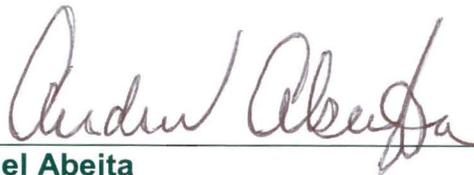


IARMM TRANSMITTAL SHEET

DOCUMENT IDENTIFICATION NUMBER	SUBJECT	ACTION
Chapter 3, Section 3.1	VITAL RECORDS PROGRAM, VITAL RECORDS PLAN	REPLACE
FOR FURTHER INFORMATION		ISSUANCE DATE
Office of Trust Records 505-816-1607		02 / 22 / 2010

This release prescribes policy and procedures for the development and implementation of a Vital Records Plan in accordance with federal and National Archives and Records Administration (NARA) requirements for the Office of the Special Trustee for American Indians (OST) and Indian Affairs, which includes the Office of the Assistant Secretary–Indian Affairs, the Bureau of Indian Affairs (BIA), and the Bureau of Indian Education (BIE).



for

Ethel Abeita
Director, Office of Trust Records

FILING INSTRUCTIONS:

Insert: On the Trust Portal in the Trust Library under Program Offices, OCIO, Office of Trust Records, Manual

Effective Date: February 22, 2010

Chapter: 3.0 Vital Records Program

Section: 3.1 Vital Records Plan

Originating Office: Office of Trust Records

3.1.1 Purpose.

This chapter establishes policies and procedures for the development and implementation of a Vital Records Plan for the Office of the Special Trustee for American Indians (OST) and Indian Affairs in accordance with federal and National Archives and Records Administration (NARA) requirements. Indian Affairs, as used in this manual, refers to the Office of the Assistant Secretary--Indian Affairs, the Bureau of Indian Affairs (BIA), and Bureau of Indian Education.

3.1.2 Authorities.

- A. 44 U.S.C. § 2104(a), 2904(a), 3101, Federal Records Act, Public Law 81-754.
- B. 36 CFR Chapter 12, Subchapter B, Part 1236, Management of Vital Records.
- C. Executive Order 12656, Assignment of Emergency Preparedness Responsibilities (November 18, 1988).
- D. 380 DM 6, Vital Records Program (March 11, 1998).
- E. National Archives and Records Administration (NARA), Instructional Guide Series, "Vital Records and Records Disaster Mitigation and Recovery," 1996.

3.1.3 Policy.

It is the policy of OST and Indian Affairs to establish and implement a Vital Records Program to ensure the continuity of essential agency functions in emergency or disaster situations that may disrupt normal operations.

3.1.4 Responsibilities.

- A. Office of the Special Trustee for American Indians (OST) and Indian Affairs. OST and Indian Affairs have the responsibility and authority for the management of a Vital Records Program by implementing procedures on identifying, inventorying, protecting, cycling, and recovering vital records.
- B. Office of Trust Records (OTR). OTR has the overall responsibility and authority to develop policies, procedures and train OST and Indian Affairs personnel on the implementation of a Vital Records Program.

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3.1.5 Procedures for a Vital Records Plan.

The Vital Records Plan will guide OST and Indian Affairs programs to properly identify and evaluate records on the basis of necessity in carrying out emergency operations and will also ensure emergency operating records vital to the continuity of essential functions will be available at a moment's notice. The following are steps to developing a Vital Records Plan:

A. Designation of Vital Records Liaison. Each OST and Indian Affairs program shall designate from within their program a Vital Records Liaison. The responsibilities include:

1. Assist the program official and/or manager in the identification and inventory of vital records.
2. Make recommendations for and assist in the storage, maintenance, updating, and disposition of vital records.
3. Assist in the transfer of vital records to a suitable off-site location.
4. Coordinate with the Continuity of Operations Plan (COOP) Manager. The Vital Records Liaison may serve as a member of the Records Recovery Response Team and may coordinate the recovery of damaged vital records and records of value.
5. Assist in updates, monitoring, and exercises of the Vital Records Plan. Ensure current Vital Records and the Records Recovery Response Plans are attached to the COOP.

B. Identification and Inventory of Vital Records. Each OST and Indian Affairs program is responsible for the inventory of all records created and maintained by that office.

