APPENDIX C - Examples, Tools and Guidance

U.S. Patent and Trademark Office

Crosswalk

Bucket Title: Trademarks Registration and Maintenance

BRM: Service for Citizens—Economic Development—Intellectual Property Protection

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
1—Trademarks Program and Policy Subject Files						
1	Trademarks Program and Policy Subject Files and Examiner Training Materials	Permanent	Permanent: Transfer to NARA 20 years after closure or when superseded.	Commissioner for Trademarks, Program and Policy Subject Files	N1-241-96-6 #2	Deputy Commissioner For Trademark Examination Policy
1	Trademarks Program and Policy Subject Files and Examiner Training Materials	Permanent	Permanent: Transfer to NARA 20 years after closure or when superseded.	Director's Calendars	N1-241-96-1 #5a	Commissioner for Trademarks
1	Trademarks Program and Policy Subject Files and Examiner Training Materials	Permanent	Permanent: Transfer to NARA 20 years after closure or when superseded.	Manual of Trademark Examining Procedures	New	Commissioner for Trademarks
1	Trademarks Program and Policy Subject Files and Examiner Training Materials	Permanent	Permanent: Transfer to NARA 20 years after closure or when superseded.	Trademark Practice and Procedure Legal Lectures	N1-241-96-6 #43	Deputy Commissioner For Trademark Examination Policy
2—Trademark Case File Records and Related Indexes						
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Applicant's Index, 1922-1979 - MICROFILM	N1-241-96-4 #31a	Trademark Search Facilities Branch
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Corrected and Amended Trademark Registrations	N1-241-96-4 #36a	Trademark Search Facilities Branch
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Examiners Registrations/Trademark Operations	N1-241-96-4 #37a	Trademark Search Facilities Branch
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Petitions and Petition Decisions	N1-241-96-6 #44a	Deputy Commissioner For Trademark Examination Policy

Crosswalk - U.S. Patent and Trademark Office

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Published Trademarks-MICROFILM	N1-241-96-6 #42c	Deputy Commissioner For Trademark Examination Policy
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Registrant's Index	N1-241-96-4 #33a,b	Trademark Search Facilities Branch
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Assignments and Indexes	N1-241-96-4 #47a	Trademark Search Facilities Branch
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Case Files	N1-241-96-6 #46a(1), b(1)	Deputy Commissioner For Trademark Examination Policy
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Docket Cards	N1-241-96-4 #38a	Trademark Search Facilities Branch
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Image Capture and Retrieval System (TICRS) (Delete from #2 and move to #3 – staging files)	N1-241-01-01 #3f (Move to #3)	Commissioner for Trademarks
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Image Capture and Retrieval System (TICRS)	N1-241-01-01 #3c(1),(2)	Commissioner for Trademarks
2	Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Oppositions	N1-241-96-4 #45a	Trademark Search Facilities Branch

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
	3—Trademark Case File Feeder Records and Related Indexes					
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Abandoned Trademark Applications	N1-241-96-6 #46b (1) (2)	Trademark Law Offices
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Applicant's Index, 1922-1979 - MICROFILM	N1-241-96-4 #31b	Trademark Search Facilities Branch
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Global Correspondence Updates	N1-241-96-6 #12a,b	Trademark Program Control
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Published Trademarks-MICROFILM	N1-241-96-6 #42b	Deputy Commissioner For Trademark Examination Policy
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark Application and Registration Retrieval (TARR)	N1-241-01-01 #5c,d	Commissioner for Trademarks

Crosswalk - U.S. Patent and Trademark Office

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark Applications As Filed - MICROFILM	N1-241-96-6 #7	Commissioner for Trademarks
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Revenue Accounting Management (Inputs)	N1-241-98-2 #5b	Commissioner for Trademarks
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark Data Entry and Update System (TRADEUPS)	N1-241-01-2 #3c,d,e,f	Trademark Services
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark Electronic Application Submission (TEAS)	N1-241-01-01 #4c,d,e	Trademark Services
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark Image Capture and Retrieval System (TICRS)	N1-241-01-01 #3d,e,f	Trademark Services

Crosswalk - U.S. Patent and Trademark Office

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark In-house Photocomposition System (TIPS)	N1-241-01-02 #4c,d,e	Chief Information Officer
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark Petitions	N1-241-96-6 #44b	Deputy Commissioner For Trademark Examination Policy
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	Trademark Trial and Appeal Board Information System (TTABIS)	N1-241-01-02 #1d	Trademark Trail and Appeal Board
3	Trademark Case File Feeder Records and Related Indexes	Temporary	Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.	TRAM II System	N1-241-96-5 #64b	

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
4—Trademarks General Administrative & Short-Term Subject Files						
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Condition of Trademark Applications	N1-241-96-6 #9	Trademark Services
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Controlled Correspondence Files for the Commissioner for Trademarks	N1-241-96-6 #40a,b	Deputy Commissioner For Trademark Examination Policy
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Data Entry Manuals	N1-241-96-6 #10	Trademark Program Control
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	General Subject Files (Commissioner for Trademarks)	N1-241-96-6 #39	Deputy Commissioner For Trademark Examination Policy
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Lost Cases	N1-241-96-6 #15	Trademark Assistance Center

Crosswalk - U.S. Patent and Trademark Office

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Lost Cases Receipts	N1-241-96-6 #16	Trademark Assistance Center
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Restorations of Filing Dates	N1-241-96-6 #33	Office of Pre-Examination
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Reviews and Amendments Manuals	N1-241-96-6 #23	Trademark Law Offices
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Trademark Protest Letters	N1-241-96-6 #45	Deputy Commissioner For Trademark Examination Policy
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Trademark Quality Reviews and Findings	N1-241-96-1 #17	Office of Trademark Quality Review
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Trademark Voice System	N1-241-96-5 #66b	Commissioner for Trademarks

Crosswalk - U.S. Patent and Trademark Office

SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Withdrawal Notice—Trademarks	N1-241-96-6 #25	Trademark Program Control
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Withdrawal Sheets	N1-241-96-6 #26	Trademark Program Control
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Subject Files	N1-241-96-6 #24	Trademark Program Control
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Card Files of Trademark Quality Reviews Completed	N1-241-96-1 #18	Office of Trademark Quality Review
4	Trademarks General Administrative Subject Files, Correspondence, Reports, and Short-Term Discretionary Records	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Reviews and Amendments Training Errors	N1-241-96-6 #22	Office of Trademark Quality Review

APPENDIX D - Examples, Tools and Guidance

Government Accountability Office (GAO)

    Training Presentation

Using DM/ERMS to Do GAO's Work

DM/ERMS Training for
the GAO Community (Non-Engagement)
February 2008

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Purpose

The purpose of this briefing is to:
- Present DM/ERMS as the official recordkeeping system for GAO's administrative documents and records
- Provide guidelines on how to use DM/ERMS efficiently to do your work
- Introduce the new simplified records retention schedule for administrative documents
- Explain the Administrative file structure and close out process

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Learning Objectives

From this briefing you will learn:
- Why GAO has moved to DM/ERMS
- Why capturing and preserving administrative records are important
- Types, purposes, and retention of administrative records
- Expectations for using DM/ERMS to do your work
- Guidelines for working with DM/ERMS efficiently
  - How to organize electronic documents
  - How to share documents
  - How to protect sensitive documents
  - How to prepare files for close out
- Quick Review: What you should remember

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DM/ERMS is now the *Official Repository* for GAO's Records

- A "records management" module has been added to DM that allows GAO to manage electronic documents as official records.

- It is no longer necessary to print records for paper files, nor is it necessary to maintain official paper files.

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Why has GAO Moved to DM/ERMS?

GAO has moved to DM/ERMS to:
- Capture and preserve administrative documents/records that are important evidence of how GAO conducts business
- Protect the integrity of the documents and the files
- Enable staff to share documents/records both locally and across HQ and the field offices
- Provide ready access to record materials required to support GAO's business activities and processes
- Better support GAO's disaster recovery and vital records requirements
- Ensure that electronic documents comply with Federal recordkeeping standards

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What Are Administrative Records and Why Are They Important?

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GAO

What are Administrative Records?

Administrative Records document how we run the business side of GAO. Examples include:

- Budget and finance
- Correspondence and communications
- Information technology and services
- Payroll and benefits
- Personnel
- Procurement and supply
- Public and congressional relations
- Security and protective services
- Travel
- Office-level special projects and task forces
- Routine housekeeping activities of individual offices and teams, such as staff schedules and phone lists

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GAO

Why are Administrative Records Important?

Administrative records
- record decisions
- provide the history of GAO events
- protect the rights and interests of employees.

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GAO

Types of Administrative Records

Administrative Records may include:

- Budget oversight and implementation documents
- Contract documentation
- Building maintenance records
- Briefings and presentations
- Meeting minutes
- Evidence of decisions
- Correspondence
- Forms
- Newsletters
- Training Materials
- Phone Lists
- Standard Operating Procedures
- Task force and special project documentation

Administrative records may be created in different media and formats, including Word documents, spreadsheets, Powerpoint slides, PDFs, audio-visual materials, email, databases, and others.

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GAO

GAO Applications with Built-in Recordkeeping Functionality

- Budget Call Application
- Competency Based Performance System (CBPS)
- Human Resource Information System (HRIS) - USDA
- Knowledge & Skills Inventory System (KSIS)
- Training Registration Resource System (TRRS)
- Travel Manager
- Web TA

You do **NOT** need to duplicate this information in DM/ERMS.

Records are automatically captured and maintained as activities are completed in these applications.

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GAO

Administrative Records: Retention and Disposition Schedules

- The standard retention for all Administrative Records is seven years
- There are some special collections that have a longer retention:
  - Safety records, such as asbestos and hazardous materials cleanup
  - Security debriefing statements
  - Inspector General reports
  - Some budget reports
  - Historically-significant records
  - Official personnel folders

NOTE: If you work with any of these special collections, you may contact the KS records management staff in Information Assets for more information.

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GAO

Using DM/ERMS: What Do I Have to Do?

GAO expects all staff to use DM/ERMS to do their work.

Official records should not be kept on your hard drive, network drives, thumb drives, CDs, or GroupWise archive

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When to Use DM/ERMS

Use DM/ERMS to:
- Capture documentation as you create it
- Capture external documents (correspondence, reports, etc.) when you receive them
  - import electronic files when they are received
  - scan hard copy documents when feasible
  - create a paper profile to establish a record of hard copy documents, electronic files, or physical objects that cannot be stored in DM.
- Capture significant e-mail directly from GroupWise.

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How to Capture Documents on Creation

Adobe Acrobat and all MS Office applications are integrated with DM/ERMS. Save all administrative documents to the DM/ERMS Administrative Profile when you create them.
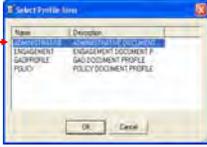
NOTE: Do not use the old GAO Document Profile.

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How to Import External Documents

Documents you receive from outside of GAO in support of your function must also be captured in DM/ERMS using the Administrative Profile.

- **Electronic Files:** import them into DM/ERMS.

- **Hard Copy Documents:** if possible, scan hard copy documents into searchable PDF files and store them in DM/ERMS.

  Note: See Scanning Options for details.

- **Other Materials:** for documents too voluminous to scan or for files incompatible with DM/ERMS, create a Paper Profile to record their existence and to specify where they are stored.

  Note: See Create a Paper Profile for details.

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When to Capture E-Mail

- E-mail used to conduct the agency's business constitutes an agency record.
- **Do** save substantive e-mail that provide evidence of thought processes in support of decision making or document oversight activities, such as discussions with agency staff, correspondence with vendors, answers to questions, transmittals of documentation, clarification of comments.
- Do **not** save all e-mail. For example, do not save messages that are incidental or of a personal nature.
- When you know e-mail will be used for discussions over time, wait until the matter is resolved to save the e-mail as a threaded discussion to DM/ERMS.

NOTE: See Saving Email and Attachments in DM and Saving Email Threads into DM as a Single Acrobat File for more information.

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What Are the Best Ways to Work with DM/ERMS Efficiently?

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What Are the Best Ways to Work with DM/ERMS Efficiently?

- As a group, plan what files you need to support your office functions, such as:
  - Budget planning and execution
  - Purchasing files
  - Contract files
  - Staff plans
  - Office-level task forces and special group projects
- Individually, plan what files you need to support specific projects and activities for which you are responsible

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Planning Your DM/ERMS Desktop

To use DM efficiently to support your office functions, meet with your co-workers to agree on:
- The types of documents and files you need to save in DM
- How your group will organize your documents into folders and subfolders
- Who needs to have access to shared folders and documentation
- Whether the group will use a standard approach for document titles (i.e. naming conventions)

NOTE: To effectively manage your office's documentation, **always have this discussion prior to beginning a new project or initiative.** Not doing so can result in the loss of valuable time looking for – and gaining access to – documentation and much duplication of effort.

You'll also need to decide how *you* will stay organized – using workspaces is a good approach.

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Where's My Stuff?
Using Workspaces to Stay Organized

A workspace is a container you can create to hold folders, documents, quick searches, and URLs. Workspaces that you create are yours alone. They provide an easy way to find folders and documents.
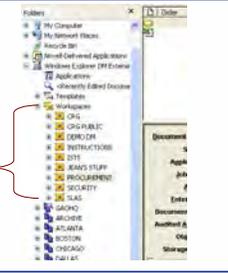
Workspaces appear on the left side of the DM screen in the three-pane view

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Where's My Stuff?
Using Workspaces to Stay Organized

- You can easily find important documents/folders again without having to search for them if you create workspaces and add important folders and documents to them. Not all documents you need appear on your Recently Edited Documents list.

- Like folders, workspaces can hold documents and folders; unlike folders, they can also hold quick searches and URLs.

NOTE: See Creating and Using Workspaces for "how to" instructions.

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Use Master Folders & Subfolders to Organize Your Documents

Using folders and subfolders is an effective way to organize your files and to share documents with others working on the same tasks. When you begin a new task, create a master folder with subfolders to organize your work.

Key Point: Establish a structure that someone not connected with your work or new to your group can follow without assistance.

