Records Disaster Mitigation and Recovery Team (<i>aka Records Recovery Team</i>)	- Designated agency staff that expedite stabilization of the damaged or threatened records - Receive overall direction from Program Coordinator or Emergency Coordinator but sometimes via local management who, in turn, work with the coordinators.	P. 18, 21, 24, 35, 40, 45, 46, 51

POSITION	ROLES	PAGE #(s)
Records Officer (<i>aka Agency Records Officer</i>)	- Serves as the official responsible for overseeing the agency's records management program. Essential records are just one category of records in the overall agency records management program - Along with other records managers, as applicable, is responsible for guiding and assisting in inventorying records, identifying essential records, deciding on maintenance practices, and conducting or coordinating training.	P. 1, 3, 22, 23, 25, 40, 43, 44, 47
Recovery Manager	Lead person that works in conjunction with the Continuity Program Manager (Continuity Manager) as directed, to implement recovery of agency records per the Records Disaster Mitigation and Recovery Plan. Generally position that identifies (in conjunction with the Records Disaster Mitigation and Recovery Team), which records were affected and the physical media of the records, so an accurate report on the disaster can be produced - and recommend specific recovery steps for approval by the agency's senior managers.	P. 40
Security Officer and CUI Program Manager	Responsible for ensuring the proper identification of classified and CUI essential records / information, and the implementation of storage and access measures to protect the assets.	P. 22, 23, 25, 47
Senior Agency Official for Records Management (SAORM)	On behalf of the agency head, the SAORM works closely with the Agency Records Officer and other appropriate agency officials to oversee the implementation of their records management program. While the Agency Records Officer has operational responsibility for the records management program, the SAORM is accountable for the agency's strategic direction of records management and ensures compliance with records management statutes and regulations.	P. 41

APPENDIX D – ESSENTIAL RECORDS CHECKLIST



Essential Records Checklist

This optional checklist is largely based on combining FEMA's FCD 1 (Continuity Evaluation Tool – V.8) and the former NARA Appendix E. Self-Evaluation Guide of the 1996 version of the "Vital Records and Records Disaster Mitigation and Recovery: An Instructional Guide".

An effective continuity program is supported by the identification, protection, and ready availability of essential records and electronic information systems needed to support essential functions under the full spectrum of all-hazards emergencies. In the FCD 1 Continuity Evaluation Tool, version 8, metrics are recorded and used to measure an organization's ability to meet its continuity requirements. Continuity planning is an effort to document the existence of, and ensure the capability to continue organization essential functions during a wide range of potential emergencies. FCD 1, Annex F, sets the critical elements and required criteria to meet and achieve mission readiness for this continuity element. This Essential Records Checklist is closely based on the FCD 1 (CET, v.8) – and is included here to provide the Essential Records Manager, and other applicable agency personnel, a tool to use to quickly determine the organization's readiness to meet Essential Records Program requirements.

Organization:

Location:

Staff Member Completing Checklist:

Date Completed:

Tasks Observed (check those that were observed and provide the time of observation).

Tasks/Observation Keys (Agency responses to questions re. Essential Records Program).

1	Have appropriate agency personnel, including the agency's Records Officer, Essential Records Manager, program officials, Risk Manager, Emergency Coordinator, facilities managers, Information Resources Managers, safety/security personnel, and CUI Program Manager, assessed the potential risks to the agency's operations and records? ☐ YES ☐ NO ☐ NA
2	Has the agency designated in writing an Essential Records Manager? (<i>An Essential Records Plan must include appropriate policies, authorities, procedures and the written designation of an Essential Records Manager</i>). ☐ YES ☐ NO ☐ NA
3	Has the agency determined which of its functions are most critical and would need to be continued if an emergency or disaster struck the agency? (<i>These critical functions are referred to as mission essential functions (MEFs)</i>). ☐ YES ☐ NO ☐ NA