1. Refer to the current program office Files Maintenance and Disposition Plan (IARM Form 2001) and other program information to identify and determine the vital records within each program office. All unscheduled records and any electronic systems of records not listed on the files plan must be added to the files plan through the designated records contact.
2. Identify vital records that serve an essential function, activity, or require protection for their legal or financial content. Records of value that do not exist elsewhere are designated as vital. Pose the following questions concerning each program record

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created and maintained, including electronic systems of records and unscheduled items. (Refer to appendices for “Vital Records Identification and Inventory Flowchart” for guidance.)

- a. Does the record support a critical program function?
- b. Is it needed for business resumption after an emergency or disaster at a location other than the normal place of business?
- c. Does it protect legal and financial rights and interests of individual Indians, Tribes, Alaska Natives, or the federal government?
- d. Is it irreplaceable (if so, it may be considered a “Record of Value”)?

3. Categorization of Vital Records. There are three categories of vital records: 1) critical, emergency operating records; 2) recovery period, emergency operating records; and 3) legal and financial rights records. Vital records must be categorized to ensure proper protection and storage.

a. Critical period, emergency operating records. These are considered essential and must be available within 24 hours after an emergency or disaster. These shall be located, preferably at the designated COOP and/or alternate site, Emergency Operations Center (EOC), or appropriate off-site location. These types of vital records include, but are not limited to:

- 1) Emergency or Contingency Plans.
- 2) Delegations of authority.
- 3) Staffing assignments and directories.
- 4) Building plans.
- 5) Vital record inventories.
- 6) File plans.
- 7) Orders of succession.
- 8) Emergency contacts.

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- 9) Records Recovery Response Plan.
- 10) Continuity of Operations Plan.
- 11) Equipment inventories (for agency facilities).

b. Recovery period, emergency operating records. These are needed within 3-5 days after an emergency or disaster and must be readily available at a nearby off-site storage location, and may include but are not limited to:

- 1) Case files.
- 2) Program management records.
- 3) Correspondence tracking systems.

c. Legal and financial rights records. These records are not needed immediately following an emergency or disaster; however, they must be stored in a safe off-site location, and may include but are not limited to:

- 1) Personnel records.
- 2) Grants and contracts.
- 3) Payroll and leave records.
- 4) Legal proceedings or decisions.

d. Indicate the appropriate category for each vital record item on the Files Maintenance and Disposition Plan (IARM Form 2001) and the Vital Records Inventory form (IARM Form 3001).

4. Prepare and submit a Vital Records Plan which consists of the Vital Records Inventory Form (IARM Form 3001) and Identification and Implementation Data Form (IARM Form 3002).

a. Submit the completed Vital Records Plan to the appropriate approving official for review and approval. The reviewing and approving official would be the agency, program, and/or the field office manager (Superintendent, Regional Director, Program Manager/Supervisor, or Fiduciary Trust Officer, etc.).

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b. Attach the approved Vital Records Plan to the COOP and copies will be made available at the off-site location and program office.

C. Protection of Vital Records. Each OST and Indian Affairs program shall protect vital records from damage or destruction by properly storing them. When selecting an off-site storage location consider records access and retrieval for paper electronic records, and other types of media.

1. Duplication. Duplication entails making copies of original records to be designated as vital record copies. It is economical to duplicate original medium onto the same type of medium. Microform or scanning vital record copies are other ways to duplicate paper media. A program office may choose to use microform or scan copies at their own expense to duplicate paper media to save storage space.

2. Dispersal. Dispersal involves the distribution of vital record copies to an external off-site facility (i.e. other agencies, etc.) either routinely as part of normal business practice or as specified in the Vital Records Plan.

3. Electronic records. Electronic protection requirement is met if the information needed in the event of an emergency or disaster is available in a copy through back-up tapes or other electronic copies that are routinely created in the course of normal business.

a. Ensure computer equipment is available to access electronic vital records. This may require connectivity and/or hardware and software applications.

b. Other media types created, other than paper or electronic, should be duplicated in the same format as the original and stored off-site.