Examples include:
- A folder for each task you are responsible for with subfolders for each section or phase of the task, as needed
- A folder for each committee or task force you serve on
- A folder for each vendor you work with

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Sample Folders & Subfolders

SAMPLE #1:
Create a main folder for your work group with subfolders for specific projects or other logical sub-divisions:

- FACILITIES BRANCH PROJECTS
  - FIELD OFFICE PROJECTS
    - ATLANTA PROJECTS 2007
    - BOSTON PROJECT 2007
  - HQ PROJECTS

SAMPLE #2:
Create a main folder for a group function and subfolders by specific types of document:

- XYZ CONTRACT MASTER FOLDER
  - XYZ CONTRACT TASK ORDERS
  - XYZ COTR MEETINGS
  - XYZ MONTHLY REPORTS

NOTE: To learn more about setting up folders, see Creating and Using DM Folders.

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Public Folders for Sharing Common Files

- A standard set of DM Public Folders are set up for each unit to save routine documents that are shared by all staff
- Teams can customize sub-folders under this standard structure
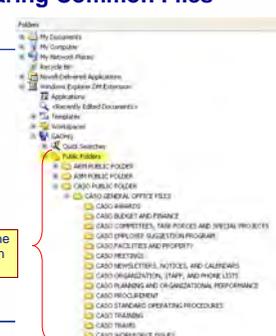
Public Folders appear on the left side of the DM screen in the three-pane view

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Using Workspaces to Save Documents Directly to Folders

- Once you establish the files and folders you generally work with, pull them into your workspace.
- Once a folder is in your workspace, click on it when you save a new document
- The profile will inherit the metadata (profile field information) from the folder you have clicked on.
- Just complete the Document name and the document is saved to the folder

That's it, you are done. No more filling out all the profile data fields each time you save a new document.

Note: You can always edit any of the profile fields, including the access list, for a document before saving.

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Using Workspaces to Save Documents Directly to Folders

Click on the folder where you want to save the document.

The document profile automatically inherits the metadata from the folder

Just complete the Document Name and click OK.

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Use DM/ERMS to Protect Sensitive Information

- Documents that contain personal (i.e., Privacy Act) information, limited official use only (LOUO), sensitive but unclassified (SBU), proprietary, or other sensitive information can be saved in DM/ERMS
- To identify and protect the folders and documents that contain sensitive information, you should:
  - Click on the "Contains Sensitive Data" checkbox on the profile form
  - Set the "Edit Access Control List" to reflect the names and rights of only those who have a need to see/use the information
- Another module in the training program addresses working with sensitive documents in more detail

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Use DM/ERMS to Identify Reference Material

- Documents that you use repeatedly as background or reference material you may wish to have available in DM beyond the 7 year retention period
- Click on the "Reference" check box on the document profile form to extend the retention to 10 years
- Examples of reference documents include:
  - Office/team/support unit-level budgets, strategic plans, performance reports
  - Internal user guides and manuals
  - Government-wide regulations, policies, guidelines

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Sensitive Data and Reference Document Checkboxes

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What Not to Save in DM/ERMS

- **Personal documents** (i.e. your van pool list, the coffee/water club list, your wedding plans, etc.) do not belong in DM/ERMS. You may save them to your hard drive, a thumb drive, or maintain them on your personal (home) computer.

- **Copyrighted materials** do not belong in DM/ERMS. See OGC's web site http://info1.gao.gov/gcweb/guidance_copyright.htm for guidance, or contact Jim Lager, OGC.

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**More About Working
with Administrative Records**

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Administrative Record File Structure

- Each Team, Office, or Support Unit generally has three types of administrative file structures:
  - General Office Files
  - Operations Files
  - Projects
  - A few offices have special collections of documents that require unique file structures (i.e. FOIA, Safety Special Collections).
- The default retention for administrative files is 7 years.

> **NOTE: If you need assistance deciding which administrative file structure is best for your use, please contact the KS records management staff in Information Assets at 202/512-4451.**

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Administrative File Structure:
General Office Files

General Office Files contain housekeeping types of files, common to all offices, consisting of files on:

- Awards
- Budget & Finance (office-level working files)
- Office-level Committees, Task Forces, & Special Projects*
- Employee Suggestions
- Facilities and Property
- Meetings (Agendas, Notes, Handouts, Minutes)
- Newsletters, Notices, & Calendars

- Organization, Staff, and Phone Lists
- Planning & Organizational Performance
- Procurement
- Standard Operating Procedures
- Training
- Travel
- Workforce Issues

> *Note: Agency and Intragency Committees, Task forces, and Special Projects should be captured with the Policy profile. Contact Information Assets at records@gao.gov to set up a Special Project file.

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Administrative File Structure:
General Office Files

- To help organize and share General Office Files, there is a generic folder structure for each office/team/support unit and field offices located in the DM Public Folders.
- Sub-folders can be added to the generic folder structure as needed, or teams can create their own shared folders
- The default Access Control List for the public folders includes every member of your office/team/or support unit. You may modify this access at the document level, as necessary for your business purposes.

> Note: for more information on using this type of file, see *Administrative Records – Guidance for Creating and Filing General Office Files* on the KS Web Site under DM/ERMS.

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Administrative File Structure:
Operations Files

- Operations Files contain files that are specific to the function of your Team/Office or Support Unit.
- Operations Files also include work done by mission teams under 800000 job codes.
- Examples of Operations files are:
  - In ISTS – Network maintenance files
  - In KS – Publishing services and distribution files
  - In HCO – Recruitment files
  - In OS – Security inspection files
  - In CASO – Procurement files
  - In mission teams – Engagement planning & staffing files

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Slide 36

Administrative File Structure:
Operations Files

A sample DM folder structure for Security Operations files:

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Administrative File Structure:
Project Files

Project Files are used to manage documents specific to a finite project. Examples are: the competency-based performance system, strategic plan key efforts, installation of the new phone system, development of the new financial management system.
- Project Files require a job code (800000 or 900000 series only).
- Project Files have a start date and an end date.
- Project Files generally have a group of people working with them.
- Project files may last longer than one year.

Note: To establish a project file or to close out a project file, you must coordinate with the DM/ERMS System Administrator by leaving a message on the records@gao.gov mailbox.

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Administrative File Structure:
Project Files

A sample DM folder structure for an Administrative Project:

- LOCAL AREA NETWORK (LAN) UPGRADE PROJECT - 990099 (SAMPLE)
  - LAN UPGRADE PROJECT - TEAM MEETINGS (SAMPLE)
  - LAN UPGRADE PROJECT - TECHNICAL REQUIREMENTS (SAMPLE)
  - LAN UPGRADE PROJECT - PROPOSALS (SAMPLE)
  - LAN UPGRADE PROJECT - PROJECT PLANS (SAMPLE)
    - LAN UPGRADE PROJECT - IMPLEMENTATION PLAN & SCHEDULES
    - LAN UPGRADE PROJECT - COMMUNICATIONS PLAN
  - LAN UPGRADE PROJECT - TESTING (SAMPLE)

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Saving Administrative Documents in DM:
Select a Function/Activity/File

- When you save a document in DM, you file the document in the appropriate file structure by completing the Function, Activity, and File fields on the profile.
  - Function is your office/team/or support unit,
  - Activity is one of three standard sub-categories: General Office, Operations, or Project. (all are preceded by the name of the team/office/or support unit, e.g., ISTS Projects).
  - File is the fiscal year you are working in or the project number
- The job code can be 000000 or the code assigned by your office/team/or support unit.

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Preparing Files for Closeout and Rollover to a New Fiscal Year

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Why Do We Close Out Files?

- Good recordkeeping practice requires that files (paper or electronic) be cut off, or ended, at regular intervals and new files established.
- Closing out administrative files protects the integrity of records that have been created throughout the year or the duration of a project.
- This close out practice allows GAO to preserve and manage their records in logical groupings over time, and facilitates disposal on a regular schedule

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When Does Close Out Occur?

- Administrative files (Operations and General Office Files) are closed out about 60 days after the end of every fiscal year.
- Administrative Project files are closed out about 60 days after the completion of a project.
- You will still have access to your files, but you will no longer be able to edit or delete them.
- Administrative files remain online in DM and are accessible and retrievable for their full seven-year retention period.
- Each office will be contacted by Information Assets to determine if there is a continued need for these records prior to deletion from the system.

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What You Can and Cannot Do After Files Are Closed

About 60 days after the end of the fiscal year or after the completion of a project, DM/ERMS administrative documents will be made READ ONLY.

- You *can* still access those files.
- If you have a continuing need to use a particular document or documents for your work, you *can* copy them (or open and select Save As) to save them for the new fiscal year.
- When files are closed you *cannot*:
  - edit the documents
  - add documents to a prior year files
  - delete documents.

Reminder: Administrative Files in DM/ERMS will be retained (and readily accessible) for 7 years after they are closed.

Cleaning Up Your Files Prior to Closure

- Several weeks prior to the end of the fiscal year, GAO Notices will announce the record closeout schedule for the fiscal year
- You will be asked to review the documents in your DM/ERMS files to ensure they are complete and to remove any non-record materials.
- You will have 60 days after the end of the fiscal year to complete this review before the files are closed.

What You Need to Do to Prepare for End-of-Year Closeout

- Identify work in progress that will continue and new projects that are starting in the upcoming year
- Update the profiles of documents in progress for the new fiscal year (i.e., FY2008)
- Update folders for ongoing work so that new documents are saved as FY2008 files
- Review completed documents and folders
  - Have all required documents been saved in DM?
  - Have you removed all personal and non-work related documents?

How Do I Update My Folders for the New Fiscal Year?

- For existing folders, update the *File Field* on the Profile Form (i.e., change FY2007 to FY2008)
- Create new folders for new tasks
- Contact KS to create new Administrative Project files
  - Project files need to be created for new 800000- or 900000-series job codes that will be managed as projects

---

Click to open the drop down list for the File field

Select FY2008 and click OK
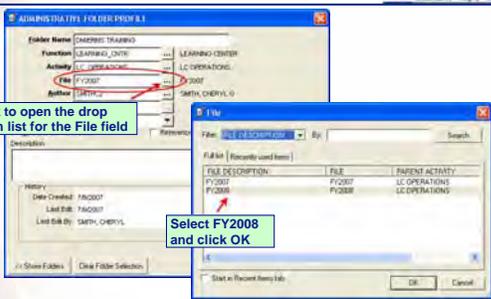
Quick Review

What You Should Remember

1. GAO has moved to DM/ERMS to:
   - Enable you to share and organize your documents and records
   - Provide ready access to record materials required to support GAO's business activities and processes
   - Better support GAO's disaster recovery and vital records requirements
   - Allow GAO to electronically manage its official records
2. You are expected to use DM/ERMS to:
   - Capture documents (correspondence, e-mails, spreadsheets, briefing slides, etc.) as you create them
   - Import external documents (records) when you receive them
   - Capture significant e-mail directly from Group Wise

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What You Should Remember

3. Guidelines for working with DM/ERMS efficiently:
   - With your group, plan how you will organize and share your documents
   - Use folders and subfolders to get and keep the group organized
   - Use workspaces to get and keep yourself organized.
4. Use the Function, Activity, and File on the Administrative Profile to describe your documents.
   - Operations and General Office files are for ongoing work
   - Project files are open for the life of the project
   - Mark the profile Sensitive to protect privacy and Limited Official Use information
   - The Administrative Profile has a seven-year retention built in

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What You Should Remember

5. Files are closed out regularly to protect the integrity of the official record.
6. What happens when files are closed:
   - 60 days after a record file is closed, documents are set to "read only"
   - The Access Control List on the documents is not changed
   - You can still open and copy closed documents.
   - You can not edit or delete them.
   - Administrative documents remain accessible for 7 years.
7. Refer to the DM/ERMS Information Center on the GAO Intranet for answers to frequently asked questions about using DM for Administrative Functions.

   http://gaoweb.gao.gov/gaoinfo/dmerms/

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APPENDIX E - Examples, Tools and Guidance

National Aeronautics and Space Administration (NASA)

Decision Tree
NASA Programs and Projects Records

Training Presentation
Using the NASA Flexible Schedule for Programs and Projects

NASA Records Decision Tree - Programs & Projects

IS MY DATA A RECORD?

1) Was it created or received in the course of business?
2) Does it have informational or evidential value?

Is the answer YES to either question?

No → Non-record materials can be destroyed/ deleted when no longer needed.

Yes ↓

Is the record mission specific and thus a Program/Project record?

Yes ↓   No →

No → Record is an administrative record common to all NASA departments, and not related to the Program/Project.

Contact *records control officer for specific retention periods.

Does data exist in multiple locations? (database, intranet, NASA system, other department, etc)

Yes ↓   Official Record Holder →

Retention for your official copy must be determined.

Identify all copy holders and determine if YOU hold the Official Record

Not Offical Record Holder ↓

Your copy is a convenience copy - delete/destroy when no longer needed.

IS THE PROGRAM OR PROJECT CONSIDERED HISTORICALLY SIGNIFICANT?

i.e. Relating to manned & unmanned space flight, aerospace technology, basic or applied scientific research AND one or more of "first of a kind" establish precedents, produce major contributions to scientific or engineering knowledge, integrate proven technology into new products, or subject of widespread media attention or Congressional scrutiny.

Yes ↓   No →

No → These records are TEMPORARY, but retention must still be determined.   Do these records have operational value throughout the life of the Program/ Project?

Is this record essential for understanding the history of the Program/Project from inception to completion?

Yes ↓   No ↓

This record is PERMANENT!!
See **Note 1 of NPR 1441.1 Schedule 8 items 101-113 for detailed list of potential records.

Choose ONE of the following items:
8/101 or 102

This record is TEMPORARY!!
See **Notes 2 & 3 of NPR 1441.1 Schedule 8 items 101-113 for detailed list of potential records.

Choose ONE of the following items:
8/103, 104, 105, 106

Yes ↓   No ↓

These records may be destroyed/ deleted according to NPR 1441.1 after Program/Project termination.
See **Notes 1 & 2 of NPR 1441.1 Schedule 8 items 101-113 for detailed list of potential records.

