

Summary of Changes
To
Procedure 200.1-5
Records Disaster Prevention, Mitigation, and Recovery Procedure

Revised Version Issued as P 200.1-5B

LM Procedure 200.1-5, Records Disaster Prevention, Mitigation, and Recovery Procedure of 1/19/07, has undergone revisions. The procedure has been revised to reflect changes in definitions and formatting and updates to the attached Plan. Please replace LM Procedure 200.1-5A with LM Procedure 200.1-5B.

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U.S. Department of Energy Office of Legacy Management



Procedure: 200.1-5B

Effective: 2/11/08

SUBJECT: RECORDS DISASTER PREVENTION, MITIGATION, AND RECOVERY

1. PURPOSE.

This procedure establishes implementation requirements for the *Records Disaster Prevention, Mitigation, and Recovery Plan*, which is attached. The Plan addresses prevention and first response to a disaster or emergency situation that may result in damage to or potential loss of LM records.

The Plan is intended to be followed in conjunction with existing LM organizational or site-specific emergency response efforts as appropriate.

2. CANCELLATION. LM Procedure 200.1-5A, Records Disaster Prevention, Mitigation, and Recovery, dated 1/19/2007

3. REFERENCES.

- a. 36 Code of Federal Regulations (CFR) Part 1236, Management of Vital Records
- b. Executive Order 12656, Assignment of Emergency Preparedness Responsibilities
- c. LM Procedure 200.1, Vital Records
- d. LM Procedure 200.4, Records Management
- e. National Archives and Records Administration (NARA), Vital Records and Records Disaster Mitigation and Recovery: An Instructional Guide
- f. NARA, *A Primer on Disaster Preparedness, Management and Response: Paper-Based Materials*

INITIATED BY: Office of Business Operations

NO. OF PAGES/ATTACHMENTS: 4 pages, 1 attachment

- g. Federal Emergency Management Agency (FEMA), *Emergency Management Guide for Business and Industry* (FEMA 141)
- h. *Records Disaster Prevention, Mitigation, and Recovery Plan* (Attachment A.)

4. DEFINITIONS.

- a. Critical Record -- Any record whose loss or damage would have a critical effect on LM, its mission, projects, and tasks, or that would be very costly to replace. Vital records protecting the legal and financial rights of the Federal government and individuals affected by Federal government activities are also considered critical records.
- b. Disaster -- An unexpected occurrence inflicting destruction and having long-term adverse effects on operations.
- c. Emergency -- A situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. An emergency is generally of short duration; for example, an interruption of normal operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes.
- d. LM Personnel -- Federal employees and contractor personnel associated with LM.
- e. Post-Disaster Assessment Report -- A summary completed following a records disaster in which the effectiveness of the recovery process is determined and lessons learned are noted. The report is included in the records emergency response case file.
- f. Program Records Official (PRO) -- Individual who ensures that all LM records management practices are properly executed.
- g. Records Emergency Response Case File -- Detailed account of actions taken in connection with an emergency or disaster affecting LM records.
- h. Records Emergency Response Coordinator (ERC) -- The Records Liaison Officer (RLO) acting as the records ERC for his or her respective geographic location.
- i. Records Liaison Officer (RLO) -- Individual(s) designated by the PRO to oversee the LM records management program in cooperation with the DOE Records Officer.
- j. Records Emergency Response Team (ERT) -- A location-specific response team composed of one or more Records Emergency Response Coordinators (ERCs), Records Management Points of Contact (POCs), and affected records staff.

5. QUALITY CONTROL.

- a. The *Records Disaster Prevention, Mitigation, and Recovery Plan* includes detailed guidance for LM personnel concerning measures used to prevent, mitigate, and recover from records-related disasters. The Plan includes listings of emergency response personnel, records recovery supplies, and various forms for personnel to complete during and after a records-related disaster. The PRO designates an LM contact who ensures that the Plan is reviewed at least annually and updated as appropriate.
- b. The appropriate RLO coordinates disaster prevention inspections of LM-controlled records storage vaults and areas where large quantities of critical records are stored. The RLO arranges the inspections at least semi-annually as spelled out in the Plan.
- c. Each ERC must maintain a copy of the Plan at his or her residence for reference during after-hours emergencies.
- d. The Records ERC creates a Records Emergency Response Case File during any records-related disaster. The Post-Disaster Assessment Report and all other documentation related to the disaster response are included in the case file.

6. RESPONSIBILITIES.

- a. LM Office Directors are responsible for ensuring that personnel are appropriately informed about and perform their assigned roles in the *Records Disaster Prevention, Mitigation, and Recovery Plan*.
- b. The PRO, Team Leader of Archives and Information Management, designates an LM contact who is responsible for ensuring the Plan is reviewed at least annually and updated as appropriate.
- c. Each location's Records ERC and Records ERT members are responsible for being familiar with their role in the Plan.

7. TRAINING REQUIREMENTS.

LM personnel with records management responsibilities should be cognizant of the applicable requirements of this procedure.

8. DOCUMENT CONTROL.

- a. The Directives Manager shall maintain the official controlled version of this document in the LM ERKS.
- b. The Directives Manager shall place the most current version of this procedure on the LM Intranet for employee use.
- c. Printed hard copies of this document shall be considered information-only copies.

9. PROCEDURE.

This procedure establishes implementation and proper maintenance of the *Records Disaster Prevention, Mitigation, and Recovery Plan*.

- a. The LM contact designated by the PRO:
 - (1) Reviews current disaster mitigation scenarios at least annually to identify any new hazards or changing threats to LM's records.
 - (2) Reviews the Plan and ensures that any new hazards or changing threats are properly reflected.
- b. LM Office Directors ensures that personnel are informed about pertinent information in the Plan and about any revisions are properly notified concerning changes or revisions to the Plan.
- c. LM personnel consult the Plan for information concerning disaster prevention, mitigation, and recovery.