D. Off-Site Storage. Each OST and Indian Affairs program shall:

1. Coordinate with the COOP manager to ensure vital records are stored in a properly equipped, environmentally-controlled facility that is secured and accessible for records retrieval. The off-site storage facility should not be subjected to the same emergency or disaster. Ensure the off-site location can have critical period records available within 24 hours. Identify and establish alternate work sites in case the primary facility is unusable due to an emergency or disaster. Ensure essential functions will easily be relocated to these emergency operating locations that may be known as hot or cold sites. The use of the site is determined by the nature of the emergency or disaster.

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2. Establish Memorandum of Agreements to utilize another federal agency as an off-site location to store critical and recovery period, emergency operating vital record copies.

3. Contract for commercial and other storage facilities. Programs are responsible for costs associated with protection of vital records (copies) at off-site storage facilities.

4. If an office has “electronic” vital records that fall into one of the three categories: emergency operating critical period, emergency operating recovery period or legal and financial rights records computer equipment should be made available so records can be accessed in the event of an emergency.

5. Ensure additional copies of the software required to access the electronic records are stored off-site and will be available at the emergency operating locations.

6. Connectivity should be considered at the emergency operating locations. Contact and coordinate with OST and/or BIA OCIO for assistance.

7. Establish security controls at off-site facilities for maintaining Privacy Act records with appropriate safeguards to ensure the security and confidentiality of records. Refer to IARMM Chapter 1.2.

8. Preparing for Off-Site Storage. Each OST and Indian Affairs program shall:

a. Label folders using the appropriate records schedule and series or if unscheduled, identify the title of the unscheduled item. Labels may be typed or handwritten and must be legible. Follow suggested filing instruction for each series.

b. Place copies of records in boxes with letter-size folders facing the front of the box and legal-size folders facing the left side of the box.

c. Identify each box of vital record copies stored off-site for tracking purposes (i.e., records series, region, agency, and program office information).

d. Prepare and keep an updated inventory of all folders in each box. Always include the box identification in the inventory. Place a copy of the inventory in the box or in box one if there are numerous boxes.

e. Verify all folders within the boxes before they are sent to off-site storage to ensure that the vital record copies have been properly labeled and organized.

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f. Maintain proper documentation of all vital record inventories within each program office. Attach a copy of each program's vital records inventory to the Vital Records Plan and the COOP.

g. Conduct a final review of all vital records boxes to ensure that all information is clearly written on the front exterior of each box (records series, region, agency, and program office information). If necessary, identify as Privacy Act information. Refer to IARMM Chapter 1.2 for additional Privacy Act guidance.

9. Sending to Off-Site Storage Location. Each OST and Indian Affairs program shall:

a. Send vital record copies to off-site location as arranged or pre-arranged between the program office and off-site storage location.

b. File a copy of the vital record plans and transfer forms with inventories under GRS 16/7, Records Management Files at the program office and a copy at the off-site location along with updated inventories.

E. Cycling of Vital Records. Each OST and Indian Affairs program shall:

1. Review vital records in storage to ensure they are relevant and up-to-date. Emergency Operating Critical Period and Recovery Period records should be reviewed for content changes. Review the instructions on Identification and Implementation Data Sheets (IARM Form 3002).

2. Remove outdated copies and dispose of properly when updating and replacing vital record copies. Outdated vital record copies are considered nonrecord material.

a. For proper and authorized destruction of nonrecords and as a precautionary measure, OST and Indian Affairs offices shall prepare an inventory and document the destruction. Vital records containing sensitive information shall be destroyed by shredding. The following procedures will be completed:

1) Use the Certification of Nonrecords Destruction Form (IARM Form 2017) for daily routine destruction of nonrecord material less than 1 cubic foot. This form will be used to document the description, volume, date of destruction, and method of destruction.

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2) Perform an inventory when destroying nonrecords of 1 cubic foot or more, by completing the Nonrecords Inventory Form (IARM Form 2016).

a) The program manager will verify the nonrecord material to be destroyed and approve the destruction by signing the IARM Form 2016. Refer to IARMM Chapter 2.4.2 for appropriate guidance.

b) Destroy nonrecord material with a witness present upon receiving authorization from the approving official.