Choose ONE of the following items:
8/107, or 108

These records are routine and not considered essential for on-going operations of the Program/Project.
See **Note 3 of NPR 1441.1 Schedule 8 items 101-113 for detailed list of potential records.

Choose ONE of the following items:
8/109 or 110

* Contact the Information Manager, Records Liaison, or Records Coordinator for further information.

** NOTES - Located in NPR, 1441.1 Schedule 8, items 101-113.

June 2007

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Do I *Have* To?

A spine-tingling, nail-biting cliff-hanger about making friends with NASA's new Programs/Projects Records Retention Schedule

Chapter 1

Real Men (and Women) Read Directions

Set yourself up for success

The introduction is not just window dressing

PROGRAM AND PROJECT RECORDS

What this schedule covers. This schedule designates appropriate retention of NASA program and project records produced through compliance with NPR 7120.5 or other authorized project management practices. It provides for permanent retention of substantive and historically significant records, and temporary retention of other records until the Agency no longer needs them. The terms "program" and "project" are defined in the current versions of NPD 7120.4 and NPR 7120.5. This schedule applies to all activities performed as part of programs/projects whether designated "tasks," "work packages," or other terminology.

What this schedule does not cover. Records generated by some supporting activities such as procurement, financial management, property and supplies, personnel administration, and legal and patent issues are covered by other NASA records schedules. Questions about which schedules apply to specific records should be addressed to the Center Records Manager.

Office(s) of Record. As used in this schedule, Office of Record refers to that office holding the official record copy of a specific record when multiple copies are used across offices, projects and centers. Most typically this is the office that creates and maintains the record, although specific offices may be designated, when appropriate, to hold official records generated across the program or project. In some cases there may be more than one official copy of a record when it has separate independent functions in different organizations.

Media. This schedule covers records in any and all media, in any and all formats, and produced using any and all tools. Records may include, but are not limited to, word processing documents, presentation materials, statistical data, test data, spreadsheets, databases, e-mail, e-messages, photographic materials, audio materials, film and video materials, drawings, and artwork.

How to use the Notes. Notes 1, 2, and 3 list documents perceived to have permanent, long-term temporary, or short-term temporary value, respectively. These lists are intended to be inclusive rather than exclusive. They are to assist in selection, not to preempt selection. Program/project staff must exercise case-by-case judgment to ensure that permanent records are identified and retained while other records are destroyed appropriately. In cases of doubt about what item to apply, users of this schedule should contact their center records manager.

Read it !!!

Important point #1

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Important point #1

Purpose of schedule:

- **Permanent** retention of substantive and historically significant records

- **Temporary** retention of other records until NASA no longer needs them

Important point #2

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Important point #2

Records of procurement, finances, property, supplies, personnel, legal and patent issues, and administrative stuff are covered by other NASA records schedules.

Important point #3

PROGRAM AND PROJECT RECORDS

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Important point #3

Assumes that each program/ project identifies an "Office of Record" where official record copies are maintained.

(It really does matter. Stay tuned.)

Important point #4

PROGRAM AND PROJECT RECORDS

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Important point #4

Schedule is media-neutral.
Covers records in
- any and all media
- any and all formats
- produced using any and all tools

Important point #5

PROGRAM AND PROJECT RECORDS

What this schedule covers. This schedule designates appropriate retention of NASA program and project records produced through compliance with NPR 7120.5 or other authorized project management practices. It provides for permanent retention of substantive and historically significant records, and temporary retention of other records until the Agency no longer needs them. The terms "program" and "project" are defined in the current versions of NPD 7120.4 and NPR 7120.5. This schedule applies to all activities performed as part of programs/projects whether designated "tasks," "work packages," or other terminology.

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Important point #5

Notes **1**, **2**, and **3** list examples of documents having **permanent**, **long-term temporary**, or **short-term temporary** value.

Lists are *inclusive* not *exclusive*.

The most important point of all

PROGRAM AND PROJECT RECORDS

What this schedule covers. This schedule designates appropriate retention of NASA program and project records produced through compliance with NPR 7120.5 or other authorized project management practices. It provides for permanent retention of substantive and historically significant records, and temporary retention of other records until the Agency no longer needs them. The terms "program" and "project" are defined in the current versions of NPD 7120.4 and NPR 7120.5. This schedule applies to all activities performed as part of programs/projects whether designated "tasks," "work packages," or other terminology.

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The most important point of all

It takes **judgment** to ensure that permanent records are identified and retained, and other records destroyed appropriately.

In other words: *the schedule is a tool, but it will not do your thinking for you.*

Chapter 2
Simplicity Wins!

185 items in NASA records schedules 7 and 8 have been replaced with just **13**!

Philosophy of old schedule

Divided records by **document title** and/or **creating office**

Many series shared **same retention periods**

permanent	35 items
20 years	15 items
10 years	8 items
5 years	21 items
3 years or less	35 items

"Big bucket" philosophy

New schedule aggregates similar material according to **purpose** or **function**

Instead of one schedule item for each piece of the puzzle, all pieces with permanent retention go into one "bucket"

That's how 185 items can become 13

Simplicity of format

- "If/then" table
  - rather than narrative paragraphs
- Each item is a simple whole number
  - rather than number/letter combination
- Examples
  - 8/12B becomes 8/102
  - 8/25D1(a)ii becomes 8/103

How to read an if/then table

Read across then down, then across, then down, etc.

Records are covered by Item 103!

Item	If the records pertain to	and consist of	which are	then the records are
101	programs/projects relating to both manned and unmanned space flight, aerospace technology research, scientific... one or more of the following criteria: are "first of a kind," establish precedents, produce major contributions to scientific or engineering knowledge, integrate proven technology into new products, or of widespread media attention or Congressional scrutiny.	records essential for understanding the history of a program/project from inception to ... defined by the stages in the ... project's life. Note 1 cont ... f eight stages and potential records that might be created in each. **Yes / No**	held at office of record	**permanent.** Cut off records at close of program/project or in 3-year blocks for long term programs/projects. Transfer to records center storage. Transfer to National Archives 7 years after cutoff. Special media records will be transferred in accordance with 36 CFR § 1228.270 (electronic records), 36 CFR § 1228.268 (audiovisual records), 36 CFR § 1228.268 (cartographic and architectural records), and/or current transfer instructions specific to individual formats.
102			all other copies	**temporary.** Destroy/delete when no longer needed.
103	records not required for documenting the history of the program/project as described in item 1, but which have operational v ... gency throughout th ... program/proj ... ontains examples that might be created in each program/project stage. **Yes**		held at office of record **Yes**	**temporary.** Destroy/delete between 5 and 30 years after program/project termination. See Note 4.
104			all other **No**	**temporary.** Destroy/delete when no longer needed.

By the way…

- … new schedule does not replace *all* of Schedules 7 and 8
- Items not superseded keep current item numbers
- New items are numbered
  - **Schedule 8, items 101-113**

Chapter 3

How Can They Tell?

The most important choice is the first choice

First Cut...

...divides all programs/projects into two groups based on historical value of program/project itself.

- **Items 101-106:** we **will need** to know about these forever ("selected")

- **Items 107-110:** we **will not need** to know about these forever ("non-selected")

Choosing up

Covered by Items 101-106

"Programs/projects relating to both manned and unmanned space flight, aerospace technology research, and basic or applied scientific research *and* meeting one or more of the following criteria: are 'first of a kind,' establish precedents, produce major contributions to scientific or engineering knowledge, integrate proven technology into new products, or are/have been subject of widespread media attention or Congressional scrutiny."

…which leaves...

Covered by Items 107-110

Those programs/projects that *don't* meet criteria for Items 101-106.

In other words…everything else!

Chapter 4
Saving the Right Stuff

Sifting wheat from chaff in "selected" programs/projects

Second cut...

...divides records of selected programs/ projects into three groups based on NASA operational need.

- **Item 101: material needed forever**
- **Item 103: material needed a long time but not forever**
- **Item 105: material needed a short time only**
- **Items 102, 104, 106: extra copies of records in 101, 103, 105**

Item 101: Permanent

- **Records essential for understanding the history of a program/project from inception to completion defined by the stages in program/project's life.**
- **Retention period: Permanent.**
- **Potential candidates listed in Note 1.**

Item 103: Long-term temporary

- **Records not required to document program/project history (item 101), but having operational value to NASA throughout program/project life.**
- **Retention period: 5 to 30 years after close of program/project.**
- **Potential candidates listed in Note 2.**

A burning question

Q: **What's a good retention period with this "5 to 30 year" band?**

A: **Base choice on operational needs. How long after program/project is done will anyone need to use records? There is no one-size-fits-all answer.**

Hint: Stay awake for Chapter 8.

Another burning question

Q: **How can I be sure about disposal date for item 103 if program/project end date is not yet known?**

A: **Well…you can't. Calculate retention based on best guess. Be flexible if date changes.***

*Relax. You have a five-year window of opportunity to correct any errors!

Item 105: Short-term temporary

- **Routine records not essential for on-going program/project operations**

- **Retention period: 2 to 15 years.**

- **Potential candidates listed in Note 3.**

Chapter 5
Long Enough...
but not too Long

Retain "non-selected" programs/projects' records based on operational need.

Second cut...

...divides "non-selected" programs/projects' records into two groups based on NASA operational need.

- Item 107: material needed a **long time**
- Item 109: material needed a **short time** only
- Items 108, 110: extra copies of records in 107 and 109

Item 107: Long-term temporary

- **Records having operational value to NASA throughout program/project life.**

- **Retention period: 5 to 30 years after close of program/project.**

- **Potential candidate lists: Notes 1 & 2.**

Item 109: Short-term temporary

- **Routine records not essential for on-going program/project operations**

- **Retention period: 2 to 15 years.**

- **Potential candidates listed in Note 3.**

Chapter 6
Everything Else

How to keep it from overwhelming you

Extra copies

- **Non-record** because a record copy exists in the "office of record" (schedule introduction paragraph 3)
- **Probably includes copies on your p.c.**
- **Covered by item 102, 104, 106, 108, or 110**
- *You be the judge*: **destroy** when no longer needed!

Office of Record

Why designated "Office of Record" matters

- **Official copy** is retained in Office of Record
- **30 other copies on various p.c.s can be destroyed when no longer needed**
- **Ditto stacks of photocopies made for distribution**

Bottom of the heap

- **Item 111**
  Hard copies used to create electronic or microfilm imaged record copies
- **Items 112-113**
  Electronic copies used to generate record copies
- **Very short retention**: details in schedule

Chapter 7
Help When You Need It

Using the Notes

Note 1

Lists types of records produced in 8 "phases" of program/project life cycle, plus records created at multiple stages.

Inclusive, not exclusive! **You may have others not listed.**

The 8 phases

- Formulation
- Approval
- Design development
- Manufacture, fabrication and assembly
- Pre-launch system integration and verification
- Implementation and operations
- Observational data
- Evaluation and termination

  You may call them by different names.

Note 2

- **The same 8 phases and "multiple-stage" section**

- **but different records: those likely needed for life of program/project.**

Note 3

- **Records created at any stage in program/project life...**

- **...and needed for just a short time.**

Note 4

- **A reminder just in case it applies to you...**

- **"Retention period for records relating to environmental protection may be lengthened by applicable state legislation."**

Chapter 8
Get on the "Band" Wagon

Retention bands are cool

Advantages of bands

Flexibility
  Choose retention to cover
  operational need

Choice
  Save longer if you wish
  Destroy sooner if you wish

The trade-off

With every freedom comes responsibility

Freedom to choose.
Responsibility to choose *wisely*.

If panic sets in

Ask help from
- Center records manager
- Center historian
- Legal

Still nervous?

[*Don't tell anyone, but...*] **You can always abdicate and select the longest retention.**

Chapter 9
A Happy Ending

S o when the NASA managers, scien-tists, engineers, researchers, systems operators, secretaries, and everyone involved with programs and projects saw that the new records schedule would help them do their jobs well, *they decided to use it*.

P eace and good records management were established in the kingdom of NASA...

...and they all lived happily ever after!

APPENDIX F - Examples, Tools and Guidance

Wildland Fire Incident Response, a function shared by Department of Agriculture's Forest Service (USFS), and Department of Interior's Bureau of Land Management (BLM), National Park Service (NPS), and Fish and Wildlife Service (FWS)

The full array of tools, guidance, training and instructions developed by the Interagency Wildland Fire Records team are located online at the National Interagency Fire Center web page: http://www.nifc.gov/policies/records/index.html

Examples included here are:

Web page - National Interagency Fire Center

Memorandum - BLM Instruction on Incident Records

Memorandum - USFS Moratorium on Destruction of Certain Records Related to Wildland Fires

Memorandum - National Wildfire Coordinating Group Incident Records Schedule

Memorandum - USFS Management of Legacy Fire Records

Poster - "Protect Your Legacy: Organize and Preserve Your Fire Records"

Instructions - Incident Management Team (IMT) and Fire Incident Records Management

Organizing Section Documentation Samples - Wildland Fire Incident Records

Retention Guidance - Wildland Fire Incident Records

Box List Templates - Wildland Fire Incident Records

Supply Ordering Guide - Wildland Fire Incident Records Kit

Guidance - Management of Legacy Fire Records

Survey Instrument – Legacy Fire Package

Project Plan - Legacy Fire Records
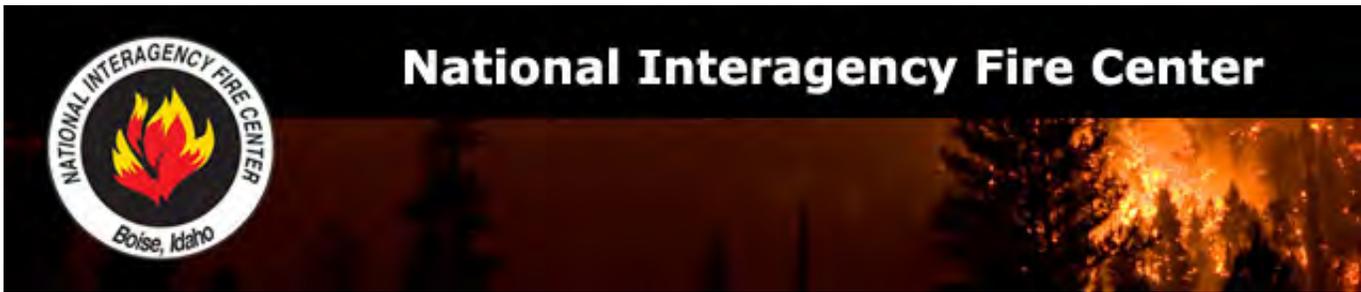
Incident Management Records

NIFC Home

Aviation

Communications/Radios

Fire Information

NICC

Policies

Prevention/Education

Safety

Training/Qualifications

Fire Programs

The fire records management project is a joint effort between the agencies that provide fire suppression on federal lands and the National Archives and Records Administration (NARA). The effort is designed to provide consistent guidance to all of the agencies for the creation, maintenance and disposition of incident records.