10. ATTACHMENTS.

Attachment A. – *Records Disaster Prevention, Mitigation, and Recovery Plan*

Approved: Original signed by Celinda H. Crawford
Director
Office of Business Operations

Distribution: As required

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Attachment A. – Records Disaster Prevention, Mitigation, and Recovery Plan

U.S. Department of Energy Office of Legacy Management



Records Disaster Prevention, Mitigation, and Recovery Plan

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Records Disaster Prevention, Mitigation, and Recovery Plan

1.0 Purpose

This Plan is designed to assist in records disaster prevention, mitigation, and recovery. It provides detailed instructions and resource information applicable to each LM location.

Emergencies requiring record evacuation, mitigation, or recovery occur when there is actual or potential damage to records, or when access to the records is limited or obstructed for an extended period, causing adverse effects to regular operations. An emergency may affect a small quantity of records or an entire storage area. An emergency may be isolated to an individual office, or it can affect an entire building or site.

Records disasters and emergencies can result from fire; flood, water break, or a release from sprinkler heads; insect or vermin infestation; abnormally high, low, or prolonged heat and humidity changes in the storage area; hazardous material release or spill; or any other emergency that obstructs access to or use of records. Appendix A – Glossary provides a list of terms used in this Plan.

This Plan is intended to be followed in conjunction with any LM organizational or site-specific emergency response efforts as appropriate. This Plan also can serve as a stand-alone document in the event of an isolated situation affecting LM records. LM personnel must always follow guidance and direction from the Emergency Director or other emergency officials regarding personal and safety at the scene of an emergency or disaster. Additionally, LM personnel must not attempt any response activities during an emergency situation (fire, flood, etc.) if responding poses a risk to their safety or health.

2.0 Scope

This Plan applies to the Records Emergency Response Coordinator (ERC) and Records Emergency Response Team (ERT) members at each location. The ERC for each location and the ERT contact information is listed in Section 6.1 and Appendix B, respectively.

When response activities can be safely performed, they generally consist of:

- a. Immediately notifying appropriate individuals to assess the level of threat to the records,
- b. Assessing any damage to the records,
- c. Taking immediate steps to stabilize the condition of the records,

- d. Assembling the ERT and other available personnel,
- e. Recovering the records or the information they contain, and
- f. Resuming normal business.

Although some universal disaster avoidance and response processes are documented in this Plan, specific personnel responses will vary depending on the nature of the disaster encountered.

3.0 Overview

In many cases, an untrained person can do more harm than good in performing records disaster recovery. Therefore, LM implements a graded approach to records disasters with emphasis on mitigation and the availability of records recovery professionals.

In many ways, a records emergency response is analogous to a medical emergency:

1) *First responders* provide initial evaluation of medical emergencies. They treat minor injuries and stabilize serious injuries. This is equivalent to records coordinators and administrative personnel handling initial response to records emergencies. 2) When the medical emergency is more serious, *emergency medical technicians* (EMTs) are called. This is equivalent to the role of LM's senior records personnel who have completed records disaster mitigation training offered by the National Archives and Records Administration (NARA) or other organizations. 3) When the medical emergency is life threatening, *paramedics* provide advanced life-saving support. This is equivalent to records disaster recovery professionals transporting damaged records to a recovery facility.

4.0 Responsibilities

LM Office Directors are responsible for ensuring that LM personnel are appropriately informed about and adhere to the prevention, mitigation, and recovery techniques identified in this Plan.

Each location's Records Liaison Officer (RLO):

- Ensures that reasonable mitigation measures are taken to avoid disasters.
- Evaluates potential emergency or disaster situations and institutes prevention or mitigation actions.

Each location's Records ERC:

- Responds to emergencies, or potential emergencies, involving records and assesses damage.
- Activates the Records ERT for the respective location and arranges for the relocation of records, if appropriate, in the event of an emergency or disaster.
- Takes immediate steps to stabilize the condition of records to prevent further damage, and directs recovery operations to salvage the maximum volume of materials in a manner that will minimize future restoration costs and efforts. The ERC consults with restoration expertise as needed and as soon as possible.
- Arranges for equipment, supplies, and space needed for recovery and salvage operations.
- Works with the Emergency Director and LM management as appropriate to ensure records disaster prevention, mitigation, and recovery efforts are planned and executed in compliance with relevant LM emergency procedures.

NOTE: In most cases, a location's RLO serves as the ERC during a disaster or emergency. The RLO title is used in this document for sections dealing with disaster prevention. The ERC title is used in sections dealing with disaster mitigation and recovery activities.

The Enterprise IT Representative:

- Responds to emergencies or potential emergencies that could affect critical electronic records.
- Assesses damage to electronic records affected by emergency situations.

Each location's Records ERT:

- Ensures reasonable measures are taken to prevent a records disaster from occurring.
- Responds quickly and safely to emergencies and disasters affecting records.
- Identifies and directs the flow of records to be evacuated during an emergency.

Each LM employee:

- Notifies the site's ERC immediately when any event occurs that could have an adverse effect on record material.
- Perform the mitigation steps identified in this Plan.

5.0 Prevention

Prevention measures are taken to avoid or minimize any loss of valuable records because of a disaster. (See the disaster prevention flowchart in Appendix C.)

5.1 Storage Conditions

Each location's RLO monitors the records storage areas to ensure that the temperature, humidity, and air circulation conditions for the storage area remain within targeted levels. Rapid or extreme changes in temperature and relative humidity can induce an irreversible deterioration process. High temperatures or low relative humidity may cause paper records to become brittle and crack. High humidity may cause paper records to warp and may promote mold and mildew growth. Images on microfilm may become illegible under extreme environmental changes.

To minimize the risk of damage to or the loss of records, the RLO ensures that LM records are stored according to the following criteria:

- Records are not stored closer than 18 inches to sprinkler heads.
- Records are not stored in contact with electrical or fire alarm systems or where they obstruct any exit, access panel, air conditioning duct, or fire extinguisher.
- Eating, chewing, smoking, and drinking in storage areas are prohibited.
- Roof leaks, signs of moisture, or signs of insects or vermin are reported immediately to the facility maintenance organization.
- Electronic records are stored away from environmental conditions that could accelerate deterioration. Magnetic media are stored away from cables and other sources of strong electromagnetic force.