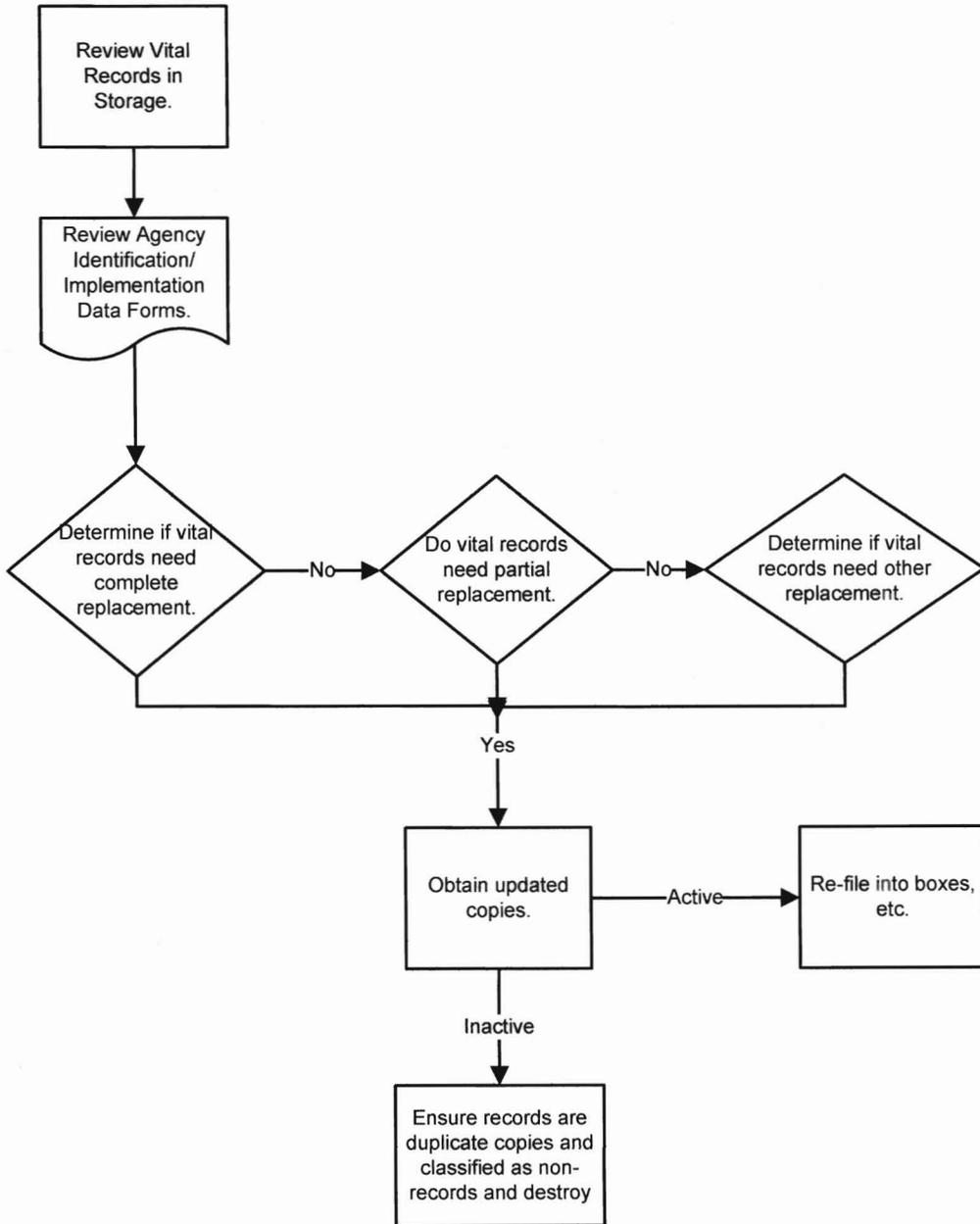
3.1.6 Appendices.