This page offers background explanatory information, on-line training, and a tool kit for:

- Assisting incident management teams in the use of uniform filing methods for controlling and accessing their records and data.
- Assisting fire and records management staff to get their fire records under control.

You may also contact agency representatives for additional information

- FS Regional Records Managers (revised in 2008)

Agency Policy and Guidance

What is Incident Records Management?

Forest Service Interim Directive

Forest Service Letter: Suspending Destruction of Records

Forest Service Letter on Managing Legacy Records, 2006 NARA

Letter: Revised Procedures for Servicing DOI Records BLM Instruction

Memorandum (IM) on Incident Records - April 2006

NEW NWCG Memorandum on Incident Records Schedule 6-5-08

Retention Guidance (revised 4-21-08)

Managing Legacy Records

Box Inventory List (Revised 7-6-06)

DestructDate 4.0: Calculates the disposition date of records

Fire Records Poster

Legacy Fire Package Survey Instrument

Management of Legacy Fire Records
(7-6-06)

Project Plan for Legacy Records
(5-10-07)

Shipping Permanent Records Form
(SF 135)

Shipping Permanent Records Example

Shipping Temporary Records Form
(SF 135)
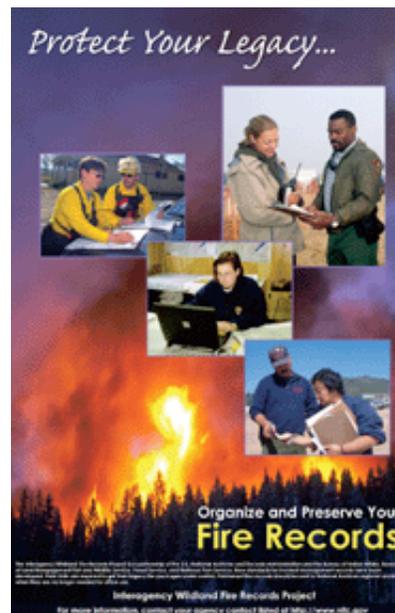
Shipping Temporary Records Example

Tools for Incident Management Teams

NEW IMT Tools Feedback

NEW IMT Box Indexes 03-29-08

NEW Graphic Examples for file Organization 3-28-08 (in PDF format)

Incident Management Team Instructions, REVISED 03-29-08

Incident Management Team Labels (1/5 cut), 03-27-08

Incident Management Team Labels (1/3 cut), REVISED 03-27-08

Incident Records Kit, REVISED 03-28-08

NEW Final Documentation Index, 04-21-08

UNITED STATES DEPARTMENT OF INTERIOR
BUREAU OF LAND MANAGEMENT
Office of Fire and Aviation
3833 S. Development Avenue
Boise, Idaho 83705-5354

April 14, 2006

In Reply Refer to:
9210 (FA-220) I

EMS Transmission 04/14/06
Instruction Memorandum No. FA IM 2006-024
Expires: 09/30/07

To: All BLM NIFC Employees

From: Director, Office of Fire and Aviation

Subject: Instruction Memorandum (IM) on Incident Records

Program Areas: Fire and Records Management

Purpose: This IM provides information and guidance to all BLM NIFC employees
regarding the new records schedules for the creation, maintenance, and disposition of
incident records.

Policy/Action: A joint project between the U.S. National Archives and Records
Administration (NARA) and several Federal Fire Agencies resulted in the development
of requirements and tools to improve the management of wildland fire/incident records.
The new records schedules require that the host units ensure the permanent preservation
of certain incident management records in an Incident History File which will be
transferred to NARA after a twenty-year retention period. All other incident records will
be destroyed after a seven year retention period. (Note: Agencies should not destroy any
records until verification has been made regarding active records freezes and/or
moritoriums.) Lists that identify permanent and temporary documents/records can be
found at: http://www.nifc.gov/records/index.html.

Additionally, a new uniform filing scheme for structuring incident records packages is
now available. Host units and responding incident management teams will adopt this
structure to make access to records transparent to successor teams, as well as to incident
units in the post-incident business process. The uniform filing scheme for paper can be
found at: http://www.nifc.gov/records/index.html.

The follow represents additional information that can be found at:
http://www.nifc.gov/records.html:

- Forms and Examples
- Box Inventory Lists
- Tools for Incident Management Teams
- Incident Management Team Filing Directory
- Incident Management Team Instructions
- Incident Management Team Labels
- Incident Records Kit
- Retention Guidance

The Fire Records Project Team is in the process of developing an on-line training program which will be posted to the web page in the near future.

All incident records created prior to the date of this IM must comply with the new guidance by 30 September 2007.

Utilization and implementation of the Fire Records Project Team's efforts will reduce the volumes of fire/incident documentation stored in insecure environments such as warehouses, attics, engine bays, etc., and will increase an Agency's ability to respond to litigation, scientific, Congressional and public requests.

Time Frame: This IM is effective upon signature.

Background: On January 12, 2005, the U.S. National Archives and Records Administration (NARA) approved new records schedules for incident records in the Bureau of Land Management, Fish and Wildlife Service, Forest Service, and the National Park Service. Changes to the records schedules were necessary because former Agency records retention rules led to the destruction of some wildland fire/incident records. Many of these records have long-term value for planning and implementation of fire management actions.

Budget Impact: A minor impact to workload may be incurred if wildland fire/incident records have not been properly maintained prior to the issuance of this IM.

Manual/Handbook Sections Affected: None.

Coordination: This IM has been coordinated with the BLM Bureau Records Administrator (WO-500), Fire Operations (FA-300), Budget and Evaluation (FA-107), Human Resource Management (FA-202), and Support Services (FA-200).

Contacts: Bridgit Downing, Records Administrator, 208-387-5483 or Pat Lewis, Records Manager, 208-387-5431.

Signed by: Authenticated by:
Timothy M. Murphy   Pat Lewis
Acting Director   Supervisory Mgmt. Asst.

Distribution:
Fire Program Advisor, FA-101, WO
BLM ADs
OF&A Management Team
BC Library
Hallie Locklear (FA-107)
Michelle Ryerson (FA-300)

United States Department of Agriculture	Forest Service	Washington Office	14th & Independence SW P.O. Box 96090 Washington, DC 20090-6090

File Code: 6230/5100 **Date:** August 12, 2003
Route To:

Subject: Moratorium on Destruction of Certain Records Related to Wildland Fires

To: Regional Foresters, Station Directors, Area Director, IITF Director, and FPL Director

This letter serves as notification to Forest Service offices of a moratorium on the destruction of certain fire-related records. Fire records documenting the history of individual fires, found in file code 5180, and commonly referred to as fire packages, should not be destroyed until further notice.

In November 2002, the Archivist of the United States changed the mandatory disposition of fire package records from temporary to permanent. In order to identify specifically those records that will eventually be transferred to National Archives and Records Administration (NARA) and pursuant to a Memorandum of Understanding between the Forest Service and the National Archives and Records Administration (NARA), the reevaluation of retention requirements for all fire packages has begun. In order to review and inventory the records as part of this reevaluation, site visits are in progress. It is important that these fire records be retained until the reevaluation is completed and the records having long-term or permanent value are identified. Once this has been completed, you will be notified of the appropriate actions to take regarding these records.

The target date for completion for this project is September 2004. Thus, over the course of the next year, Forest Service fire and records personnel and NARA representatives will continue working to:

      a) provide further guidance on maintenance of fire records for the current fire season and beyond;

      b) provide information on how to inventory, sort, and maintain permanent fire records;

      c) provide strategies for managing and storing inactive Forest Service fire records, and transferring eligible permanent fire records to NARA.

If you have questions, please contact Rita Morgan at (703) 605-4910.

/S/ THOMAS J. MILLS

THOMAS J. MILLS
Deputy Chief for Business Operations

NATIONAL WILDFIRE COORDINATING GROUP

National Interagency Fire Center
3833 S. Development Avenue
Boise, Idaho 83705

Memorandum

Reference: NWCG#005-2008

To: Fire Management

From: NWCG Chair

Date: June 5, 2008

Subject: Incident Records Schedule

This memo is to provide direction and policy regarding the management of records that are created on incidents. Attached is the Incident Records Schedule that describes records created on an incident and outlines the mandatory retention guidelines as prescribed by the National Archives and Records Administration. All incident management agencies and units will follow the direction defined in this Records Schedule. Agencies or bureaus that are enjoined in court-ordered records retention guidelines must abide by that order as long as it remains in effect.

Templates and filing guides are available online at:
http://www.nifc.gov/policies/records/index.html

Address any inquiries regarding incident records management to your agency or bureau Records Administrator.

Attachment

cc: NWCG Executive Board

File Code: 5180-1
Route To: (6230)

Date: March 28, 2006

Subject: Management of Legacy Fire Records

To: Regional Foresters, Station Directors, Area Director, IITF Director, and WO Staff

As part of the on-going program to capture and use the extensive historical information we have gathered over several decades fighting fires, we need each Region to consolidate those legacy records generated in the course of fire fighting and ship them to the appropriate Federal Records Center facility.

The Fire Records Project is part of a joint effort between the National Archives and Records Administration (NARA), the Forest Service, the National Incident Coordinating Committee, National Park Service, Bureau of Land Management, Fish and Wildlife Service, Bureau of Indian Affairs, and other Federal agencies. This project involves coordination between fire organizations and the records management staffs at every level of the agencies involved.

Consolidating these valuable legacy records has several advantages to the Forest Service as well as other agencies who share responsibility in protecting natural resources. Consolidation will ensure that all users have access to this data. It will increase our operational efficiency by saving staff time and financial resources by using a consistent approach to handling legacy fire records. It will allow analysts to research and compile data on the history of fires and provide valuable data for increasing situational awareness of potential fire behavior in terrain/vegetation with previously recorded fire history. This project has the potential for assisting current ongoing work such as Land Management Plan revisions, Fire Program analysis, LANDFIRE data collection, and fire management planning.

Storing the legacy records at facilities with the capability of protecting documents from deterioration and damage will ensure this valuable resource is available when needed. This project will also ensure that the Forest Service is in compliance with Federal laws dealing with records management.

Full support is expected from all unit managers. The Forest Service National Records Officer is coordinating the legacy fire records project. The goal is to have all legacy fire records stored at Federal Records Centers by September 30, 2008.

Thank you for your cooperation. If you have questions, you may contact David Pearce, the National Records Officer, at (703) 605-4927.

/s/ T.C. Harbour   */s/ Rita Morgan (for)*
TOM HARBOUR   THELMA J. STRONG
Director, Fire and Aviation Management   Director, Office of Regulatory and
                                                                    Management Services

cc: pdl wo ops orms records mgrs

Protect Your Legacy...

Organize and Preserve Your
Fire Records

The Interagency Wildland Fire Records Project is a partnership of the U.S. National Archives and Records Administration and the Bureau of Indian Affairs, Bureau of Land Mangagement Fish and Wildlife Service, Forest Service, and National Park Service. New standards for incident managament records have been developed. Field Units are required to get their legacy fire packages under control. Permanent fire records should be sent to National Archives regional archives when they are no longer needed for office use.

Interagency Wildland Fire Records Project

For more information, contact your agency contact listed at http://www.nifc.gov

Organizing Documents in the Files

➤ File documents into standard (non-hanging) file folders and label those file folders.

➤ Place labeled file folders inside labeled hanging files in plastic bins.

➤ Stackable plastic storage bins that accommodate hanging files with a hinged, interlocking lid are recommended for incident records. These can be reused for other incidents.

➤ **DO NOT** leave any empty pre-labeled folders in the documentation package when turned over to the host unit. Remove file folders if not used!

➤ The host unit will be transferring the records to the Federal Records Center (FRC) when they have no further business need for them. This process makes it easier to repackage the records for transfer..

Final Documentation Index/Box Indexes

➤ Two types of indexes are available to IMTs on the NIFC website.

➤ The *Final Documentation Index* can be used both to organize records on the incident and as the final index. When a document is present, it can be checked off. The box # identifies the location of a record when there are multiple boxes. Place it in the front of Box #1.

➤ The *Box Indexes* are intended to be photocopied on card stock. They slip inside the front of each plastic bin and the contents of each box can be easily seen. A *Box Index* has been created for the IHF and for each functional section. Contents can be checked off when present, or the indexes can be easily edited in Word format as needed..

Records Kit Contents

➤ Refer to the "Records Kit Contents" list available at the NIFC website to assemble a local pre-incident records kit or to acquire the needed supplies through Procurement on an incident.

➤ Not all incidents will use all the file labels. Suggest pre-printing labels and use as needed.

Financial and Confidential Records

➤ Except for the *Final Cost Summary*, don't mix Finance Section records with other records. Host unit will transfer separately to FRC under General Records Schedule (GRS6/1a) when there is no further business need.

➤ Sensitive/confidential records covered by privacy acts (including the Health Insurance Portability and Accountability Act – HIPAA) **must be protected**. SS#s, TIN#s, personal information, phone numbers/addresses cannot be left in the documentation package. Hand off to the appropriate agency official at the host unit.

