

U.S. Department of Energy

Washington, D.C.

ORDER

DOE 5500.7B

10-23-91

SUBJECT: EMERGENCY OPERATING RECORDS PROTECTION PROGRAM

1. PURPOSE. To establish the policy, responsibilities, and requirements for a Departmental Emergency Operating Records Protection Program to safeguard that core of records deemed necessary to assure continuity of essential Governmental activities during and following disaster and attack-related emergency conditions.
2. CANCELLATION. DOE 5500.7A, VITAL RECORDS PROTECTION PROGRAM, of 1-9-87.
3. SCOPE. The provisions of this Order apply to all Departmental elements and to covered contractors to the extent implemented under a contract or other agreement. A covered contractor is a seller of supplies or services involving the management of an emergency operations center under a management and operating contract or subcontracts thereunder.
4. BACKGROUND. Two types of records constitute vital records: emergency operating records and rights and interests records. This Order covers the requirements to protect the former. The protection requirements for the latter are contained in DOE 1324.8, RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM, of 10-23-91.
5. POLICY. DOE shall establish and maintain an Emergency Operating Records Protection Program that ensures the protection, availability, and control of information critical to support disaster and attack-related civil defense.
6. REFERENCES.
 1. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, which contains guidelines for the disposition of records.
 2. DOE 1324.4, MICROGRAPHICS MANAGEMENT, of 11-2-83, which contains standards and guidelines applicable to microfilm prepared for vital records.
 3. DOE 1324.8., RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM, of 10-23-91, which establishes Departmental policy and requirements to safeguard those records necessary to assure preservation of the legal rights and interests of individual citizens and the Government during a period of post-attack recovery.
 4. DOE 1360.2A, UNCLASSIFIED COMPUTER SECURITY PROGRAM, of 5-20-88, which establishes Departmental policy for the protection of unclassified computer systems and unclassified sensitive data processed on computer systems.

DISTRIBUTION:

INITIATED BY:

All Departmental Elements

Director of Emergency Operations

- e. DOE 5480.7, FIRE PROTECTION PROGRAM, of 11-16-87, which establishes the DOE fire protection program.
- f. DOE 5500.1B, EMERGENCY MANAGEMENT SYSTEM, of 4-31-91, which establishes the DOE Emergency Management System.
- g. DOE 5632.5, PHYSICAL PROTECTION OF CLASSIFIED MATTER, of 2-3-88, which contains guidelines on the physical protection of classified matter.
- h. DOE 5633.3, CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS, of 2-3-88, which prescribes minimum requirements and procedures for control and accountability of nuclear materials.
- i. DOE 5634.1A, FACILITY APPROVALS, SECURITY SURVEYS, AND NUCLEAR MATERIALS SURVEYS, of 2-3-88, which establishes procedures for granting facility approval prior to permitting safeguards and security interests on premises and for conducting onsite security surveys.
- j. DOE 5635.1A, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 2-12-88, which establishes procedures for safeguarding and controlling classified documents and information.
- k. DOE 5635.4, PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION, of 2-3-88, which establishes procedures for the protection of unclassified controlled nuclear information.
- l. DOE 5637.1, CLASSIFIED COMPUTER SECURITY PROGRAM, of 1-29-88, which, among other things, establishes uniform requirements to ensure the security of classified information in automated data processing (ADP) systems.
- m. DOE 5650.2A, CLASSIFICATION OF INFORMATION, of 5-8-85, which specifies responsibilities, authorities, policy, and procedures for the management of the DOE security classification system.
- n. DOE 5650.3, IDENTIFICATION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION, of 2-29-88, which, among other things, establishes policy and procedures for identifying unclassified controlled nuclear information (UCNI).
- o. Public Law 93-579, Title 5, U.S.C. 552a, which sets forth the requirements of the Privacy Act of 1974.
- p. Title 36 CFR 1236, VITAL RECORDS DURING AN EMERGENCY, which provides for the selection and protection of vital records required in the development of Federal Agency emergency preparedness programs.
- q. Federal Preparedness Circular Number 60, CONTINUITY OF THE EXECUTIVE BRANCH OF THE FEDERAL GOVERNMENT AT THE HEADQUARTERS LEVEL DURING NATIONAL SECURITY EMERGENCIES, of 11-20-90, which provides policy guidance to Federal departments and agencies on measures to be taken to

preserve the continuity of the Federal Government and to ensure performance of essential functions during national security emergencies.