A. Flowcharts.

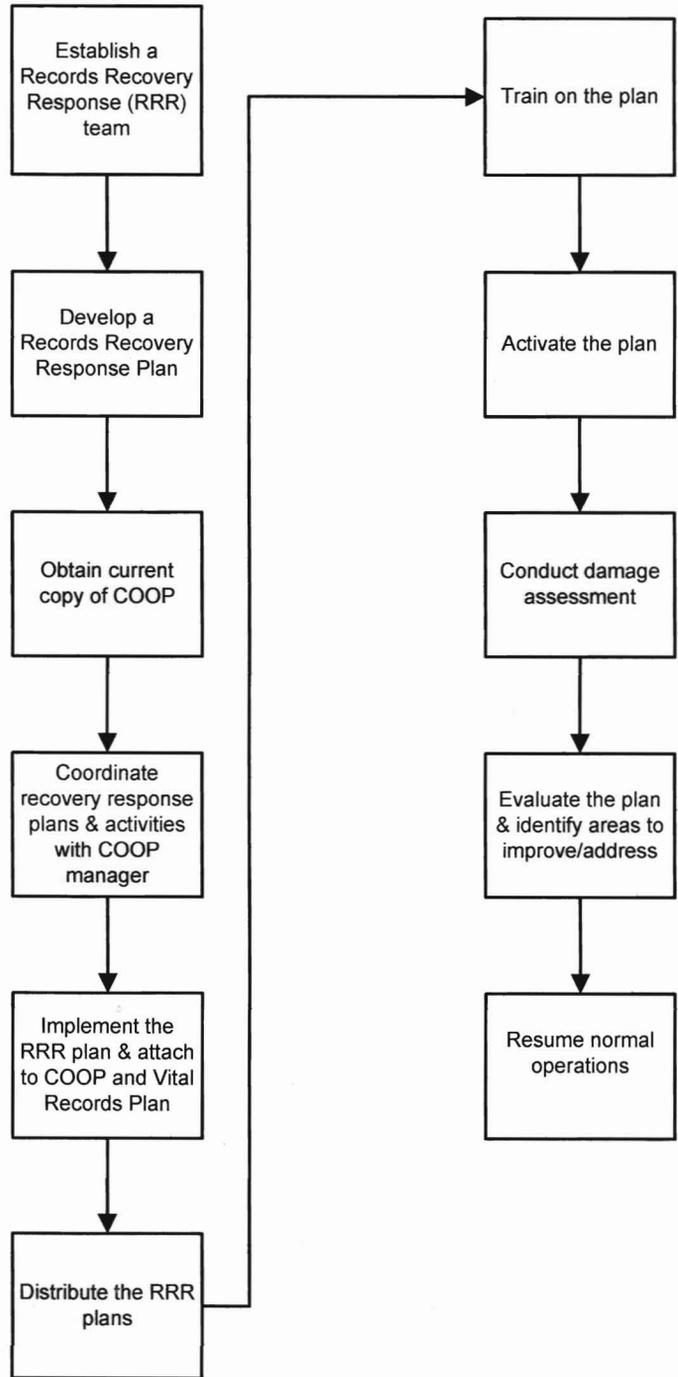
B. IARM Form 3001, Vital Records Plan, Vital Records Inventory.