➤ Original *Patient Evaluation (PE)* forms should be given to employee with instructions that it be given to their employer. The PE retained by the Medical Unit MUST be protected for duration of incident. Post-Incident, additional copies of PE should be destroyed by Medical Unit or the incident agency. **Do NOT leave in incident documentation package**.

IMT Instructions for Fire Incident Records Management

Federal interagency policy for organizing and maintaining fire incident records has changed. IMTs can find complete information and a variety of tools to manage fire incident records at the NIFC website http://www.nifc.gov/policies/records/index.html. A summary of requirements, guidance and tools follows:

Retention Guidance

Found under *"Agency Policy and Guidance"* on the NIFC website*,* this one-page reference sheet shows what documents have Permanent value and will be transferred to the National Archives. Permanent documents are compiled at the close of the incident into the "*Incident History File"* (IHF).

Incident History File

➢ IMTs will create an *Incident History File* (IHF) to present to the host unit at close of incident.

➢ Planning Section gathers the *Permanent* records from the various sections/units where generated to assemble the IHF (see *Retention Guidance* to identify IHF contents).

➢ Permanent maps should be folded flat and boxed with the rest of the IHF.

➢ File the IHF at the front of the first box of records or in a separate box(s) labeled as "*Permanent Records, Incident History File*" when documentation is handed off to the host unit.

➢ In event of multiple team transitions, incident records should remain at the ICP so the IHF can be assembled by the final IMT and handed off to the host unit at incident closeout.

Graphic Examples for File Organization

➢ IMTs can download **Graphic Examples for File Organization** from the IMT tools section on NIFC website.

➢ Use these graphic examples (along with the **Final Documentation Index**) as a guide for setting up documentation to minimize problems for incoming teams and to simplify post-incident use.

➢ Distribute graphics or the *Final Documentation Index* to each section to help organize records.

IMT Filing Labels

➢ Filing labels that mirror the *Final Documentation Index* can be downloaded at the NIFC website.

➢ Labels are color coded by functional unit. They can also be printed in black and white.

➢ **Permanent** documents are marked "PERM IHF" for identification when the IHF is assembled.

➢ **Sensitive/confidential** documents are marked "CONFIDENTIAL" and should be handed off to the appropriate unit official at close of incident.

➢ Labels are available in two sizes. The 1/5 cut label fits the 1 ¾" plastic label tabs that come with most hanging file folders. The 1/3 cut label fits non-hanging file folders and uses a 3 ½" plastic label tab. Specifications are shown below for ordering stock (other brands compatible with Avery will also work):

  o 1/5 cut – Avery #5167/8167 mailing labels ½" x 1 ¾", 80/page in 4 columns
  o 1/3 cut – Avery # 8366 filing labels 11/16" x 3 7/16", 30/page in 2 columns

➢ Tips for use and formatting of labels:
  • Download from NIFC site to computer file BEFORE printing labels.
  • Practice first on plain paper. Hold up to light against label stock. If misaligned, try adjusting top and left margins by going to **File, Page Setup, Margins.**
  • Inkjet ink runs if labels get wet. If wet conditions are anticipated, print out sets of labels on a laser printer pre-incident.

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Wildland Fire Incident Records

Organizing Fire Incident Documentation (sample)

ICS-213/ICS-214

Finance Section

Operations Section

Logistics Section

Planning Section

Command & Admin Staff

Incident History File
(Permanent Records)

Index
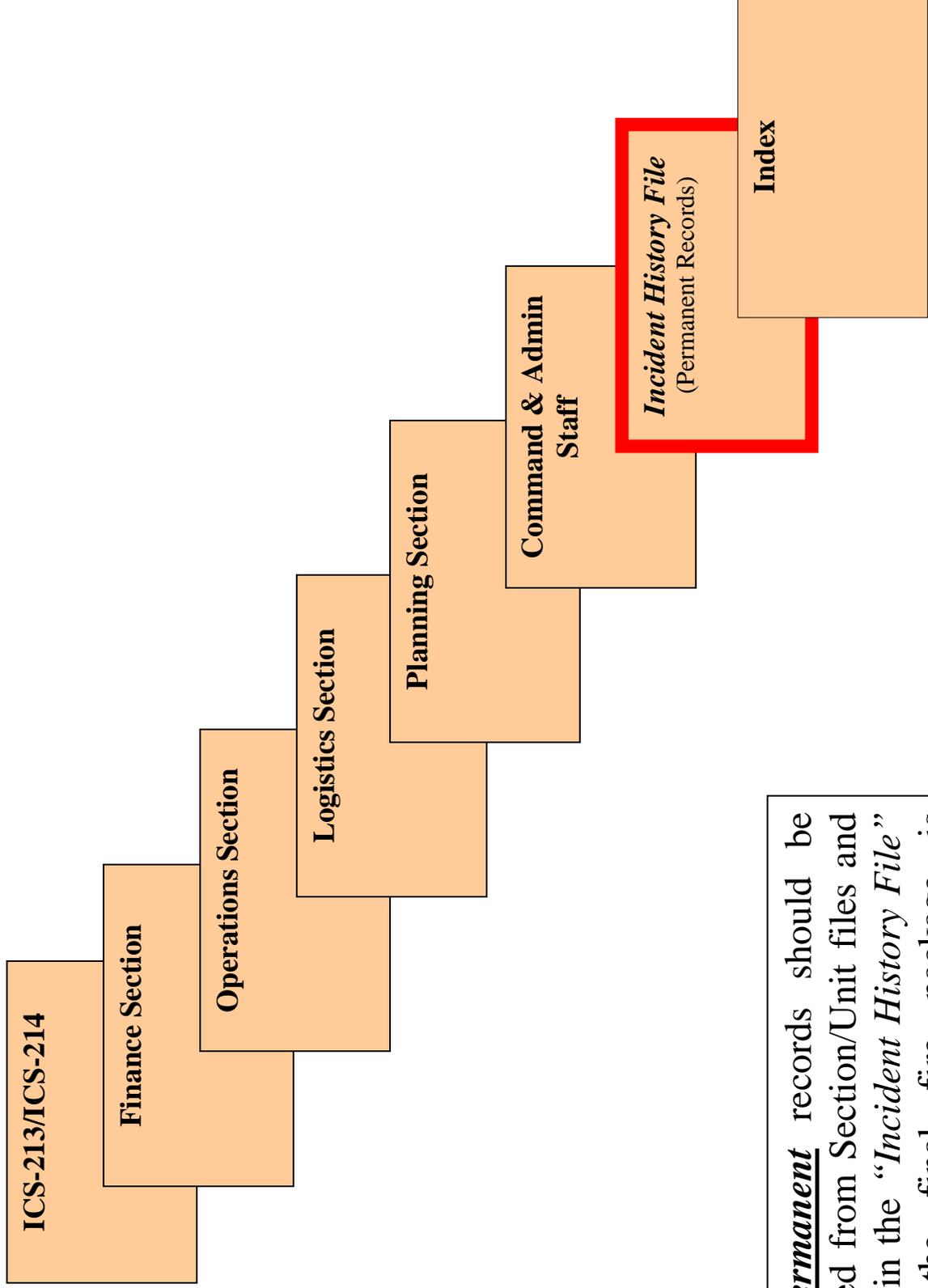
All **_Permanent_** records should be migrated from Section/Unit files and placed in the "*Incident History File*" when the final fire package is assembled by the IMT.

Wildland Fire Incident Records
Organizing the IHF (sample)
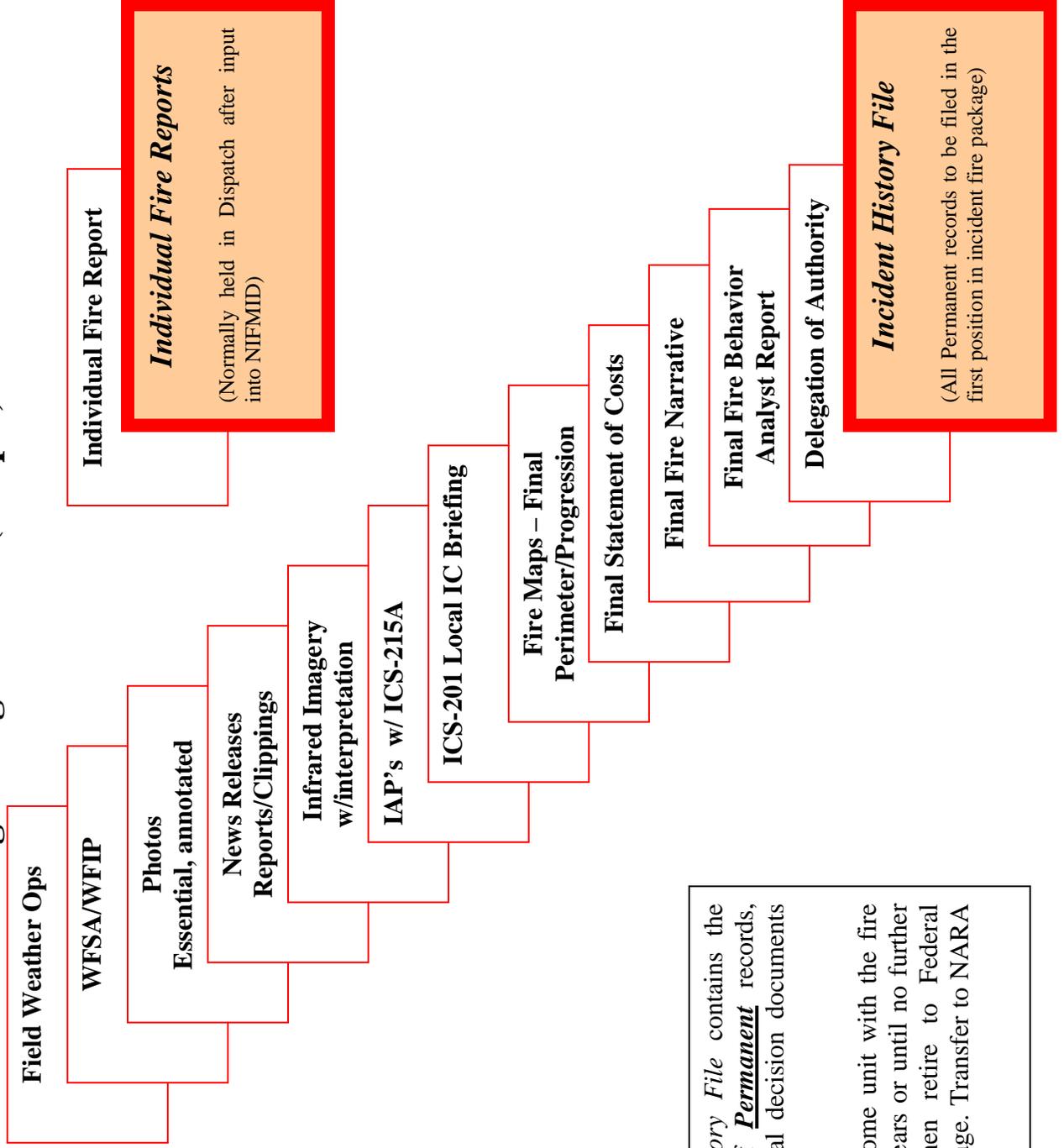
V 03-28-08

- Field Weather Ops
- WFSA/WFIP
- Photos Essential, annotated
- News Releases Reports/Clippings
- Infrared Imagery w/interpretation
- IAP's w/ ICS-215A
- ICS-201 Local IC Briefing
- Fire Maps – Final Perimeter/Progression
- Final Statement of Costs
- Final Fire Narrative
- Final Fire Behavior Analyst Report
- Delegation of Authority

Individual Fire Report

Individual Fire Reports

(Normally held in Dispatch after input into NIFMID)

Incident History File

(All Permanent records to be filed in the first position in incident fire package)

The fire *Incident History File* contains the official paper copy of **_Permanent_** records, including signed original decision documents and reports.

Keep this file on the home unit with the fire package for three (3) years or until no further business need, and then retire to Federal Records Center for storage. Transfer to NARA after twenty (20) years.

Wildland Fire Incident Records
Organizing Section Documentation
(sample)

ICS-214 Unit Logs

ICS-213 General Messages

DEPUTY IC

ICS 214 Unit Logs

ICS-213 General Messages

Wildland Fire Implementation Plan
WFIP   **PERM**

Wildland Fire Situation Analysis
WFSA   **PERM**

Team Transition/Debriefing/
Performance Evaluations

Special Interest/Political Inquiries

Significant Events Narrative/Notes

Incident Complexity Analysis

Disciplinary/Sensitive Items
                        CONF

Agency Administrator Briefing

ICS-201 Local IC Briefing –IA
                        PERM

Delegation of Authority   **PERM**

INCIDENT COMMANDER

INCIDENT COMMAND

Wildland Fire Incident Records
Organizing Section Documentation
(sample)

Significant Events

Contact Log/Conversation Rec.

LIAISON/AGENCY REPS

Significant Events   CONF

Critical Incident Stress Narrative
                            CONF

HUMAN RESOURCES

Human Resource Files may all be confidential and not retained in DOC package. Pertinent info. handed off to appropriate official at host unit..

Safety Inspections

Line Safety Checklist

JHA's/Fire Shelter Training

Hazard Abatement/Safety Strategy

Accident Investigation Reports

SAFETY OFFICER

Web Pages

Thank You Letters

Public Meetings/Briefings

Press Releases/Documents   **PERM**

Newspaper Clippings   **PERM**

Media Log/Key Contacts

Daily Fire Updates

Closure Orders

Community Relations/
Public Service Announcements

FIRE INFORMATION OFFICER

ICS-214 Unit Logs (by unit/date)

ICS-213 Gen Message (by unit/date)

COMMAND STAFF

COMMAND STAFF

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Wildland Fire Incident Records
Organizing Section Documentation
(sample)

Work/Rest Justification/Worksheet

Personnel Time Records

I-9's & Tax Forms   **

Excessive Shift Justification

TIME UNIT

Pricing Issues   **

Operating Plan

Invoice/Issue Reports   *

Equipment Time/Records/Claims

EERA copies

Contract Performance Evaluation *

Contract Letter to CO

Commissary-Contract/costs/claims *

Buying Team Info   **

PROCUREMENT UNIT

Weekly Cost Summary

ISUITE Daily Tracking

Cost Share- Apportion/Agreements

Aircraft Costs –Rotary/Fixed Wing

COST UNIT

Property Damage Claims/Logs   *

Comp for Injury – Comp Logs   *

COMP/CLAIMS UNIT

ICS-214 Unit Logs (by unit/date)

ICS-213 Gen Message (by unit/date)

Final Statement of Costs - **PERM**

FINANCE SECTION

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* May be held at Admin Unit only

** May either be held at Admin Unit or in incident Finance records

FINANCE SECTION

Per IBMA, Chapter 40, most of the Finance Section Documentation is maintained as a separate package. Coordinate with DOCL for required Incident History File input.

