



Emergency Services Sector Continuity Planning Suite

Essential Records Management Worksheet

Introduction

The following worksheet is derived from the [Continuity Capability Evaluation for the Emergency Services Sector \(CCE\)](#) to assist Emergency Services Sector organizations in evaluating and filling gaps in their continuity capability. For more information, see the Emergency Services Sector Continuity Planning Suite at www.dhs.gov/emergency-services-sector-continuity-planning-suite.

Essential records management encompasses the systems that support full connectivity among the organization’s leadership internal elements and other organizations to perform essential functions during an emergency. The identification, protection, and ready availability of essential records, databases, and hard copy documents needed to support essential functions under the full spectrum of all-hazards emergencies are critical elements of a successful continuity plan and program. Organizations should strongly consider multiple redundant media for storing their essential records. Every organization has different functional responsibilities and business needs. An organization should decide which records are essential to its operations and then assign responsibility for those records to the appropriate personnel.

Instructions

As one of 11 elements of continuity capability, essential records management contains objectives supporting the element and practices fulfilling each objective. Review the following objectives and practices. For each practice, select or write Yes, No, or N/A in each box to represent whether your organization has completed the action described in the practice. Include comments that provide information explaining how the practice is complete or why it is not complete. Tally all selections for the element and record them in the box to the right. For guidance on how to select Yes, No, or N/A for each practice of the element, see the Introduction of the CCE.

Enter Tallies Here	
Yes	
No	
N/A	

For guidance on developing an essential records plan, see the Federal Emergency Management Agency (FEMA) www.dhs.gov/emergency-services-sector-continuity-planning-suite. The template can support filling gaps in continuity identified in the initial evaluation.

Objective 6.1 Establish an essential records program to ensure that records and databases essential to the continued functioning or the reconstitution of an organization during and after an emergency are identified, protected, and included in the organization’s continuity plan.

Practice 6.1.1 The organization’s official essential records program has identified and protected records that specify how the organization will operate in an emergency or disaster.

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Practice 6.1.2 The organization’s official essential records program has identified and protected records necessary to the organization’s continuing essential functions and resumption of normal operations.

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Practice 6.1.3 The organization’s official essential records program has identified records needed to protect the legal and financial rights of the organization and the public.

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Practice 6.1.4 The organization’s official essential records program has included appropriate policies, authorities, procedures, and the written designation of an essential records manager.

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Practice 6.1.5 The organization has incorporated its essential records program into its overall continuity plans.

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