C. IARM Form 3002, Vital Records Plan, Identification and Implementation Data Sheet.

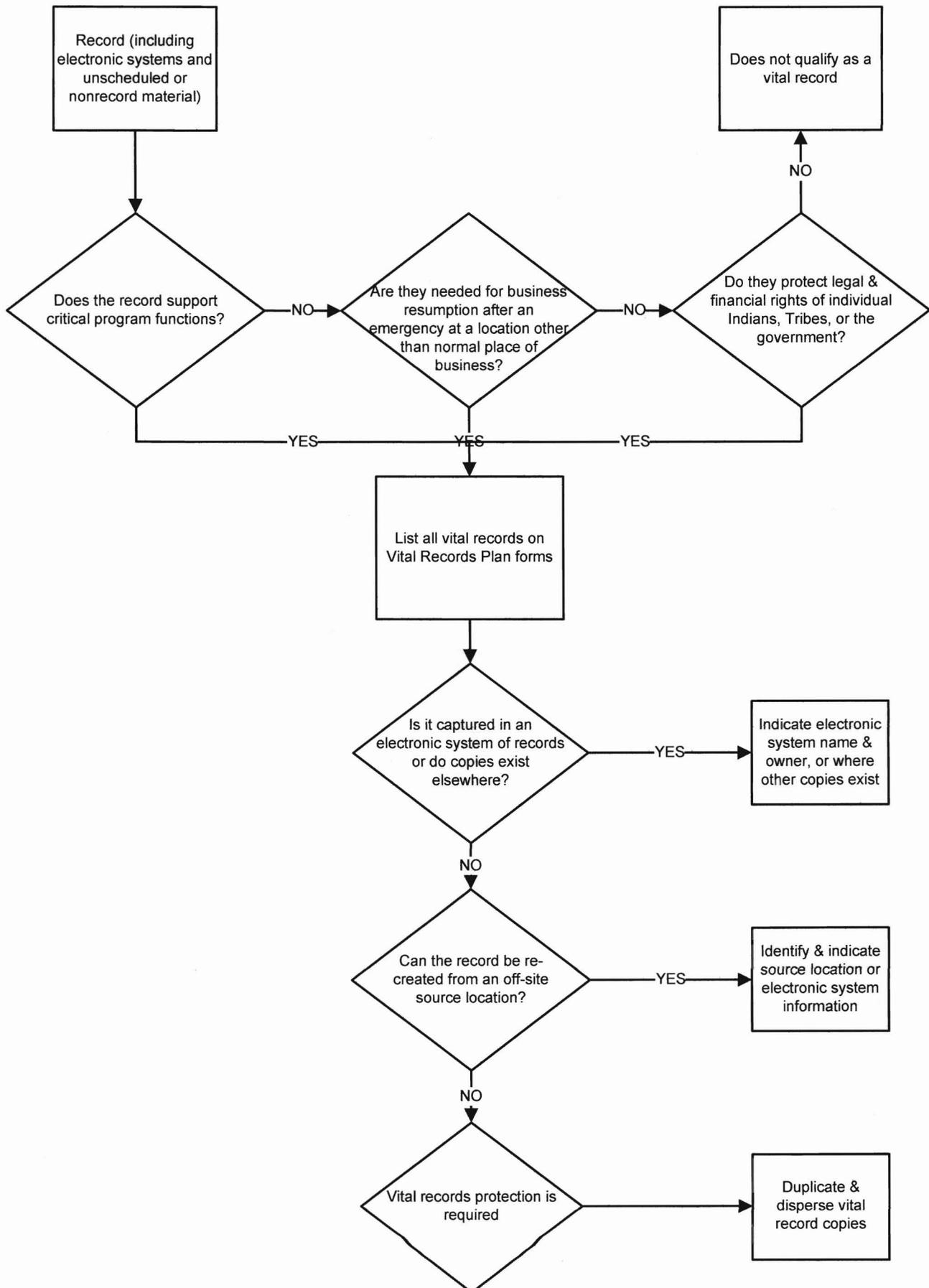
Cycle Vital Records



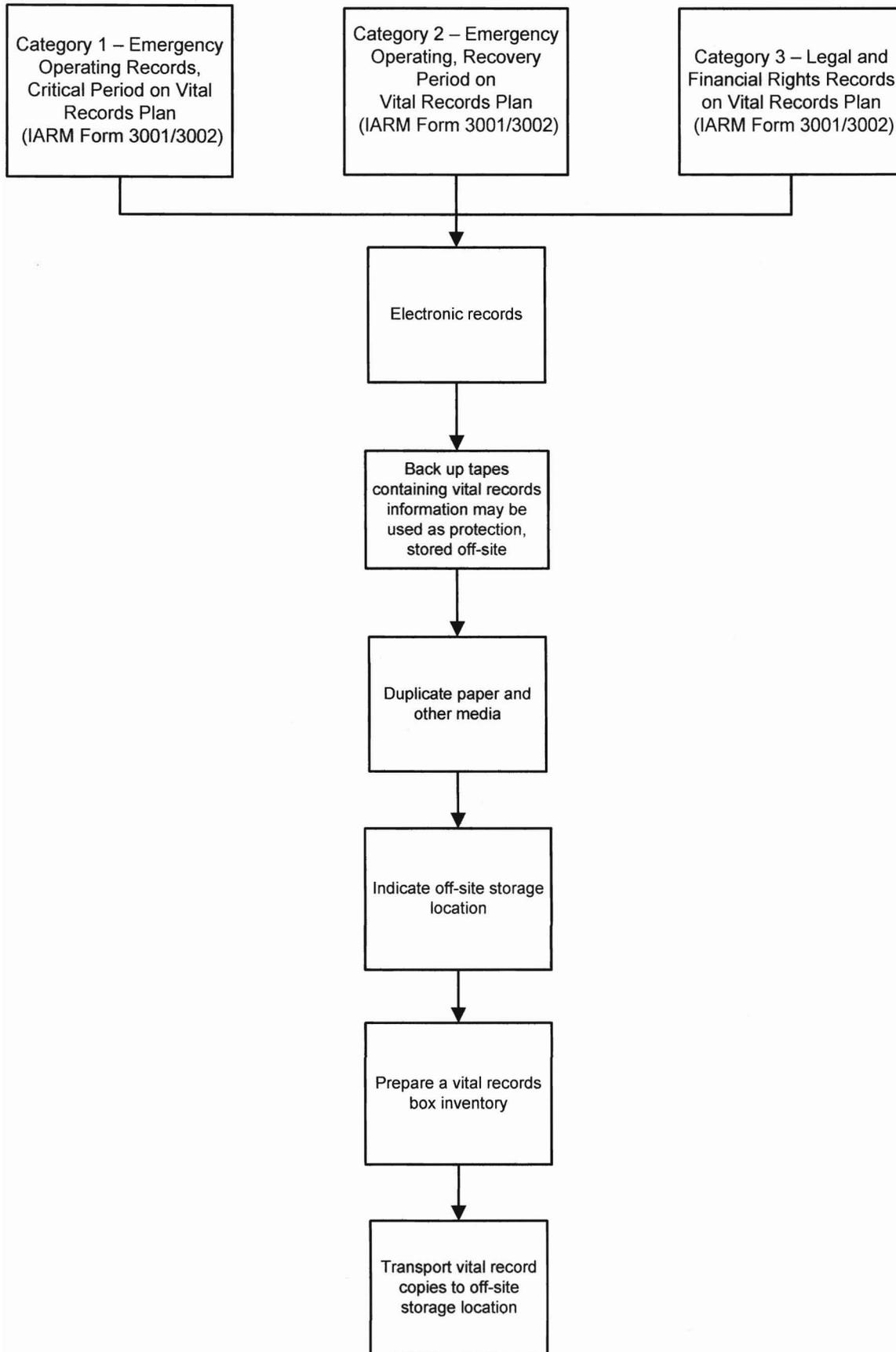
Records Recovery and Response



Vital Records Inventory and Identification Flowchart



Vital Records Protection Flowchart



**INSTRUCTIONS ON COMPLETING
IARM FORM 3001, VITAL RECORDS PLAN, VITAL RECORDS INVENTORY**

1. PROGRAM OFFICE:

- a. Name. Name of program office submitting Vital Records Plan.
- b. Agency/Office. Enter program office region/agency.

2. CONTACT OFFICIAL:

- a. Name. Fill in name of official to contact regarding Vital Records Plan.
- b. Title. Title of contact official.
- c. Work/Alternate Phone Number. Enter work and alternate phone number (include area code).

3. APPROVING SIGNATURES:

- a. Approving Official. Print name, sign and enter today's date.
- b. Vital Records Liaison. Print name, sign and enter today's date.
- c. Records Contact. Print name, sign and enter today's date.

4. IDENTIFICATION OF RECORDS TO BE INCLUDED IN THE VITAL RECORDS PLAN:

- a. Item No. Enter documents in numerical order starting with "1".
- b. Record Series No. Enter series number (i.e., GRS 3/3a (1)(b), 16 BIAM TR4415-P5).
- c. Record Title. Enter the title of the document.
- d. Vital Records Category. Enter an "x" in the appropriate column to indicate the category: 1) Emergency Operating/Critical Period; 2) Emergency Operating/Recovery Period; or 3) Legal and Financial Rights Records.

Page 1 of ____ Pages. Indicate total pages.

Use the continuation pages if needed.