Wildland Fire Incident Records
Organizing Section Documentation (sample)

Patient Evaluations

Medical Issue Log

Medical Injury/Treatment Log

ICS-206 Accident Action Plan

MEDICAL UNIT

Confidential medical information. Give original to employee to be retained by their employer. MEDL retain copy for duration of incident only. <u>Must be protected</u>. Post-incident, additional copies of PE forms should be destroyed by MEDL or incident agency.

Repair Records

ICS-218 Supp/Trans Veh Inventory

ICS-212 Demob Veh Safety Inspec

Hazard Mitigation–Noxweed/Hazmat

Dispatch Logs – Buses, PU's, etc

GROUND SUPPORT

Health Inspections

Caterer – Orders/Waybills

Caterer – Menus/Meal Logs

FOOD UNIT

Health Inspections

FACILITIES UNIT

Repeater Site Documentation

ICS-205 Communication Log

Communications Inventory

COMMUNICATIONS UNIT

ICS-214 Unit Logs (by unit/date)

ICS-213 Gen Message (by unit/date)

LOGISTICS SECTION

Waybills

Supply Issue Logs

Requisitions (buying, cache)

Resource Orders/Records

Inventories

SUPPLY UNIT

Security Plan

Patrol Logs

SECURITY UNIT

LOGISTICS SECTION

Wildland Fire Incident Records
Organizing Section Documentation
(sample)

Misc. Air Ops

Safecoms

Radio Logs

Helibase Briefing/Debriefing Checklist

Flight Use Reports (FS127/OES23

Cost Summary–Cumulative Air Ops

Cargo/Passenger Manifests

Aircraft Authorizations

AIR OPS BRANCH DIRECTOR

Other operational Air Ops documentation generally kept at ATB or Helibase.

Resource Advisor Info

Evacuation/Structure Protection Plan

Demob Glidepath

Contingency Plan(s) Strategy/Tactics

ICS-214 Unit Logs (by unit/date)

ICS-213 Gen Messages (by unit/date)

OPERATIONS SECTION

OPERATIONS SECTION

Wildland Fire Incident Records
Organizing Section Documentation (sample)

GIS Data (CD w/ metadata)

Maps - Miscellaneous

Infrared Imagery w/interp. PERM

Final Fire Progression Map PERM

Final Fire Perimeter Map PERM

ICS-209 Incident Status Summary

SITUATION UNIT

R&R Plan/Info

Demob Plan

ICS-221 Demob Checkout with ICS-219 T-Cards – (optional)

DEMOBILIZATION UNIT

Resource Orders

Resource Tracking Glidepath 14-day

IAP's original/corrected   PERM w/ICS-215A Safety Analysis/ ICS-215 Planning Worksheets

ICS-211 Check-in Lists

RESOURCE UNIT

ICS-214 Unit Logs (by unit/date)

ICS-213 Gen Message (by unit/date)

Suppression Rehab Plan

Resource Considerations/Plans

Mop up/Turn Back Standards

ICS-203 Organization

Fire Narrative – Final   PERM

Damage Assessment/Fire Effects

DOCL File Plan Index

PLANNING SECTION

Equipment Orders

INFORMATION TECH.

Performance Evaluations

Incident Training Narrative

TRAINING SPECIALIST

Weather Data/Spot Forecasts

Final FB Analyst Report   PERM

FB Daily Predictions

FIRE BEHAVIOR ANALYST

PLANNING SECTION

Wildland Fire Incident Records
Retention Guidance

Permanent Fire Incident Records to National Archives after 20 years (Keep on unit 3 yrs or when no further business need, whichever is less)

Delegation of Authority tied to WFSA
Final Fire Behavior Analyst Report
Final Fire Narrative Report (or equivalent)
Final Statement of Costs
Fire Map - Final Perimeter
Fire Map – Final Fire Progression
ICS 201- Local IC Briefing
ICS 215/215A Planning Worksheets/Safety Analysis *
Incident Action Plans (IAP)
Individual Fire Report FS 5100-29, DI-1202
Infrared Imagery with Interpretation
Newspaper Clippings
Press Releases/Daily Media Updates
Photos essential to long-term documentation **
Wildland Fire Implementation Plan (WFIP)
Wildland Fire Situation Analysis (WFSA)
Weather Observations (raw field data) ***

OTHER RECORDS (see footnote)
*Often filed with IAPs
**All photos essential for understanding the history of the fire from inception to completion should be labeled and placed with the permanent records and maintained as such. All duplicate and non-essential photos are treated as temporary.

Non Records
Copies of records filed elsewhere. Destroy when no longer needed

Includes **COPIES** of records such as:

Commissary Issue Reports
Contracts (including EERAs)
Fire Qualifications (Red Cards)
Firefighter / CrewTime Reports
Passenger Cargo Manifest
Resource Orders (ROSS/MIRPS)
T-Cards used in Ground Support/Supply

Temporary Fire Incident Management Records 7 Year Retention (Keep on unit 3 yrs or when no further business need, whichever is less)

SAMPLE OF TEMPORARY DOCUMENTS TYPICALLY FOUND IN INCIDENT RECORDS. NOT A COMPLETE LISTING

ICS 209 - Incident Status Summary Report
ICS 211 - Check-In List
ICS 212 - Safety Inspection Checklist (& OPF 296)
ICS 213 - General Message Forms
ICS 214 - Unit Log
ICS 218 - Support/Trans Vehicle Inventory
ICS 221 - Demobilization Checkout (and ICS 219 T- cards)
Agency Administrator Briefing
Air Operations/Helibase Records
Cost Apportionment Agreement / Daily Cost Estimates
Cache Issue Return Report/Requisitions (OF 315)
Demob Plan
Evacuation Plans
Equipment Shift Tickets
Extended Hours Justification
Fire Behavior Message/Weather Forecast (not part of IAP)
Firing Operations Plans
Heritage/Cultural Resources Notification to IMT
Incident Communications Logs
Incident Complexity Analysis
Incident Critical Stress Management Documentation
Incident Transition Plan/ Takeover / IMT Evaluation
Mechanical Equipment Use in Wilderness Request
Medical Logs
Performance Evaluations
Photos, Non-Essential
R&R information
Resource Advisor Information (air quality, wildlife, etc)
Resource Orders (originals)
Safety Officer Reports/Accident Logs
Security Reports
Structure Protection Plans
Thank You Letters to Public/Community Partners
Training Specialist Narrative/Documentation
Waybills
Weather Data ***

***Weather data entered/maintained electronically are temporary and scheduled separately. Raw weather obs (from field belt weather kits) should be placed with the permanent records.

Footnote: Other permanent records may include those relating to joint operations and/or mutual aid; copies of incident reports/analyses prepared by entities other than the IMT or host unit; records documenting significant interactions with affected communities; and selected reports/notes pertaining to high-level management/security issues not incorporated into the Fire Narrative. **In addition**, GIS electronic files have not yet been scheduled and must be protected by the home unit until retention procedures have been determined.

INCIDENT HISTORY FILE

BOX _____ of _____

INCIDENT NAME: _____

INCIDENT NUMBER: _____

DATE(S): _____

LOCATION: _____

INCIDENT COMMANDER(S): _____

PLANNING SECTION CHIEF(S): _____

The fire *Incident History File* contains the official paper copy of ___**Permanent**___ records, including signed original decision documents and reports.

Keep this file on the home unit with the fire package for three (3) years or until no further business need, and then retire to Federal Records Center for storage. Transfer ownership to NARA after twenty (20) years.

Permanent Fire Incident Records Transfer to National Archives

- ☐ Delegation of Authority
- ☐ Final Fire Behavior Analyst Report
- ☐ Final Fire Narrative
- ☐ Final Statement of Costs
- ☐ Fire Map – Final Perimeter
- ☐ Fire Map – Final Progression
- ☐ ICS-201 Local IC Briefing
- ☐ Individual Fire Report (FS 5100-29/DI-1202)
- ☐ Infrared Imagery w/interpretation
- ☐ Newspaper Clippings
- ☐ Press Releases/Daily Media Updates
- ☐ Photos, Essential annotated
- ☐ WFSA (or WFIP)
- ☐ Field Weather Obs (not already in WIMS)
- ☐ IAPs w/ICS-215/215A (Dates:_____)
- ☐
- ☐

TEMPORARY RECORDS

BOX _____ of _____

(Keep on unit 3 years or until no further business need; then retire to Federal Records Center for storage)

INCIDENT NAME: _____ **INCIDENT NUMBER:** _____

DATE(S): _____ **LOCATION:** _____

INCIDENT COMMANDER(S): _____

PLANNING SECTION CHIEF(S): _____

Temporary Fire Records
COMMAND & ADMIN
INCIDENT COMMANDER
☐ Disciplinary/Sensitive Items
☐ Agency Administrator Briefing/Packet
☐ Incident Complexity Analysis
☐ Significant Events Narrative/Notes
☐ Team Transition/Debriefing/Performance Evaluations
☐ Special interest / Political Inquiries
HUMAN RESOURCES
☐ Critical Incident Stress Management Narrative
☐ Significant Events Narrative / Notes
INFORMATION
☐ Summary / Communication Strategy
☐ Closure Orders
☐ Community Relations / PSAs
☐ Media Log/ Key Contacts/ Traplines
☐ Special Events / Tours VIP Visits
☐ Public Meeting Agendas /Notes/ Briefings
☐ Thank You Letters
☐ Web Pages / Videos / Photos
LIAISON / AGENCY REPS
☐ Contact Log / Conversation Record
☐ Significant Events
SAFETY OFFICER
☐ Accident Investigation Reports
☐ Hazard Abatement / Safety Strategy
☐ JHAs / fire Shelter Training
☐ Safety Inspections / OSHA Reports
☐ Occupational Safety
☐ Safenets
☐
☐
☐
☐
☐
☐

TEMPORARY RECORDS

BOX _____ of _____

(Keep on unit 3 years or until no further business need; then retire to Federal Records Center for storage)

INCIDENT NAME: _____   INCIDENT NUMBER: _____

DATE(S): _____   LOCATION: _____

INCIDENT COMMANDER(S): _____

PLANNING SECTION CHIEF(S): _____

Temporary Fire Records **PLANNING SECTION**	
☐ Turn-Back Standards	**DEMOB UNIT**
☐ Damage Assessment / Fire Effects	☐ Demob Plan
RESOURCE ADVISOR	☐ R & R Plan / Information
☐ Resource Advisor Info/Resource Plans	☐ Final ISUITE / ROSS Database Printout
☐ Suppression Rehab Plan	☐ Performance Evaluations
RESOURCE UNIT	☐ ICS – 221 Overhead Demob
☐ ICS-207 Organization Chart	☐ ICS – 221 Crews Demob
☐ ICS- 211 Check-in List	☐ ICS – 221 Equip Demob
☐ Resource Tracking Glide Path	☐ ICS – 221 Aircraft Demob
SITUATION UNIT	☐ ICS – 221 Emergency Demob
☐ ICS-209 Incident Status Summary	**TRAINING SPECIALIST**
☐ Final Suppression Rehab Map	☐ Incident Training Narrative / Final Report
☐ Final Agency Jurisdiction Map (optionally permanent)	☐ Individual Records **A-L**
☐ Maps (miscellaneous)	☐ Individual Records **M-Z**
FIRE BEHAVIOR ANALYST / IMET	**COMPUTER TECH**
☐ Fire Behavior Predictions – Long Range	☐ Equipment / Property Records
☐ FS Pro / RAVAR	☐
☐ Weather / Spot Forecasts	☐

TEMPORARY RECORDS

BOX _____ of _____

(Keep on unit 3 years or until no further business need; then retire to Federal Records Center for storage)

INCIDENT NAME: _____   INCIDENT NUMBER: _____

DATE(S): _____   LOCATION: _____

INCIDENT COMMANDER(S): _____

PLANNING SECTION CHIEF(S): _____

Temporary Fire Records **LOGISTICS SECTION**	
COMMUNICATION UNIT	☐ Security Plan
☐ Communications Equipment Inventory	**MEDICAL UNIT**
☐ Repeater Site Documentation	☐ Accident Action Plan
☐ Radio Traffic Logs / Telephone Logs	☐ Medical Injury / Treatment Log
FACILITIES UNIT	☐ Medical Issue Log
☐ Health Inspections	**SUPPLY UNIT**
FOOD UNIT	☐ Accountable Property Summary to Cache
☐ Caterer – Menu / Meal Logs	☐ Daily Inventory
☐ Caterer – Orders / Waybills	☐ Resource Orders - Overhead
GROUND SUPPORT UNIT	☐ Resource Orders - CREWS
☐ Vehicle Dispatch Logs	☐ Resource Orders - EQUIP
☐ Hazard Mitigation – Noxweeds / Hazmat	☐ Resource Orders - SUPP
☐ OF-296 Equipment Safety Pre-Inspection/Release	☐ Incident Replacement Requisitions & AD-112s
☐ ICS-212 Demob Vehicle Safety Inspection	☐ Saw Part Orders
☐ ICS-218 Support/Trans Vehicle Inventory	☐ Supply Issue Logs
☐ Equipment Repair Orders	☐ Way Bills
SECURITY UNIT	☐
☐ Patrol Logs	☐

TEMPORARY RECORDS

BOX _____ of _____

(Keep on unit 3 years or until no further business need; then retire to Federal Records Center for storage)