- r. Federal Preparedness Circular Number 64, CONTINUITY OF THE EXECUTIVE BRANCH OF THE FEDERAL GOVERNMENT AT THE REGIONAL LEVEL DURING NATIONAL SECURITY EMERGENCIES, of 11-20-90, which provides policy guidance to Federal departments and agencies on measures to be taken to preserve the regional continuity of the civil elements of the Federal Government during national security emergencies.
- s. ANSI/ASME NQA - 1, 1986 Edition, QUALITY ASSURANCE PROGRAM REQUIREMENTS FOR NUCLEAR FACILITIES, which sets forth requirements for the establishment and execution of quality assurance programs during the design, construction, operation, and decommissioning of nuclear facilities.
- t. National Archives Handbook, EVALUATING A VITAL RECORDS PROGRAM, of 1983, which establishes criteria for ensuring that vital records are protected.

7. DEFINITIONS.

- a. Emergency Operating Records. Records vital to the essential functions of the Federal Government for the duration of an emergency resulting from an industrial accident, natural disaster, or an attack on the country. These records include those necessary for the military effort; the mobilization and protection of material and manpower resources, of services, and systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. These records must be available as needed at or in the vicinity of Emergency Operations Centers. Examples of emergency operating records are: General Management Records, Lists of Key Personnel, Emergency Mission Records, and Industrial Records.
- b. General Management Records. Statements of emergency mission; plans and programs for carrying out that mission; delegations of authority; successions of command; regulations or announcements drafted for, emergency purposes; outlines of action programs; listings of emergency operating and records storage locations; listings of Department personnel, property, and activities sufficient to provide a basis for damage assessments; descriptions of essential emergency functions; and copies of basic legislation, regulations, and procedures.
- c. List of Key Personnel. Includes lists of employees assigned emergency duties and those with skills deemed necessary to the functioning of the Department during and subsequent to an emergency. If the lists, or other information, are retrievable by a name or individual or other personal identifier, such as social security number, the information is subject to the Privacy Act of 1974.

- d. Emergency Mission Records. Departmental emergency mission records, determined by the relationship of the record to the assigned essential emergency function.
 - e. Industrial Records. Engineering drawings, explanations of complex industrial processes, and lists of supplies and suppliers for items and materials not readily available.
8. CLASSIFICATION OF RECORDS. Records listed in paragraph 7a that are classified or are controlled under the various programs cited in the references will be identified and protected in accordance with DOE 5632.5, DOE 5634.1A, DOE 5635.1A, and DOE 5635.4.
9. RESPONSIBILITIES.
- a. The Director of Emergency Operations (DEO), assigned implementation responsibilities for emergency planning and preparedness activities by the Under Secretary, per DOE 5500.1B, while reporting administratively, to DP-1, through the Office of Nuclear Self-Assessment and Emergency Management (DP-9), shall:
 - (1) Establish and administer the Department's Emergency Operating Records Protection Program.
 - (2) Develop policies, procedures, and operating guidelines for the establishment and implementation of the Emergency Operating Records Protection program.
 - (3) Maintain liaison with the Office of Security Affairs (SA-1) on the security aspects of Headquarters emergency operating records and storage sites.
 - (4) Ensure mechanisms are in place at Headquarters to ensure access to emergency operating records during emergency situations.
 - (5) In coordination with the Director of Administration and Human Resource Management (AD-1):
 - (a) Provide assistance to Headquarters organizations regarding maintenance and disposition of emergency operating records.
 - (b) Maintain liaison with the National Archives and Records Administration and other Federal agencies on Departmental matters affecting emergency operating records.