4	Does the agency's Essential Records Program identify and protect essential records that: a. Specify how the agency will operate in an emergency or disaster? ☐ YES ☐ NO ☐ NA b. Support the agency's continuing essential functions and resumption of normal operations? ☐ YES ☐ NO ☐ NA c. Protect the legal and financial rights of the Government and citizens? ☐ YES ☐ NO ☐ NA
5	Does the agency's Essential Records Program include: a. Appropriate policies, authorities, and procedures? ☐ YES ☐ NO ☐ NA b. Designation of liaison officers that been assigned responsibility for implementing the Program in the agency's field offices? ☐ YES ☐ NO ☐ NA c. Requirement for annual training of all staff involved in the Essential Records Program – informing them of their responsibilities? ☐ YES ☐ NO ☐ NA d. Program promotion, regular testing, periodic review, evaluation, and update of the program? ☐ YES ☐ NO ☐ NA
6	Has the agency prepared and disseminated written information to appropriate agency staff (beyond the Essential Records Manager), describing the Essential Records Program, including the responsibilities of various agency officials? ☐ YES ☐ NO ☐ NA
7	Does agency incorporate the Essential Records Program into its overall Continuity Plans? ☐ YES ☐ NO ☐ NA

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Has agency developed procedures to ensure that:

a. As soon as possible after activation of continuity plans, but in all cases within 12 hours of an activation, ERG/DERG/RPT at the continuity facilities, and teleworkers, have access at appropriate security levels to the appropriate analog and/or electronic media, equipment, and instructions for easily retrieving essential records, including but not limited to, those records stored in a Cloud-based application and accessed via the Internet or a Virtual Private Network?

☐ YES ☐ NO ☐ NA

b. Access at appropriate security levels is provided to essential records, electronic information systems and the robust communications necessary to sustain an agency's essential functions at the continuity/devolution facility and telework site locations?

☐ YES ☐ NO ☐ NA

c. Instructions are included on moving essential records (those that have not been prepositioned) from the primary operating facility or system to the alternate one and incorporated in its continuity plan?

☐ YES ☐ NO ☐ NA

d. Paper or digital copies are made of the essential records for offsite storage?

☐ YES ☐ NO ☐ NA

e. Duplicates are stored at a remote location or on a cloud-based back-up not subject to the same fire or other risks (such as high-risk geographic areas prone to flooding or earthquakes) present in the storage areas where original records are kept?

☐ YES ☐ NO ☐ NA

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Does agency's complete inventory of essential records include:

a. Instructions on accessing those records as well as their locations?

☐ YES ☐ NO ☐ NA

b. Information on the one or more back-up/offsite location(s) to ensure continuity if the primary operating facility or system is damaged or unavailable?

☐ YES ☐ NO ☐ NA

10	Has agency implemented measures for properly storing and maintaining essential records in electronic formats including: a. Special protection and equipment for electronic storage system or media? ☐ YES ☐ NO ☐ NA b. The use of a variety of acceptable formats to secure electronic records? ☐ YES ☐ NO ☐ NA c. Using secure shared data and computing services via the Internet or a Virtual Private Network or the cloud? ☐ YES ☐ NO ☐ NA d. Maintaining and making available the current documentation on hardware and software? ☐ YES ☐ NO ☐ NA e. Authentications measures appropriate for classified and CUI access? ☐ YES ☐ NO ☐ NA
11	Has agency established protective measures to: a. Protect all records – including essential records? ☐ YES ☐ NO ☐ NA b. Safeguard its essential records, regardless of the media on which these are maintained? ☐ YES ☐ NO ☐ NA

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Has agency:**a. Established written guidance for a Records Disaster Mitigation and Recovery Program?**☐ YES ☐ NO ☐ NA**b. Disseminated the Program guidance to appropriate agency staff?**☐ YES ☐ NO ☐ NA**c. Designated an official responsible for the Records Disaster Mitigation and Recovery Program?**☐ YES ☐ NO ☐ NA**d. Designated a Records Disaster Mitigation and Recovery Team?**☐ YES ☐ NO ☐ NA**e. Trained the Records Disaster Mitigation and Recovery Team?**☐ YES ☐ NO ☐ NA**f. Made appropriate agency staff aware of information at the NARA website regarding available records recovery vendors?**☐ YES ☐ NO ☐ NA**g. Established a mechanism to maintain supplies and equipment required to recover records damaged in an emergency or disaster?**☐ YES ☐ NO ☐ NA**h. Conducted periodic reviews in the past of the Records Disaster Mitigation and Recovery Plan and updated it as necessary?**☐ YES ☐ NO ☐ NA