INCIDENT NAME: _____   INCIDENT NUMBER: _____

DATE(S): _____   LOCATION: _____

INCIDENT COMMANDER(S): _____

PLANNING SECTION CHIEF(S): _____

Temporary Fire Records OPERATIONS SECTION	
OPERATIONS	☐ Load Calculations / Manifests
☐ Operations Summary	☐ Mission Request / Flight Following Log
☐ Contingency Plan(s)	☐ Retardant Drop Tracking
☐ Demob Glide Path	☐ Safecoms
☐ Evacuation Plan	☐ Temporary Flight Restrictions
☐ Strategy / Tactics	☐ Misc Helibase Information
☐ Structure Protection Plan	☐
☐	☐
☐	☐
AIR OPERATIONS	☐
☐ Air Operations Summary	☐
☐ Aircraft Authorizations	☐
☐ Daily Cost Summary – cumulative Air Ops	☐
☐ Flight Use Reports (FS 127 / OES 23)	☐
☐ Helicopter Briefing / Debriefing Checklist	☐
☐ Helicopter Info Sheet	☐
☐ Helicopter Crew Info Sheet	☐
☐ Helicopter Demob Info Sheet	☐

FISCAL RECORDS

BOX _____ of _____

Keep on unit until no further business need, then retire to Federal Records Center under GRS6-1A

(Retention is 6 years, 3 months)

INCIDENT NAME: _____   INCIDENT NUMBER: _____

DATE(S): _____   LOCATION: _____

INCIDENT COMMANDER(S): _____

PLANNING SECTION CHIEF(S): _____

Temporary Fire Records FINANCE SECTION	PROCUREMENT UNIT
☐ Land Use Agreements	☐ Buying Team Information
COMP / CLAIMS UNIT	☐ Commissary
☐ Comp for Injury Docs / Logs	☐ Contract Letter to CO
☐ Property Damage Claims / Logs	☐ Contract Performance Evaluations
COST UNIT	☐ EERA Copies (NON-RECORD)
☐ Aircraft cost – Rotary / Fixed Wing	☐ Equipment Time / Records / Claims
☐ Cost Share Apportionment / Agreements	☐ Invoices / Issue Reports
☐ ISUITE Daily Cost Tracking Printout	☐ Operating Plan
☐ Weekly Cost Summary	☐ Pricing Issues
☐ Cost Management	☐
TIME UNIT	☐
☐ Excessive Shift Justification	☐
☐ I-9s and Tax Forms	☐
☐ Personnel Time Records	☐
☐ Work / Rest Justification / Worksheet	☐
☐	☐
☐	☐

TEMPORARY RECORDS

BOX _____ of _____

(Keep on unit 3 years or until no further business need; then retire to Federal Records Center for storage)

INCIDENT NAME: _____   INCIDENT NUMBER: _____

DATE(S): _____   LOCATION: _____

INCIDENT COMMANDER(S): _____

PLANNING SECTION CHIEF(S): _____

Temporary Fire Records ICS-213 GENERAL MESSAGES	Temporary Fire Records ICS-214 UNIT LOGS
☐ COMMAND STAFF	☐ COMMAND STAFF
☐ FINANCE SECTION	☐ FINANCE SECTION
☐ OPERATIONS SECTION	☐ OPERATIONS SECTION
☐ LOGISTICS SECTION	☐ LOGISTICS SECTION
☐ PLANNING SECTION	☐ PLANNING SECTION

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Incident Records Kit
Supply Ordering Guide

Use this guide to assemble pre-incident Documentation Unit supplies or to acquire the needed supplies on an incident. It is based on typical setup needs for an IMT.

- ➢ **Retention Guidance**, laminated (NIFC website)

- ➢ **IMT Instructions** (NIFC website)

- ➢ **Graphic Examples for File Organization** single sided/laminated (NIFC website)
  1 Set - Plans
  1 Set – For distribution to functional Sections/Units (optional, or use Final Documentation Index)

- ➢ **Final Documentation Index** (NIFC website)
  1 Set – Plans
  Other copies for distribution to sections as filing aide (optional, or use Graphic Examples)

- ➢ **IMT File Labels**, 1/5 cut or 1/3 cut size (NIFC website)
  1/5 cut - Avery # 5167/# 8167 mailing labels ½” x 1 ¾”, 80/page in 4 columns
  1/3 cut - Avery # 8366 filing labels 11/16” x 3 7/16”, 30/page in 2 columns
  Other store brands of compatible labels may be used but may not align as well.

  2 Sets – Plans (1 set for labeling hanging files, 1 set for labeling inner manila file folders)
  2 Sets – Distribute additional sets to functional Sections/Units for labeling their files
  IMT order estimate for 1/5 cut labels = 5 sheets labels/set
  IMT order estimate for 1/3 cut labels = 10 sheets labels/set

- ➢ **Manila File Folders**, 100/bx (IMT order estimate = 3 boxes (300 folders)
  1/5 cut – GSA # 7530-00-281-5941
  1/3 cut – GSA # 7530-00-282-2507
  Straight cut – GSA # 7530-00-291-0098

- ➢ **Standard Hanging File Folders**, 25/bx (IMT order estimate=12 boxes (300 folders)
  Green - GSA# 7530-01-364-9498
  Blue - GSA# 7530-01-364-9499
  Red - GSA# 7530-01-364-9500
  Yellow - GSA# 7530-01-364-9501
  *Note: Standard hanging file folders come with 2” plastic tabs to accommodate 1/5 cut labels. If using larger, 1/3 cut labels order 3 ½” plastic tabs for hanging files.

- ➢ **1/3 Cut Hanging File Folder Tabs**, 3 ½” (needed only when using larger labels)
  GSA # 7510-00-053-9662, 25/pkg

- ➢ **Plastic Bins –** (estimate initially 6-12)
  Bins should have hinged, interlocking lid, stackable and capable of accommodating standard hanging files. Built in molded rails are preferable to metal rails. Quantity needed dependant upon incident. Recycle when possible.

- ✓ Potential Source: Akro-Mils #66486FILB, 21.5” x 15” x 12.5”. Available at such sources as Office Depot, Staples, etc or directly from manufacturer with Govt. discount. http://www.akro-mils.com/home_office/coupon_display.asp?id=150

Guidance for Management of Legacy
Fire Records

Topic

New federal policy, effective in January 2005, identifies and protects fire incident records that document the history and management of wildland fire on Federal lands. It identifies fire incident records as having either temporary administrative value (retained for 7 years) or permanent historical value (retained in perpetuity). Fire incident records of historical value document the challenges faced by fire managers, their response, actions and the results.

Background

The Interagency Wildland Fire Records Project is a joint effort between the National Archives and Records Administration (NARA) and federal fire agencies to protect fire records. One part of the project aims to protect older (legacy) fire records from deterioration and damage so valuable fire information is available to managers in the future.

To comply with agency and federal policy, units must identify fire records that are no longer needed for current business purposes. Permanent records less than 20 years old must be organized, inventoried and transferred to the closest regional Federal Records Center (FRC). Permanent records 20 years old or older should be transferred to the closest regional National Archives branch. Transfer to NARA facilities solves several problems:

- Many records are now stored in substandard conditions and/or are in danger of loss or unauthorized destruction.
- Fire records are often disorganized, stored in more than one location, and the information they contain is generally inaccessible to managers.
- Many records have outlived their immediate business purposes; agencies need to reclaim valuable storage space in offices and warehouses.

Direction and Guidance

Information, memorandums about agency policy and guidance, and tools for managing backlogs of legacy fire records are available on the NIFC Website at www.nifc.gov . Forest Service (FS) units are directed to have all legacy fire records stored at regional FRCs or transferred to regional National Archives (permanent records 20 or more years old) by September 30, 2008. Bureau of Land Management (BLM) issued Instruction Memorandum No. FA IM 2006-024 on April 14, 2006. Follow the *Incident Records Management* link at http://www.nifc.gov/records/index.html   to view these memorandums and tools.

Staff records training and guidance in fire records management is available from agency records managers and NARA.

- To contact your agency records officer, follow the previous link (red text top of page) or go to http://www.archives.gov/records-mgmt/agency/officers-lists.html
- To contact NARA Records Management Program staff at your closest regional NARA facility go to http://www.archives.gov/locations/

Steps for Processing Legacy Fire Records

1. Make an Initial Assessment:

The first step is a survey of the unit's backlog of legacy fire records so a staged plan for transfer can be developed. Use the survey form at www.nifc.gov/records/index.html (see *Managing Legacy Records*) to help you gather initial information about legacy fire records:

- What volume of old fire records does the unit have?
- Where are they located?
- What years are represented in the backlog?
- What is the condition of the records?
- How protected are they from environmental hazards and pests?

2. Determine Needs:

Familiarize staff with new fire records retention policies and why the preservation of this historical information is essential to the mission of the agency. Determine staffing and training needs for performing the actual work.

- Those who have been trained previously in the management of legacy fire records can train/supervise subordinate employees in local/regional units to do this work.
- Legacy records "strike teams" can travel to neighboring units to assist with large projects.
- Agencies may wish to use contractors (provided they have been trained in the new fire records policies and are supervised by agency staff) to staff these strike teams.
- Display the "*Protect Your Legacy*" poster (available at www.nifc.gov/records/index.html) where staff will see it.

3. Prioritize the work:

Prioritize the work by beginning with those fire records that are most valuable, at greatest risk, and needing immediate attention. On units with large backlogs of historical fire records, give priority to

- Records documenting fires where significant lessons were learned, natural resources affected, and/or private property destroyed.
- Records at risk because they are stored in unsafe or otherwise inappropriate locations.[1]
- Records most fragile due to age (pre-1980) or poor condition.
- Records that contain important information that can't be obtained from any other source.
- Records stored on units with a serious lack of space.
- Records stored on units where a move is planned within the next 36 months.
- Records on units with the largest concentration of historical records and/or from individual incidents with the largest quantity of documentation.

4. Develop a Project Plan:

Use the ***Project Plan for Legacy Records*** available at www.nifc.gov/records/index.html to plan and implement the processing of legacy fire records. FS units should have a project plan in place by February 2007 to meet the September 2008 deadline.

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[1] Includes locations subject to daily or seasonal fluctuations in temperature or relative humidity, pest infestations, or disasters such as floods, hurricanes or fires. For prioritization, records housed in steel filing cabinets in a locked facility with sprinklers are safer than records in cardboard boxes stored in a wooden warehouse with no security or fire suppression systems.

2

Legacy Fire Package Survey Instrument

Your Cooperation In Participating In This Survey Is Greatly Appreciated!

This survey requests information about records created during wildfire incidents that are stored by BLM Management Units, National Forest SOs and RDs, National Park units, and BIA offices. The records are generally referred to as "Fire Packages" and may date back several decades. Often, such records have been boxed up and stored in offices, warehouse, engine bays or other storage areas and include fire reports, maps and other incident records of a tactical, logistical, or financial nature.

The resource management agencies of the Department of the Interior and the USDA Forest Service are interested in preserving important data contained in these records. They are working with the National Archives and Records Administration (NARA) to determine how to ensure the records' preservation for research, fire planning and to more efficiently implement requirements of the National Fire Plan.

Please take the time to complete this survey and return it to your agency records manager. It can be the first step in organizing your legacy (historic) fire records and identifying where records needing attention are stored. If you have questions, please contact your agency field office records manager.

Agency _____Forest, Park, or Unit_____ District/Field Office_____

1. Are fire package records being stored on your Forest, Park, or Unit?

   ____ Yes   ____ No

If you answered "Yes", please proceed below.

2. Who on your Unit is responsible for maintaining these records? Please provide the name, title, and contact information of the responsible staff member(s).

Fire Management Staff   **Administrative Staff**

Name_____   Name _____

Title_____   Title _____

Phone Number _____   Phone Number _____

E-mail address _____   E-mail address _____

3. Where are these records currently being stored? (Please check all that apply.)

___ Forest/Park/Unit HQ Office. Room Number of Office: _____

___ Ranger District Office(s) : _____

___ Other Federal agency office (please specify): _____

___ Non-Federal Storage Facility (please specify):_____

___ Federal Records Center

___ Other (Please specify) _____

4. What are the years of the oldest fire package records that you have stored on your unit?

_____

5. How are incident fire records stored on your unit; i.e., in Federal Records Center cartons, file boxes, filing cabinets, lateral files, etc? Please note also whether the records are shelved.

_____

_____

Please estimate the total physical volume of records stored on your unit:

_____

6. Please provide a general description of your unit's holdings of fire package records. What sorts of documents are contained in your fire packages? (Please list specific document types if you can. Use the document check list, Appendix 1, if you wish to do so).

_____

_____

_____

_____

_____

_____

7. The questions below relate to the condition of the physical facility or facilities in which your fire package records are stored.

Please describe the facility or facilities in which your fire package records are stored; i.e., warehouse, storage shed, barn, attic, office building, etc?

_____

_____

Are the records currently protected from theft or vandalism?

_____ Yes   _____No

Are the records currently protected from wide fluctuations in temperature and humidity?

_____ Yes   _____No

Are the records generally safe from flooding or other environmental hazards?

_____ Yes   _____No

Are the records currently protected by a facility fire suppression system?

_____Yes   _____No

8. Does your unit maintain electronic records relating to specific wildfire management incidents? If so, please note the types of records and the systems on which they are stored. Please note also whether these records are currently accessible.

_____

_____

_____

_____

9. Are the fire package records stored on your unit frequently referenced by unit staff or other agency personnel? If so, how are they used, and how often?