Records maintained in offices are placed in secured drawers or file cabinets at the end of each workday. Properly securing documents provides additional protection and aid recovery in the event of an after-hours disaster.

5.2 Inspections

Each location's RLO coordinates prevention inspections of LM-controlled records storage vaults and areas where significant quantities of critical records are stored. These inspections are conducted at least semi-annually. The RLO uses LM Form 200.1-3, Records Disaster Prevention Inspection Checklist, as a guide for completing the inspection. (The form is included as Appendix D.)

The inspection evaluates the overall storage environment, conditions, and practices. The inspection also includes a random sampling and inspection of the stored documents to check for signs of insects, vermin, and moisture. The RLO ensures that any deficiencies identified during the inspection are addressed.

5.3 Fire Prevention

All LM personnel adhere to the fire prevention policies and procedures specified for each LM location.

5.4 Disaster Readiness

RLOs identify potential disasters, including those unique to their location. Each site establishes prevention or response processes to prepare for those disasters.

In cases where LM has sufficient advance notice of a pending disaster (e.g., flood, hurricane), the Records ERC consults with the Emergency Director and members of the Records ERT to prepare for possible records evacuation. If an evacuation is necessary, the ERT gives highest priority to the critical records for that location. The location of these records is included in Appendix E. – Critical Records Locations.

5.5 Electronic Records Considerations

To aid in disaster recovery efforts, duplicate copies of critical electronic records in LM's electronic recordkeeping system should be maintained at secure offsite locations in the event of an emergency. Duplicate hardware also should be maintained offsite to expedite resumption of critical operations following a disaster.

Backup tapes should be used for disaster recovery only. They do not meet standards required for records preservation activities.

6.0 Mitigation

The major objective of mitigation is to prevent further damage by stabilizing the condition of the materials as much as possible and as soon as possible. A secondary objective is to recover the maximum amount of material from the damaged collections in a manner that will minimize further restoration and associated costs. LM personnel must

not attempt any of the measures included in this section if the emergency situation (fire, flood, etc.) poses a risk to their safety or health. (See the disaster mitigation flowchart in Appendix C.)

6.1 Discovery and Identification

Disaster discovery and identification are the first steps in the mitigation process. Any person discovering an event or potential event should contact site emergency personnel or the appropriate ERC below, depending on the nature of the event. ERCs for each LM location are:

Location	ERC	ERC Numbers
Grand Junction	Jeanie Gueretta	Office: 970-248-7634 After-hours: *
Morgantown	Karen Hatch	Office: 304-285-1397 After-hours: *
Washington	Ronald King	Office: 202-586-9516 After-hours: *
Rocky Flats	Scott Surovchak	Office: 720-377-9682 After-hours: *
Mound	Arthur Kleinrath	Office: 937-847-8350 x318 After-hours: *
Fernald	Jane Powell	Office: 513-648-3148 After-hours: *

Table 1, Emergency Response Coordinators

** Each location's Emergency Response Coordinator maintains a copy of this Plan offsite. The copy includes after-hours contact information for response team members.*

NOTE: It is *critical* that the ERC be promptly notified of any event affecting records. Personnel who encounter the event should make no attempt to mitigate the damage until the ERC arrives to evaluate the situation. If the ERC is not available, personnel should be directed to the location's ERT members. (See Appendix B. – Records Emergency Response Teams.)

Once an event has been identified, the ERC evaluates the extent of damage and determines the most appropriate initial course of action. The ERC also notifies the Emergency Director, who offers additional resources as appropriate. Speed is of the utmost importance in the disaster response, but not at the expense of careful planning and knowledgeable direction.

Upon assessment of an event and determining a plan of action, the ERC either personally instructs and assists the organization in performing mitigation and recovery operations or declares a broader emergency and activates additional resources as applicable. In disasters involving water, such as a flood, broken water pipe, or fire-extinguishing measures, the ERC ensures that the Emergency Measures for Water-Damaged Records (see Table 2) are followed, as applicable.

The ERC creates a records emergency response case file to retain any information associated with the emergency and related records relocation. Whenever possible, the ERC also takes photographs and videos during the damage assessment stage to aid in restoring records and information to their pre-disaster order and location. These photos and videos should be maintained in the records emergency response case file.

Damage from fire or extremely high temperatures is usually irreversible. The information contained on charred materials may sometimes be retrieved through specialized photography. Because of the extremely fragile nature of such materials, only professional conservators should handle them.

Emergency Measures for Water-Damaged Records	
Do	Don't
<ul style="list-style-type: none"> <input type="checkbox"/> Stop any source of water flow. <input type="checkbox"/> Contact offsite vendors specializing in mitigation and recovery. Perform any preliminary measures they dictate. <input type="checkbox"/> Remove any standing water. This may require mobilizing a local water extraction and dehumidification contractor. <input type="checkbox"/> Start dehumidification, which may also require mobilizing a local water extraction and dehumidification contractor. If at all possible, lower the temperature below 70°F and the relative humidity below 60 percent, as mold may appear within 48 hours. To do this: <ul style="list-style-type: none"> • Open all doors and windows to allow as much ventilation as possible. • Circulate air with fans and set up dehumidifiers. • Turn down or shut off heat/air conditioning, and eliminate any sources of moisture. • Remove wet material other than the documents to be recovered. <input type="checkbox"/> Remove dry documents, if possible, without affecting wet documents to reduce their exposure to humidity. Do not remove or touch wet documents. <input type="checkbox"/> Place water-damaged microfilm, film negatives, or magnetic media in clean water in plastic garbage bags in boxes or rinse media in clean water and place in sealed plastic bags while still wet. Do not allow film to dry. Wet film must be transported to a recovery laboratory within 48 hours. 	<ul style="list-style-type: none"> !! Do not attempt to remove materials from the area until an overall plan with a schedule of priorities has been established and all personnel involved are thoroughly briefed on how to handle the damaged records. !! Do not permit anyone to open wet books, to separate single sheets, to remove covers when materials are water soaked, or to disturb wet file boxes, prints, drawings, or photographs. Such handling can result in extensive and often irreparable damage to materials that otherwise might be salvaged. !! Do not pile or stack wet materials on one another, as excessive water weight will cause irreparable damage.

