

United State Department Interior

BUREAU OF LAND MANAGEMENT

Oregon State Office

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In Reply Refer to:

1220 (OR-958) P

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EMS TRANSMISSION 04/26/2004

Instruction Memorandum No. OR-2004-069

Expires: 9/30/2005

To: DMs, DSDs, Staff and Branch Chiefs
Attention: Records Managers

From: State Director, Oregon/Washington

Subject: Preparation for Shipment of Non-Indian Fiduciary Trust Federal Records to
Oregon/Washington State Office (OSO) for Certification

Program Area: Records Management.

Purpose: To provide additional guidance to all Records Managers on the preparation of all Federal Records that doesn't contain Indian Fiduciary Trust (IFT) Information.

Policy/Action: All Records Managers must adhere to the attached guidance to ensure that all non-IFT information are boxed, inventoried and appropriately identified when being shipped to the OSO for certification. These guidelines are designed to expedite the certification process done by the State Records Administrator and State Office Records Manager. Districts not following the guidelines will be contacted, and documents could be returned to be completed in accordance to policy.

Timeframe: This policy is effective immediately.

Budget Impact: Minimal.

Background: Washington Office Instruction Memorandum 2004-88, allowed for states to begin movement of Federal records that DO NOT contain IFT information, pending certification by State Records Administrators, and final approval by the Associate Deputy Secretary. Refer to this Instruction Memorandum (IM) for definitions of what constitutes IFT information. In addition, the OSO issued IM-OR-2004-040 giving guidance for getting accessions approved. However, having received some accessions from the districts, it is apparent that more guidance

2

on proper boxing, identification, and inventory of these records is needed. Attachment 1 of this IM addresses the guidelines of accessioning these records.

Manual/Handbook Sections Affected: Manual Section 1220, Records and Information Management.

Coordination: State Records Administrator, State Office Records Manager, and District Records Managers.

Contact: Sherrie Reid, Chief Realty Records Section and State Records Administrator (OR-958.2), 503-808-6655, or Cindy Fredrickson, State Office Records Manager (OR-958.2), 503-808-6450.

Districts with Unions are reminded to notify their unions of this Instruction Memorandum and satisfy any bargaining obligations before implementation. Your servicing Human Resources Office or Labor Relations Specialist can provide you assistance in this matter.

Signed by
Judy Ellen Nelson
Acting Associate State Director

Authenticated by
Mary O'Leary
Management Assistant

1 Attachment(s)

1 – [Guidelines of Accessioning Records](#) (2p)

Distribution

WO-560 (Room 750, LS)

Guidelines of Accessioning Federal Records

A review of records and accessioning to the Federal Records Center (FRC) is done once a year around the change of the change of fiscal years.

The first step is to pull all closed or expired records for a particular retention category or case type (for serialized case files) conferring with Appendix 2 of the BLM Manual 1220 - Records and Information Management GRS/BLM Combined Records Schedule for their proper schedule and retention description. The following table that lists the types of records that have been shipped to the FRC in the past were put together by limited information that was pulled from researching the Accession records at the Oregon/Washington State Office (OSO), looking over past Field Office visits/inspection reports, and looking over record holding listings that were supplied by the National Archives and Records Administration.

Records that have been Shipped Directly by District Offices	Records that have been Shipped by the OSO
<ul style="list-style-type: none"> - Time and Attendance Records: (Schedule 2) - Timber Sale Contract Case Files: (Schedule 4) - Mineral Material Sale and Free Use Authorization Files: (Schedule 4) - Wild Horse and Burro Adoption Case Files: (Schedule 4) - Grazing Operator and Appeal Case Files: (Schedule 4) 	<ul style="list-style-type: none"> - All Serialized Case Files: (Schedule 4) <ul style="list-style-type: none"> Withdrawals Rights-of Way Easements Acquisitions Oil and Gas Geothermal Mineral Lease Sales Exploration and Prospecting Permits Communitization or Unitization Agreements Mining Claims Patents Deeds Exchanges Land-Use Permits and Leases - Temporary Directives: IMs and IBs: (Schedule 16) - Cadastral Group Files: (Schedule 17) - Procurement Transaction Files: (Schedule 3) - Master Title Plat Masters: (Schedule 4) - Accountable Officers Files: (Schedule 6) - FOIA Appeal Files: (Schedule 14) - Cadastral Survey Field Notes and Plats; (Schedule 17) - Fire Report Masters: (Schedule 18) - Still Photo, Graphic Arts, Motion Picture, and Video Records Copies - BLM mission related: (Schedule 21) - Land Use Documents (Schedule 4)

The timeframes that are listed in Appendix 2 of the BLM Manual 1220 - Records and Information Management GRS/BLM Combined Records Schedule to send records to the FRC are guidelines. If your office has the appropriate type of storage facilities and capabilities, the documents can be stored in your custody for the duration of the disposition schedule's timeframe.