_____

_____

_____

Person completing this form, if different from that given in Question #2:

Name:_____

Phone Number:_____

E-mail Address:_____

Appendix 1. Legacy Fire Records Document Check List

Name of Incident: _____ Date of Incident: _____

Host Unit: _____

		Document Name
✓		**1. Permanent Records – Do Not Destroy – Transfer to National Archives**
		Delegation of authority tied to WFSA
		Final Fire Behavior Analyst Report
		Final Fire Narrative Report (or equivalent)
		Final Statement of Costs
		Fire Maps (final perimeter, final progression)
		ICS 201 – Local IC Briefing
		Incident Action Plans (IAPs) w IAP Safety Analysis (ICS 215A)
		Individual Fire Report (FS 5100-29, DI-1202)
		Infrared Imagery with Interpretation
		News Releases/Reports/Clippings
		Photos essential to long-term documentation (labeled)
		Wildland Fire Implementation Plan
		Wildland Fire Situation Analysis
✓		**2. Temporary Records (7 Year Retention)**
		ICS 209 - Incident status Summary Report
		ICS 211 - Check-in List
		ICS 212 - Safety Inspection checklist (& OPF 296)
		ICS 213 - General Message Forms
		ICS 214 - Unit Log
		ICS 215 - Planning Worksheet
		ICS 218 - Support/Trans Vehicle Inventory
		ICS 219 - T-Cards
		ICS 221 - Demobilization Checkout
		Agency Administrator Briefing
		Air Operations/Helibase Records
		Cost Apportionment Agreement/Daily Cost Estimates
		Cache Issue Return Report/Requisitions (OF 315)
		Demob Plan
		Evacuation Plans
		Extended House Justification
		Fire Behavior Message/Weather Forecasts
		Firing Operations Plans
		Heritage/Cultural Resources Notification to IMT
		Incident Communication Logs
		Incident Complexity Analysis
		Incident Critical Stress Management Documentation
		Incident Transition Plan/Takeover/IMT Evaluation
		Mechanical Equipment Use in Wilderness Request
		Medical Logs
		Photos, Non-Essential
		R&R information
		Resource Advisor Information (air quality, wildlife, etc)
		Resource Orders (originals)
		Safety Officer Reports/Accident Logs
		Structure Protection Plans
		Thank You Letters to Public/Community Partners
		Training Specialist Narrative
		Waybills
		Weather data

Project Plan for Legacy Fire Records

Deadline

Done?	Preparation: Three months before project begins.	Start	Finish	Responsible Person	Notes
	Familiarize yourself with project background			FMO, AO and Records Manager	NIFC website, Incident Records Management, at http://www.nifc.gov/records/index.html
	Obtain Management Support			FMO, AO or Records Mgr	Emphasize policy, legacy directive, value of managing fire records.
	a. Management sends memo requesting cooperation of fire records custodians at the districts, field offices, or other management units.			Management	It is important that those in the field know that management expects them to locate older fire records and deliver those records to the project work location as scheduled.
	b. Management assigns a project lead to supervise the effort			Management	The project lead should know something about the history of fires on that forest, field office, or unit. If not, the project lead should work with fire management on this project.
	c. Post *"Protect Your Legacy"* poster so that it is prominently displayed.			Project Lead	available at www.nifc.gov/records/index.html
	Make an initial assessment of your fire records				Are historic fire records stored on the unit? What volume is there? Where are they located? What years do they represent? How protected are they from environmental hazards/pests? What is their condition?
	a. Locate FY2005 Legacy Fire Records Survey for your unit			Project Lead	A USDA FS-wide survey of Legacy Fire Records was done in FY2005; contact your Regional Records Manager. Use the survey results as the first step in the assessment. If your unit did not participate in the survey, complete it and report the results to your regional records management officer. The survey instrument can be found at the NIFC website.
	b. Inventory the legacy fire records			Project Lead with Records Liaison	The inventory should describe specific locations of older fire records at each district, field office, or other management unit. Include the fire name and year in the inventory, and the number of boxes of records for each fire. Include fire maps in this survey.

1

Done?	Task	Start	Finish	Responsible Person	Notes
	Make a decision about where to consolidate the records for this project.			Project Lead	The project work doesn't have to be at the forest supervisor's office, but that often works best. If, for some reason, a single site won't work, plan to repeat the project work at sites holding fire records.
	Set Dates for Clean out			Project Lead	A team of two people can expect to process one or two large fires in one day, or three to four smaller fires. The majority of projects will take no more than one week's work by two to four people.
	a. Set a date and delivery site for delivery of fire records stored at other sites			Project Lead	Be sure that those in the district or field can truck the fire records to a central work site. If, for some reason, this cannot be done, plan to repeat the project work at sites holding fire records.
	b. Select Team members			Project Lead	Suggested team composition: project lead, records liaison, fire program person, others willing to be trained on the spot.
	c. Obtain space for a work area and reserve the room			Project Lead & AO	You will need a well-lighted room (preferably with climate control) with lots of tables for sorting records and re-boxing for shipment. However, work can be done in warehouses and storage sheds as well, if that is the easiest way.
Done?	**Budgeting - Tasks to Complete**	**Start**	**Finish**	**Responsible Person**	**Notes**
	Prepare a budget			Project Lead	In most cases, the only expenses will be for routine office supplies and Federal Record Center cartons. (Estimate two FRC cartons for every five cartons of unprocessed records.) In some cases, where people are traveling to one site to work on the project, this may involve travel costs. If you are using contractors, estimate these costs.
	Order Supplies			AO	Order FRC boxes from GSA. See: http://www.archives.gov/frc/transfer-and-reference.html
Done?	**Preparation: one week before project begins - Tasks to Complete**	**Start**	**Finish**	**Responsible Person**	**Notes**
	Make sure work area is still available			Project Lead & AO	

2

Task	Role	Notes
Arrange to have boxes moved to work area; organize boxes	AO	Bring records to work site; find a secure place to stack them until project begins
a. Once boxes have arrived, stack up the cartons and maps according to fire name and date	Project Lead Records Liaison	If this work can be done ahead of time, it will save significant time on the work day, and enable the work to go more quickly. Clarify with the FMO fire names and dates.
b. Make a chronological list of all the fires, and include start and end dates and fire number.	Project Lead Records Liaison	This list will allow you to work in a chronological order, processing the oldest fires first. This will help in drafting the SF135s when the processing work is done.
Gather materials that will be needed	Project Lead/ Records Manager	
a. Make paper copies of the forms you'll need.	Records Manager/Project Lead	"Box lists" to inventory permanent and temporary records (see NIFC website), SF 135s. You may also wish to print out the one-page "retention guidance" sheet that lists temporary, permanent, and non-records.
b. Review and print out available project tools on the NIFC and NARA websites	Project Lead	http://www.nifc.gov/records/index.html AND http://www.archives.gov
c. Gather supplies that will be needed	Team	Markers, pencils, file folders (flat and expanding), large envelopes and FRC boxes.
d. Make arrangements for disposing of older temporary records and for shredding confidential information.	Project Lead	Sometimes this can be done on site. Label empty boxes: "shredable" or "discardable". Otherwise, use your agency's contract disposal or shredding services.
Review Federal Records Center website instructions for shipping of records.	Project Lead	http://www.archives.gov/frc/pdf/booklet.pdf
Obtain guidance from AO or FMO on how to handle temporary records that have passed their seven-year retention period.	Project Lead	Management can discard temporary fire records that are seven years old. However, those older records that are still in active investigation or litigation should not be discarded. The AO or FMO will be familiar with these issues. Temporary records that contain personal information (SS#s, medical information about individuals) may not be discarded. This information should be shredded or given to appropriate AO.

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Done?	Day of Project - Tasks to Complete	Start	Finish	Responsible Person	Notes
	Have a briefing meeting on how to proceed			Project Lead & Team	Have a fire staff familiar with fire records available to help with identifying and dating fires. Two people will generally work on one fire together. Go through all of the boxes and fire maps before beginning, to see what you have. Don't begin a new fire until all work is done on that fire. Work on the oldest fires first.
	Project lead talks about the tools that are available to have on hand copies of tools,			Team Members	Fire records inventory box lists, SF 115 copy designating fire records as permanent or temporary, one-page fire records retention guidance sheet, copies of SF 135s,
	Pull together all of the boxes for a single fire. A team works on one fire at a time.			Team Members	Ideally, this was done earlier in the week. If you have questions about fire names and dates, talk with the FMO. The FMO may help identify individual fires that were managed as a larger "complex," which often happens when individual fires have the potential to burn together (as with many small lightning fires). Though the fire package will be known by the name of the complex, records of the individual fires that make up the complex should be segregated, to the extent possible, within the fire package. Sometimes this is not possible, however. In that case, treat the complex as a single fire but record all of the separate fire names at the top of the inventory box list.
	a. Locate permanent records from a single fire and set aside			Team Members	The permanent records are priority. As you work your way through the boxes, pull out these records, place them in one place, and check them off on the inventory sheet for Permanent Fire Records. You can expect permanent records to make up only about 5 to 10% of the volume of fire records. Permanent records from several fires can be boxed together and transferred to the FRC together. However, label file folders with each fire name old, and place them vertically to serve as dividers.
	b. Sort Permanent Incident Maps (Final Fire Perimeter, Final Fire Progression)			Team Members	These are the only two maps with Permanent retention. Obtain the best paper copy for the permanent file. Carefully fold and box them or leave them in a well-marked tube. If a separate tube is used, make a separate contents list for map tubes or boxes of maps, for future FRC reference. Place the maps near the stack of permanent records for each fire. The FRC prefer that rolled incident maps be transferred under a separate accession number, using a separate SF 135.
	c. Sort temporary records from a single fire.			Team Members	Refer to Records Retention Guidance Sheet. Use inventory sheet for Temporary Records to record these. If temporary records have exceeded the retention period and will be destroyed on site, it is still advisable to inventory these records, so that you will know what was destroyed. If items you find are not listed on the inventory sheet (or if a form is called by another name), simply add these items to the blank lines on the inventory sheet.
	d. Sort Temporary Maps			Team Members	These are often sketch maps and multiple copies of things such as travel route maps, hazard maps, etc. that only have temporary value. Keep these maps with the temporary records.

Done?	Day of Project - Tasks to Complete continued	Start	Finish	Responsible Person	Notes
	e. Segregate records that may have confidential or private individual information.			Team Members	Most finance records found in the fire packages are actually non-records, merely copies or printouts that can be disposed of. The original financial records related to the fire reside with Finance, who handles payment issues after the fire ends. However, the non-record copies of Finance records may contain SS#s of firefighters or other staff. Records with SS#s must be shredded. Medical incident reports or treatment reports related to an individual must also be shredded or given to the AO for appropriate disposition.
	Special Instructions:				
	a. Photos			Team Members	Photos have little value unless annotated. At a minimum, in the absence of detailed location information, note the fire name and date on the back of those photos that provide significant information. These will be permanent records. Other photos should be left with the temporary records. Photos on CDs with identification annotations should be printed out by the fire program staff and added to the Permanent file for the incident. CDs cannot be sent with paper records to the FRC or National Archives.
	b. Infrared images and interpretation			Team Members	Infrared images are permanent records. These materials have different formats and appearances over the years. If interpretive materials are found among the fire package (such as maps showing the location of infrared flyovers), it is important to keep the interpretation with the infrared images. Do not discard images found without that interpretation.
	c. CDs and diskettes - These are sometimes backups of GIS data, I-SUITE reports, IAPs, or other data produced electronically on an incident.			Team Members	The CDs may have useful materials that aren't duplicated elsewhere. The temporary solution at this time is to leave these materials with the FMO with guidance to keep these in a secure location and migrate the data every couple of years, so that the contents remain accessible. Federal Records Centers and NARA cannot provide this service for agencies at this time; therefore, CDs or other electronic or magnetic storage media should not be included among materials transferred to the FRC or NARA.
	d. Individual Fire Reports (FS 5100-29/DI 1202)			Project Lead and FMO	These summary forms (usually on a single page) are important permanent records. Often, the Individual Fire Reports are not part of the fire package but are stored separately, year by year, in the FMOs office. Sometimes these forms (and attachments) go back to the earliest years of the 20th century. These forms should be photocopied for local use, and the originals transferred to the regional branch of the National Archives, using SF 258. Go to: http://www.archives.gov/frc/pdf/sf-258.pdf
	Pack boxes, label boxes, prepare SF-135s				See Job Aid Preparing Records for Shipping and NARA's transferring records guidance at http://www.archives.gov/frc/pdf/booklet.pdf

	Responsible Party	Details
a. Use a paper copy of the SF135 to draft the contents in the project work area.	Project Lead and Records Liaison	This draft can be used to create the final SF135, using an online form that you can generate and print out to send to your Federal Records Center: Go to: http://www.archives.gov/frc/forms/sf-135-intro.html
b. Use separate SF135s to transfer permanent records.	Project Lead and Records Liaison	Several fires that occurred together (e.g., in the same decade) can be included on a single transfer. For each box or set of boxes from one decade, simply list each fire name, date, and fire number in the center column. The most recent fire listed on the SF135 determines the disposition date (transfer to the National Archives).
c. Use separate SF135s to transfer temporary records.	Project Lead and Records Liaison	Temporary records are more voluminous. They may take up more than one box of space. Separate fires (from the same year) may be included in the same FRC transfer, if they are specified on the SF 135. For those temporary records that are close to their disposal date (7 years from end of fire), it may be better to keep them on site for later destruction, rather than shipping them to the FRC. In those cases, you will save the trouble and costs of the SF135 paperwork and shipping the records.
d. Attach the inventory box lists to their respective SF135.	Project Lead and Records Liaison	These inventory box lists allow the FRC to respond to your reference requests later, when you need to use these records in the future (use Form OF11 for this). It tells the staff which boxes contain which documents. So if (temporary records) from one fire fill several boxes, be sure to indicate the box number for each type of document inventoried.
e. Finalize SF135 paperwork and send paperwork to FRC	Records Liaison	Working from the draft SF135s, use the online form to generate a clean copy. Obtain the necessary signatures from management. Keep copies of the signed forms and inventory box lists. The paperwork can be mailed or faxed to your Federal Records Center. Do not send boxes to the FRC until they have signed your SF135s and returned them to you. Include a copy of the SF135s in box 1 of each accession shipped. For help with this process, contact your regional FRC: http://www.archives.gov/frc/
f. Use form SF258 to offer very old fire records directly to the National Archives in your region.	Management, Project Lead, and Records Liaison	Permanent fire records that are more than 20 years old should be offered directly to your regional National Archives branch. The form to use is SF258. For questions, contact your regional NARA staff: http://www.archives.gov/locations/regional-archives.html

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