Table 2, Emergency Measures for Water-Damaged Records

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6.2 Evacuation Plans

Site evacuations should be coordinated through each location's general site emergency response plan. As directed by each location's Records ERC, the Records ERT should begin evacuation of records starting with the critical records listed in Appendix E. – Critical Records Locations.

Temporary offsite facilities may be needed to store damaged and undamaged records. Relocation of these records also may require vehicles and labor beyond the extent of current LM resources. An authorized purchase card holder may contact offsite storage, transportation, and labor resources to facilitate records evacuation efforts.

Whenever possible, proprietary records, unclassified controlled information, and personally identifiable information should be handled or supervised by personnel with a working understanding of protection requirements.

6.3 Pre-Disaster Notification and Evacuation

If prior notification of an ensuing disaster is received, the location's ERC, after notifying the location's Emergency Director, may evacuate records to another location at the site or to a predetermined offsite facility.

If offsite evacuation is chosen:

- a. The Records ERC coordinates the offsite facility custodian or owner immediately, while working with an authorized purchase card holder to arrange for necessary transportation.
- b. The Records ERT, assisted by LM personnel:
 - (1) Prioritizes records to be removed on the basis of the records' criticality and the amount of time and resources available for the evacuation effort. In most cases, the critical records are in one or more file cabinets located in previously identified rooms as indicated in Appendix E. – Critical Records Locations. Non-critical material and material from non-designated rooms should be reserved for subsequent removal as time and resources permit.
 - (2) Relocates prioritized records using the following guidance:
 - Relocate four- or five-drawer file cabinets with contents intact. This relocation will require heavy-duty handcarts and access to ramps or vehicles with lift gates.
 - Empty lateral cabinets into record storage boxes or transfer cases.

- Empty map cabinets by placing the maps into tubes or wrapping them in plastic wrap for relocation.
 - Empty open shelves into record storage boxes or transfer cases.
 - Relocate existing record storage boxes.
- (3) Labels all cabinets and boxes with information regarding former locations.
 - (4) Inventories and itemizes record files, cabinets, and boxes as they are being relocated as time permits using LM Form 200.1-1, Records Relocation Inventory Checklist. (This form is included as Appendix F.) Otherwise, inventory and itemize them when the relocation is completed. The ERT forwards copies of the completed inventory checklist to the relevant organizations' file clerks and forwards the original to the ERC as part of the records emergency response case file.
- c. The Records ERT:
- (1) Directs loading and dispatching of vehicles from the vulnerable location.
 - (2) Directs unloading and positioning of file cabinets and boxes at the safe location.
 - (3) Directs and facilitates the return of evacuated records to their original storage location or designated alternate location when the emergency has passed and, if necessary, when the facility is restored.

7.0 Recovery

In most cases, an outside vendor specializing in records restoration will perform or direct recovery operations. Because most of the damage to materials takes place in the first few hours after a disaster, the ERC performs immediate actions, as specified in this Plan, to begin salvage operations until the restoration specialists arrive. (See the disaster recovery flowchart in Appendix C.)

Depending on the quantity and the restoration method used, the damaged material will be treated onsite, moved to a local offsite location for open-air drying, transported by the vendor to a restoration laboratory, or packaged by the Records ERT and shipped to a restoration laboratory. In any of these cases, the vendor will provide specific instructions and, in most cases, the supplies needed to support the identified treatment process. (See Appendix G. – Records Mitigation and Recovery Supplies.)

The ERT works with the Enterprise IT Representative to ensure restoration of critical electronic records affected by the records disaster. The goal is to ensure recovery of

critical electronic records and to have them available as soon as LM personnel are ready to resume business operations.

The ERC will create a Post-Disaster Assessment Report to determine the effectiveness of the disaster recovery process used and to document lessons learned. The ERC uses LM Form 200.1-2, Post-Disaster Assessment Report (see Appendix H.) as a template for the report. A copy of the report is included in the records emergency response case file.

Appendixes

- a. Appendix A. – Glossary
- b. Appendix B. – Records Emergency Response Teams
- c. Appendix C. – Record Disaster Prevention, Mitigation, and Recovery Flowcharts
- d. Appendix D. – Records Disaster Prevention Inspection Checklist (LM Form 200.1-3)
- e. Appendix E. – Critical Records Locations
- f. Appendix F. – Records Relocation Inventory Checklist (LM Form 200.1-1)
- g. Appendix G. – Records Mitigation and Recovery Supplies
- h. Appendix H. – Post-Disaster Assessment Report (LM Form 200.1-2)

Appendix A. – Glossary

- a. Critical Records – Any records whose loss or damage would have a critical effect on LM, its mission, projects, and tasks or that would be very costly to replace. Vital records protecting the legal and financial rights of the Federal government and individuals affected by Federal government activities are also considered critical records.
- b. Disaster – An unexpected occurrence inflicting destruction and having long-term adverse effects on LM operations.
- c. Electronic Record – Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.
- d. Electronic Recordkeeping System (ERKS) – An electronic information system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. An ERKS ensures that the records it maintains will have sufficient authenticity and reliability to meet the agency’s recordkeeping requirements. These requirements are based in statute, ensuring “adequate and proper documentation,” which contributes to efficient and economical agency operations.
- e. Emergency – A situation or occurrence of a serious nature (e.g., fire, flood, electrical failure) developing suddenly and unexpectedly requiring immediate action.
- f. Emergency Director – Designated LM person in charge of response activities during an emergency or disaster at an LM facility.
- g. Enterprise IT Representative – LM designated person responding to situations that could affect LM electronic records. The Enterprise IT Representative helps assess hardware and storage media damage and acts to restore electronic critical records as appropriate.
- h. Legal and Financial Rights Records – Records essential to the preservation of the legal and financial rights of individual citizens and the Federal government. Examples of these records include accounts receivable and payable records, social security records, payroll records, retirement records, and insurance records.
- i. Personally Identifiable Information (PII) – Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information which can be used to distinguish or trace an individual’s identity, such as their name, social security number, date and place of birth, mother’s maiden name, biometric records, etc., including any other personal information which is linked or linkable to an individual.
- j. Post-Disaster Assessment Report – A summary completed following a records disaster in which the effectiveness of the recovery process is determined and lessons learned are noted. The report is included in the records emergency response case file.