For those serialized land case files that are addressed in Schedule 4 of Appendix 2 BLM Manual 1220 – Records and Information Management GRS/BLM Combined Records Schedule the following procedures will be adhered to: After review from Program Leads, the District Records Manager forwards serialized land case files that are annotated as closed to the Oregon/Washington State Office (OSO) Records Manager Cindy Fredrickson (OR 958.2). Since these records would be entered into LR2000, make sure each file has a current Serial Register Page included showing the case is closed.

For all accessions of other records other than serialized case files sent to the OSO for certification, the following procedures will be conducted by the District Records Managers:

1. Place each record in a separate letter sized folder which is labeled either on the top or side tab for ease of retrieval and identification. *NOTE: All cases in a box must all be for the same retention category.* (Such as all boxes in an accession must be time and attendance records.) District Records Managers are to look closely at the Records Schedule to determine what is to be included. Any questions on the preparation of records can be directed to the OSO Records Manager, Cindy Fredrickson.
2. Place the records in NARA approved storage box (order GSA stock number 8115-00-117-8249) in either numerical or alphabetical order with the first file facing the front of the box where the Accession and Box Number is annotated.
3. In PENCIL, write on the front outside of each box (under the Agency Box Number) the number of that box in the accession (i.e., 1, 2, 3, etc).
4. Prepare the SF-135 for the accession.

Attachment 1-2

5. Prepare the SF-135a or a box listing of all folders in each box. The listing should be exactly as the records are labeled in each box in either numerical or alphabetical order annotating which box number it is. Place a copy that box's listing in the front of the box. In Box 1 of each accession, include a copy of the SF-135 and copies of all box listings of all boxes in the accession.
6. The District Records Manager will complete a Chain of Custody Plan. A sample of the Plan to be used is included at the end of this Attachment.
7. The District Records Manager will complete Items and 1 and 2 of the 2004 version of the United States Department of the Interior Record Move Request Associate Deputy Secretary Approval form which was included in IM-2004-88. They will then route this document, along with the original SF135, box listings, and Chain of Custody Plan to the District Manager for signature in Item 1. They are the only ones with approval to sign this form.
8. The District Records Manager will then make a copy of all documents and mail all originals to the OSO Records Manager, Cindy Fredrickson (OR-958.2) for certification and coordination with NARA and the Deputy Director's Office.

9. The District Records Manager will then coordinate with the OSO warehouse and the OSO Records Manager on the shipment of these boxes to the OSO warehouse. After receipt of the boxes, the Statewide Records Administrator and the OSO Records Manager will verify the contents of the boxes and process the certification.
10. The OSO Records Manager will coordinate with the District Records Managers on the process of the move request.

Attachment 1-3

Transporting Records Procedure (Chain of Custody)

1. Records are packed in appropriate storage boxes.
2. Box lists or inventory of records for all boxes are included in the first box of each accession in the shipment.
3. Each box is labeled to describe the contents. NARA labeling procedures are followed.
4. Each box is sealed with tape and boxes are numbered sequentially (box 1 of 5, 2 of 5, etc.)
5. Boxes are delivered to Bureau of Land Management (BLM) Oregon State Office Warehouse.
6. Federal Express shipment form is completed by the BLM Oregon/Washington Records Administrator via the Internet and provided to Warehouse staff for Federal Express staff. The option is completed with return e-mail address to confirm delivery of shipment.
7. The BLM Oregon/Washington Records Administrator retains a copy of the shipment form for tracking purposes in the event that a shipment is missing.
8. The BLM Oregon/Washington Records Administrator is notified via e-mail when Federal Express has delivered the shipment to the Pacific Alaska Region Federal Records Center.
9. After receiving e-mail confirming delivery of shipment, The Oregon/Washington Records Administrator completes box 5 on Records Move Request form.
10. The BLM Oregon/Washington Records Administrator and the Pacific Alaska Region Federal Records Center will maintain a file to document the records transfer process (by shipment). The Records Move Request, SF-135, records inventory, chain of custody plan, and other supporting documentation will be maintained in accordance with GRS 16 Items 2a(2).

Attachment 1-4