- b. The Director of Administration and Human Resource Management (AD-1) shall:
- (1) Establish and administer the Department's Rights and Interests Records Management Program.
 - (2) Identify Headquarters storage facilities for emergency operating records, operate the Headquarters storage facilities, and provide the DEO with a list of the Headquarters storage facilities annually, as of January 1.
 - (3) In coordination with the DEO:
 - (a) Provide assistance to Headquarters organizations regarding maintenance and disposition of emergency operating records.
 - (b) Maintain liaison with the National Archives and Records Administration and other Federal agencies on Departmental matters affecting emergency operating records.
- c. The Director of Security Affairs (SA-1) shall, in coordination with the DEO, provide advice on the security aspects of Headquarters emergency operating records and storage sites.
- d. Heads of Departmental Elements shall:
- (1) Within functional areas of responsibilities and based upon disaster and attack-related emergencies in which they may be involved:
 - (a) Ensure that Emergency Operations Centers (EOCs) are identified; and
 - (b) Emergency operating records are maintained in accordance with established policies and procedures.
 - (2) Through emergency management officials, assure that mechanisms are in place to ensure access to records during emergency situations.
 - (3) Designate an official in their organization as the Emergency operating Records program Officer to implement and maintain the program. Official designation shall be made as of December 1 and kept up to date.
- e. Heads of Headquarters Elements and Field Organizations shall designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Directive. Unless another individual is designated, the responsibility

Is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33).

- f. The Emergency Operating Records Program Officer shall:
- (1) Ensure that an annual review is conducted with planned emergency exercises or site visits as of December 1, each calendar year, to ensure emergency operating records are current, complete, adequately protected, accessible, and immediately retrievable.
 - (2) Ensure that program personnel are trained in and knowledgeable of the purpose and operations of the Emergency Operating Records Protection Program. A record of training shall be developed, maintained, and available for inspection.
 - (3) In coordination with the cognizant Head of Departmental Element, the DEO, and SA-1, decide where emergency operating records shall be stored.
 - (4) Ensure that emergency operating records are collected, marked, and numbered for immediate retrieval and control and forwarded to the field storage site.
 - (5) Identify field storage facilities for emergency operating records, provide for the operation of the field storage facilities, and provide the DEO with a list of the field storage facilities annually, as of January 1.
- g. Procurement Request Originators (the individuals responsible for initiating a requirement on DOE F 4200.33) or such other individual(s) as designated by the cognizant head of headquarters element or field organization shall bring to the attention of the cognizant contracting officer the following:
- (1) Each procurement requiring the application of this Directive.
 - (2) Requirements for the flowdown of provisions of this Directive to any subcontract or sub-award.
 - (3) Identification of the paragraphs or other portions of this Directive with which the awardee, or, if different, a sub-awardee, is to comply.
- h. Contracting Officers, based on advice received from the procurement request originator, shall apply applicable provisions of this Directive to-awards falling within its scope. For awards, other than management and operating contracts, this shall be by incorporation or reference using explicit language in a contractual action, usually bilateral.
10. PRIMARY CONSIDERATIONS. Because it is impossible to ensure the availability of every important document, sound judgment shall be used in identifying

emergency operating records. The records may be in the form of hard copy, microfilm, microfiche, or products of automated devices, e.g., magnetic disks or tapes. Official record copies shall not be used. National Archives Handbook, EVALUATING A VITAL RECORDS PROGRAM, is available to assist Records Officers in the preparation of these records.

11. STORAGE CONSIDERATIONS.

- a. Location. EOCs and relocation sites, as developed, shall provide adequate protection and accessibility, and shall meet the improved risk level of fire protection required by DOE 5480.7. Storage of classified documents at these sites shall be approved in accordance with DOE 5634.1A prior to use.
- b. Manner of Storage. Records will be stored at the site in such a manner as to ensure ease of access, retrieval, and control. The site will have the necessary capability to make the records immediately available. Classified records shall be handled in accordance with DOE 5632.5 and DOE 5635.1A; UCNi records will be controlled in accordance with DOE 5635.4.
- c. Disposition of Records. Emergency Operating Records shall be maintained until they are superseded or replaced. Once superseded, these records revert to standard records disposition requirements.

BY ORDER OF THE SECRETARY OF ENERGY:



JOHN J. NETTLES, JR.
Director of Administration and
Human Resource Management