- k. Records – All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the Government 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 Government or because of the informational value of data in them.
- l. Records Emergency Response Case File – Detailed account of actions taken in connection with an emergency or disaster affecting LM records.
- m. Records Emergency Response Coordinator (ERC) – Role assumed by the Records Liaison Officer (RLO) during a records-related emergency or disaster.
- n. Records Emergency Response Team (ERT) – A location-specific response team composed of one or more Records ERCs, Records Management Points of Contact (POCs), and affected records staff.
- o. Records Liaison Officer (RLO) – Individual(s) designated by the PRO to oversee the LM records management program in cooperation with the DOE Records Officer.
- p. Unclassified Controlled Information (UCI) – Unclassified information that may be exempt from public release under FOIA and for which disclosure, loss, misuse, alteration, or destruction may adversely affect national security, Governmental interests, or personal privacy.

Appendix B. – Records Emergency Response Teams

The following tables identify the response team for each LM geographical location. Each team is composed of at least one Records Emergency Response Coordinator and affected Archives and Information Management (AIM) staff.

Grand Junction		
Name	Telephone Numbers	Primary Responsibilities
Jeanie Gueretta	Office: 970-248-7634 After-hours: *	Emergency Response Coordinator
Gordon Weaver	Office: 970-248-6680 After-hours: *	Team member
Jeff Tack	Office: 970-248-7714 After-hours: *	Team member
Dianna Roberts	Office: 970-248-6450 After-hours: *	Team member
Janet Gibbons	Office: 970-248-6174 After-hours: *	Team member
Linda McArthur	Office: 970-248-6002 After-hours: *	Purchase card holder
Carol Collins	Office: 970-248-6524 After-hours: *	Enterprise IT Representative

Table B-1, Grand Junction Records Emergency Response Team

** Each location's Emergency Response Coordinator maintains a copy of this Plan offsite. The copy includes after-hours contact information for response team members.*

Morgantown		
Name	Telephone Numbers	Primary Responsibilities
Karen Hatch	Office: 304-285-1397 After-hours: *	Emergency Response Coordinator
Maria Vignone	Office: 304-285-4127 After-hours: *	Team member
Pam Watson	Office: 304-285-4116 After-hours: *	Team member
Cliff Anglim	Office: 304-225-8329 After-hours: *	Team member
Joy Mroz	Office: 304-285-4106 After-hours: *	Team member, Purchase card holder
Debbie Haddix	Office: 304-285-4849 After-hours: *	Team member, Purchase card holder
Dave Westhead	Office: 304-225-8312 After-hours: *	Enterprise IT Representative

Table B-2, Morgantown Records Emergency Response Team

** Each location's Emergency Response Coordinator maintains a copy of this Plan offsite. The copy includes after-hours contact information for response team members.*

Washington		
Name	Telephone Numbers	Primary Responsibilities
Ronald King	Office: 202-586-9516 After-hours: *	Emergency Response Coordinator
Amy Cook	Office: 202-586-7550 After-hours: *	Team member
Leslie Nelson	Office: 202-586-9480 After-hours: *	Team member
Joy Mroz	Office: 304-285-4106 After-hours: *	Team member, Purchase card holder
Debbie Haddix	Office: 304-285-4849 After-hours: *	Team member, Purchase card holder
Dave Westhead	Office: 304-225-8312 After-hours: *	Enterprise IT Representative

Table B-3, Washington Records Emergency Response Team

** Each location's Emergency Response Coordinator maintains a copy of this Plan offsite.
The copy includes after-hours contact information for response team members.*

Rocky Flats		
Name	Telephone Numbers	Primary Responsibilities
Scott Surovchak	Office: 720-377-9682 After-hours: *	Emergency Response Coordinator
Linda Kaiser	Office: 720-377-9679 After-hours: *	Team member
Kim Smart	Office: 720-377-3820 After-hours: *	Team member
Andrea Wilson	Office: 720-377-3810 After-hours: *	Team member
Scott Raynes	Office: 720-377-3822 After-hours: *	Team member
Linda McArthur	Office: 970-248-6002 After-hours: *	Purchase card holder
Larry Hatfield	Office: 720-377-9686 After-hours: *	Enterprise IT Representative

Table B-4, Rocky Flats Records Emergency Response Team

** Each location's Emergency Response Coordinator maintains a copy of this Plan offsite.
The copy includes after-hours contact information for response team members.*

Mound		
Name	Telephone Numbers	Primary Responsibilities
Arthur Kleinrath	Office: 937-847-8350 x318 After-hours: *	Emergency Response Coordinator
Glenn Griffiths	Office: 937-847-8350 x331 After-hours: *	Team member
Cathy Wallace	Office: 937-847-8350 x303 After-hours: *	Team member
Maria Korte	Office: 937-847-8350 x316 After-hours: *	Team member
Joy Mroz	Office: 304-285-4106 After-hours: *	Purchase card holder
Debbie Haddix	Office: 304-285-4849 After-hours: *	Purchase card holder
Paul Brown	Office: 937-847-8350 x327 After-hours: *	Enterprise IT Representative