VITAL RECORDS PLAN IDENTIFICATION AND IMPLEMENTATION DATA

Prepare a form for each approved item on IARM Form 3001

1. PROGRAM OFFICE:			
a. Name:		b. Agency/Office:	
2. DESCRIPTION:			
a. Item Number:		b. Records Series Number:	c. Record Title:
3. VITAL RECORDS CATEGORY (Check One):			
<input type="checkbox"/> 1 - Emergency Operating/Critical Period			
<input type="checkbox"/> 2 - Emergency Operating/Recovery Period			
<input type="checkbox"/> 3 - Legal and Financial Rights Records			
4. CONTACT PERSON RESPONSIBLE FOR TRANSFERRING RECORDS TO OFF-SITE STORAGE:			
a. Name and Title:		b. Work Phone Number:	c. Alternate Phone Number:
5. VOLUME, CLASSIFICATION, PRIVACY ACT AND MEDIA TYPE:			
a. Volume of Records (Cubic Feet):	b. Classification of Records: <input type="checkbox"/> Trust <input type="checkbox"/> General Trust <input type="checkbox"/> GRS	c. Privacy Act: <input type="checkbox"/> Yes <input type="checkbox"/> No	d. Media Type (Paper, Computer, CD, etc.):
6. TRANSFERRING RECORDS TO OFF-SITE STORAGE:			
a. Frequency: <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> Other _____		b. Method: <input type="checkbox"/> FedEx <input type="checkbox"/> UPS <input type="checkbox"/> Other _____	
7. Updating records will require: (Check One)	8. Will use of Vital Record copies require any electronic or other special equipment? (Check One)	9. Are additional funds required to copy for off-site storage? (Check One)	
<input type="checkbox"/> Complete Replacement <input type="checkbox"/> Page Changes Only <input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> No <input type="checkbox"/> Yes (Specify) _____	<input type="checkbox"/> No <input type="checkbox"/> Yes (Estimate annual cost to produce copies) _____	
10. LOCATION WHERE THE VITAL RECORD COPIES ARE TO BE MAINTAINED:			
a. Physical Address:		b. Point of Contact:	c. Phone Number:
11. APPROVING OFFICIAL:			
a. Approving Official - Print Name:		b. Signature:	c. Date:

**INSTRUCTIONS FOR COMPLETING
IARM FORM 3002, VITAL RECORDS PLAN, IDENTIFICATION AND
IMPLEMENTATION DATA**

Complete one IARM Form 3002 for each approved item on the IARM Form 3001.

1. PROGRAM OFFICE:

- a. Name. Enter the program office.
- b. Agency/Office. Enter the agency.

2. DESCRIPTION:

- a. Item Number. Enter the item number.
- b. Record Series Number. Enter the series number.
- c. Record Title. Enter the title of the series.

3. VITAL RECORDS CATEGORY (Check One):

- 1 - Emergency Operating/Critical Period.
- 2 - Emergency Operating/Recovery Period.
- 3 - Legal and Financial Rights Records.

4. CONTACT PERSON RESPONSIBLE FOR TRANSFERRING RECORDS TO OFF-SITE STORAGE:

- a. Name and Title. Enter the name and title of contact person responsible for transferring records.
- b. Work Number. Enter the work number of contact person (include area code).
- c. Alternate Work Number. Enter an alternate work number of contact person (include area code).

5. VOLUME, CLASSIFICATION, PRIVACY ACT AND MEDIA TYPE:

- a. Volume of Records. One letter-size file drawer holds 1.5 cubic feet of records; one standard records center carton holds one cubic foot; one legal-size file drawer holds 2 cubic feet of records.
- b. Classification of Records. Check appropriate box.
- c. Privacy Act. Check either Yes or No.
- d. Media Type. Indicate the format of the vital record (i.e. paper, computer, CD, etc.)

6. TRANSFERRING RECORDS TO OFF-SITE STORAGE:

- a. Frequency. Check how often records will be transferred (monthly, quarterly, annually or specify other).
- b. Method. Check One (FedEx, UPS, or if other specify).

7. Updating Vital Records Will Require:

Check one (Complete Replacement, Page Changes Only, or Other – must specify method of how records are updated).

8. Will Use of Vital Record Copies Require Any Electronic or Other Special Equipment?

Check one. If yes, enter equipment required (i.e. special software, CD writer).

9. Are Additional Funds Required to Copy for Off-Site Storage?

Check one. If yes, enter estimated cost.

10. LOCATION WHERE THE VITAL RECORD COPIES ARE TO BE MAINTAINED:

- a. Physical Address. Enter physical address of where vital records are to be maintained.
- b. Point of Contact. Enter the name of point of contact.
- c. Phone Number. Enter work phone number of point of contact.

11. APPROVING OFFICIAL:

- a. Name of Approving Official. Enter or print the name of the approving official.
- b. Signature. Approving official's signature.
- c. Date. Date of signature.