Table B-5, Mound Records Emergency Response Team

** Each location's Emergency Response Coordinator maintains a copy of this Plan offsite. The copy includes after-hours contact information for response team members.*

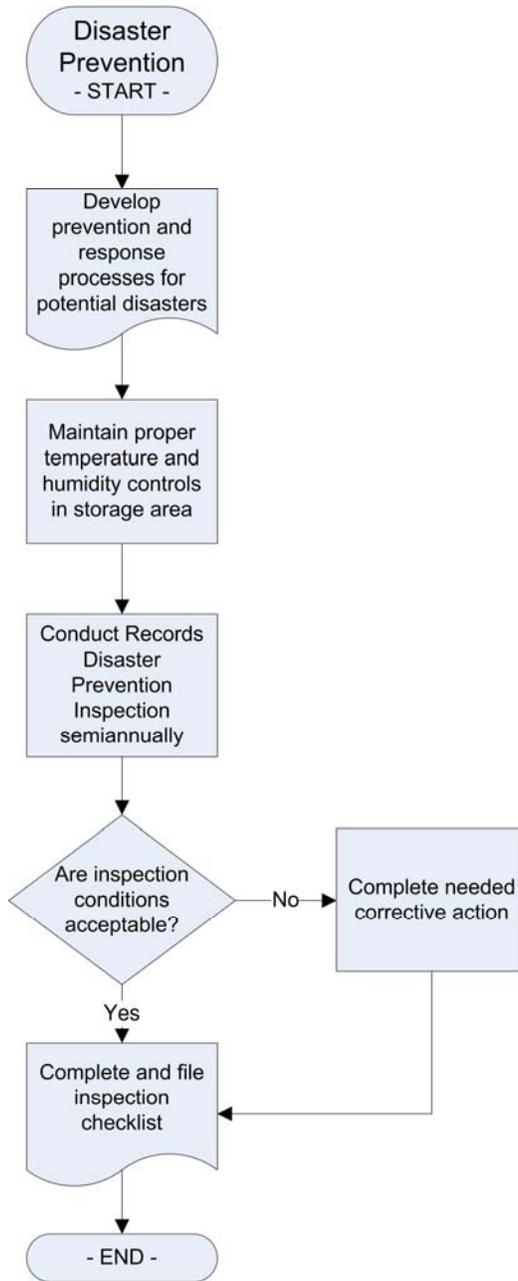
Fernald		
Name and Role	Telephone Numbers	Primary Responsibilities
Jane Powell	Office: 513-648-3148 After-hours: *	Emergency Response Coordinator
Michele Miller	Office: 513-738-3284 After-hours: *	Team member
Cathy Wallace	Office: 937-847-8350 x303 After-hours: *	Team member
Brenda Irvine	Office: 937-847-8350 x341 After-hours: *	Team member
Joy Mroz	Office: 304-285-4106 After-hours: *	Purchase card holder
Debbie Haddix	Office: 304-285-4849 After-hours: *	Purchase card holder
Paul Brown	Office: 937-847-8350 x327 After-hours: *	Enterprise IT Representative

Table B-6, Fernald Records Emergency Response Team

** Each location's Emergency Response Coordinator maintains a copy of this Plan offsite. The copy includes after-hours contact information for response team members.*

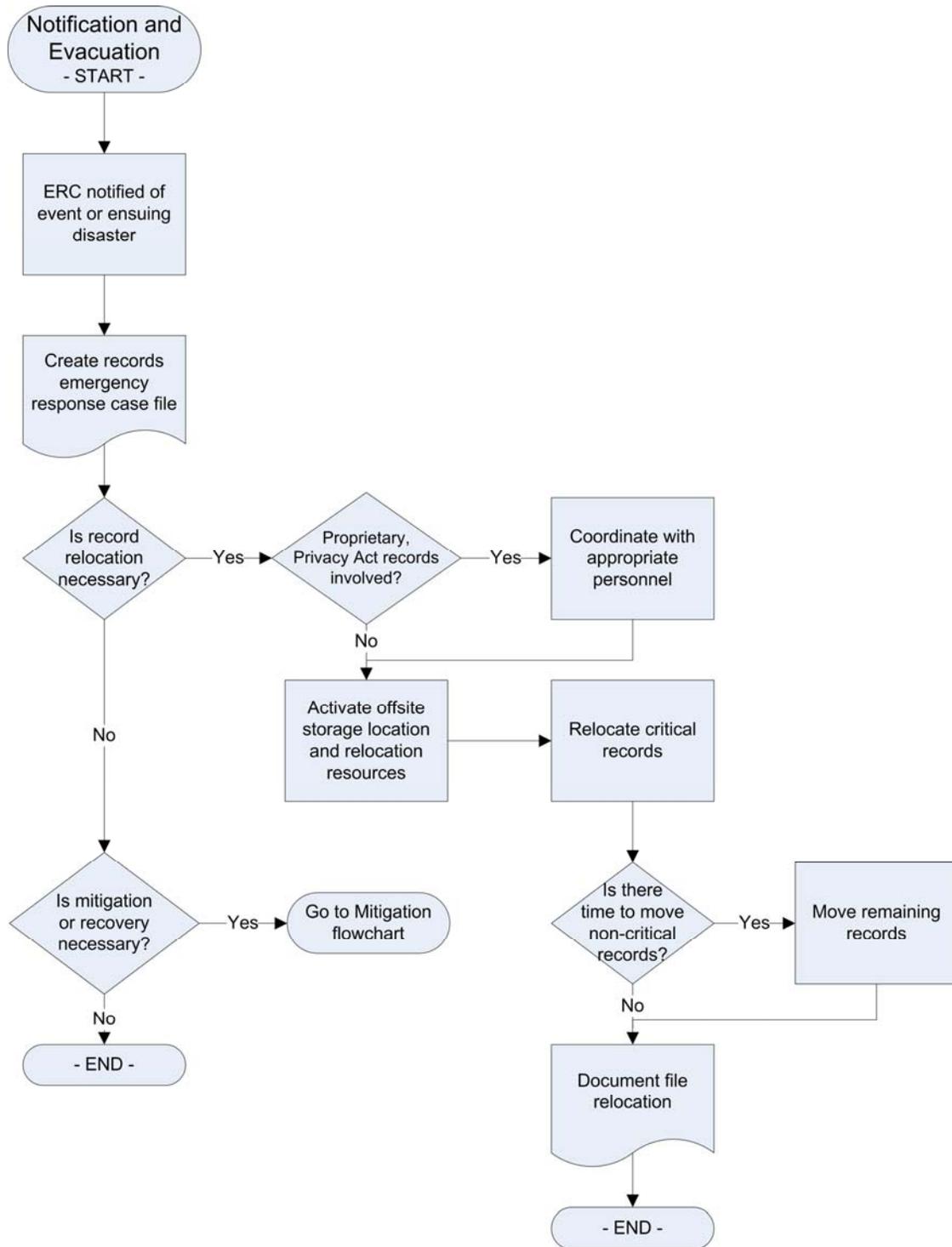
The most recent and official controlled hard copy version of this document resides with LM's Directives Coordinator. An electronic version of the controlled document has been placed on the LM Intranet for employee use. Printed hard copies of this electronic version are considered uncontrolled documents.

Appendix C. – Records Disaster Prevention, Mitigation, and Recovery Process Flowcharts



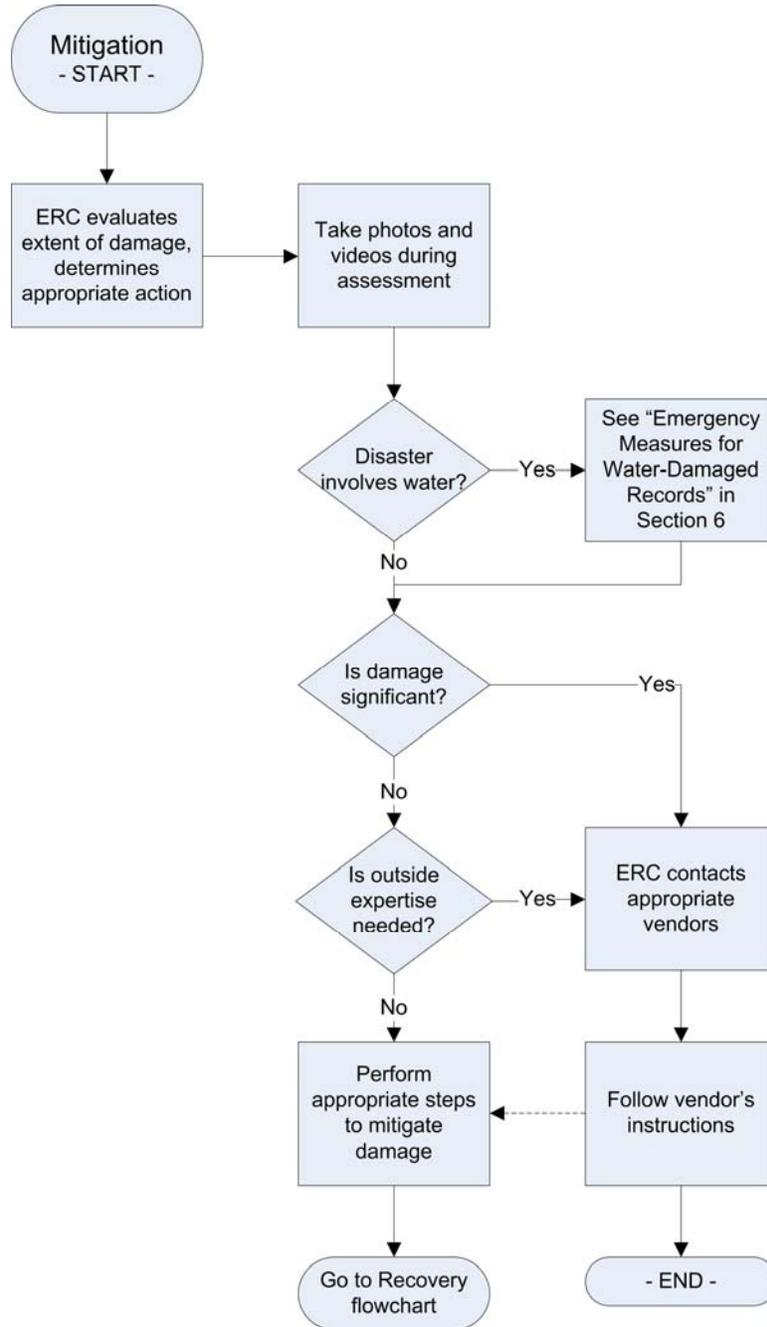
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Records Disaster Prevention, Mitigation, and Recovery Process Flowcharts (con't)



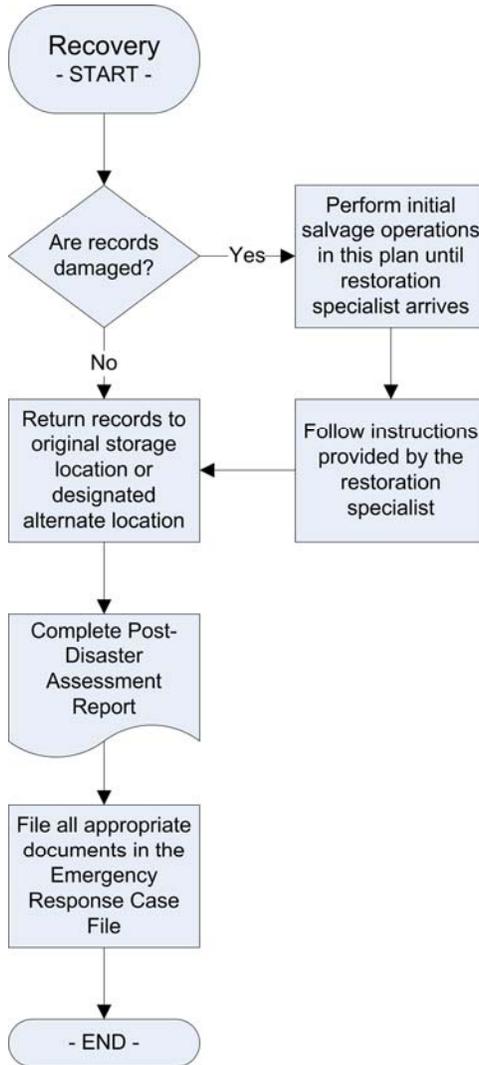
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Records Disaster Prevention, Mitigation, and Recovery Process Flowcharts (con't)



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Records Disaster Prevention, Mitigation, and Recovery Process Flowcharts (con't)



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Appendix D. – Records Disaster Prevention Inspection Checklist

LMF 200.1-3
01/2006, OPI = LM-10
Previous Editions Obsolete

**U.S. Department of Energy
Office of Legacy Management**

Records Disaster Prevention Inspection Checklist

Date of Inspection: _____ Inspector: _____

Inspection area:

Date of Inspection: _____ Inspector: _____

Storage Conditions:

Inspector verifies each of the following items to ensure compliance with 36 CFR Part 1228, Subpart K, Facility Standards for Records Storage Facilities

Records are not stored within 6 inches of ceilings or suspended lights

Records are not stored within 18 inches of sprinkler heads

Stored records do not contact or obstruct:

Electrical systems or access panels

Fire alarm systems

Room exits

Air conditioning duct

Fire extinguishers

Temperature standard of 70 (\pm 5) °F is maintained

Humidity standard of 50 (\pm 5) % relative humidity is maintained

Personnel do not eat or drink in storage areas

Personnel do not smoke in storage areas

Roofing in storage areas appears to be free of water leaks

Storage area is free of vermin and insects

Record material is stored in cabinets or on shelving – not directly on floors where it may be susceptible to in-house flooding

No apparent fire hazards

Comments:

Corrective Actions (resolution of items not in compliance):

Signature: _____

Appendix E. – Critical Records Locations

Individual rooms containing critical records are shown by LM location in the following tables. In most cases, the critical records are in one or more file cabinets located in these rooms.

Depending on the amount of time and resources available, priority must be given to removing only the file cabinets or designated critical material from these rooms. Non-critical material and material from non-designated rooms should be reserved for subsequent removal as time and resources permit.

Normally, critical records are stored in four- or five-drawer file cabinets, lateral file cabinets, open shelving, plans cabinets, or record storage boxes.

- Four- or five-drawer file cabinets should be removed with content intact. This will require heavy-duty handcarts and ramps or lift gates on vehicles.
- Empty lateral cabinets into record storage boxes or transfer cases.
- Empty cabinets containing plans and place the plans into tubes or wrap them in plastic wrap for relocation.

Location	Building Number	Rooms
Grand Junction	12/12A	Vaults 4 and 5 Rooms 1, 5, 6, 17, 25, 26
	810	First Floor – 114, 121, 122, 122A, Second Floor – 214, 225
Morgantown	Research Ridge 4	133
Washington	FORS	6G041 File Room
Rocky Flats	n/a	
Mound	n/a	
Fernald	n/a	

Table E-1, Critical Records Locations

* Each location's Emergency Response Coordinator maintains a copy of this Plan offsite.
The copy includes after-hours contact information for response team members.

Appendix G. – Records Mitigation and Recovery Supplies

The following table identifies supplies that might be needed in an emergency. A contracted disaster recovery vendor will likely provide most of the needed supplies. These supplies can be purchased at local department, grocery, home improvement, or office supply stores if needed.

Aluminum foil	Nylon monofilament
Aprons, plastic	Paper pads, pencils, waterproof pens
Brushes or clothes	Paper towels
Camera with film	Plastic sheeting or plastic wrap
Crates: boxes or plastic	Plexiglas plates with rounded edges: 0.5 inch thick 4 by 5 inches, 5 by 7 inches, and 8 by 10 inches
Dollies, hand trucks, flatbed carts	Polyester film sheets greater than 3 millimeters (mm) thickness
Duct tape, heavy duty	Polyethylene bags or plastic sheeting (6 mm)
Extension cords, heavy duty	Polypropylene sheets, lightweight corrugated
Facemasks, protective	Razor knife or cutters
Fans, heavy duty	Scissors
First aid kit	Screen racks
Flashlight with batteries	Sponges, dry chemical
Garbage bags, plastic	Spray nozzle, adjustable
Garbage cans, large plastic	Tool kits: crowbar, hammer, pliers, wrench
Gloves: cotton, disposable, and work varieties	Washtubs, plastic (18 by 24 inches)
Hard hats	Water hoses with connectors
Labels, self-adhesive (3 by 5 inches) and colored self-adhesive dot labels—variety of colors	Waxed or freezer paper
Mops, buckets, brooms, and dustpans	Wet/dry vacuum

Table G-1, Records Mitigation and Recovery Supplies

Appendix H. – Post-Disaster Assessment Report

LMF 200.1-2
07/2005, OPI = LM-10
Previous Editions Obsolete

U.S. Department of Energy
Office of Legacy Management
Post-Disaster Assessment Report

Date of Report _____ Page ____ of ____

Facility/Building/Room/Area:

Records Emergency Response Coordinator:

Emergency Response Team Members:

Disaster Description:

Date of Disaster:

Advance Notification: No Yes Comments:

Records Relocated: No Yes Comments:

Records Damage: No Yes (If Yes, is damage considered Minimal or Major)

Describe Mitigation:

Mitigation Performed: No Yes

Describe Mitigation Activity:

Restoration Performed: No Yes (If Yes, is damage considered Minimal or Major)

Describe Mitigation Activity:

Lessons Learned:

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