Environmental Protection Agency
Incident Command System

Documentation Unit Leader Job Aid

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Questions or comments about this Job Aid?
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OVERVIEW

The function of the Documentation Unit Leader (DOCL) is to ensure identification, collection and organization of all records and/or related documentary materials generated during an incident. These Agency records must be indexed and converted as appropriate for input to the Superfund Program's official recordkeeping system, currently the Superfund Enterprise Management System – Records Management (SEMS-RM). It is important that the region understands which funding stream allows them to add data to the SEMS-RM. Regardless of incident size, this is a statutory requirement for CERCLA responses. However, not all regions use SEMS-RM for non-CERCLA (i.e., oil spills and Stafford Act) documentation.

In small-scale incidents, staff of existing field units might perform this function. As incidents escalate, the only individuals capable of doing this job are those who have had significant experience with large-scale incidents and/or the opportunity to see a documentation package from its inception to the point where it is challenged in court by a responsible party. The DOCL should understand how an incident archive can meet the challenge of judicial or administrative review, address questions from Congressional staff, and/or satisfy Freedom of Information Act (FOIA) requests.

USER

The user of this Job Aid will be anyone assigned as the DOCL within the Incident Command System (ICS). To perform the required functions effectively, personnel assigned to this position should have a general understanding of EPA's emergency response mission and operation, be able to gather, analyze, and disseminate information, and lead personnel assigned to the unit. The user must also have ICS training through the 400 level.

WHEN TO USE

This Job Aid should be used as a guide for the DOCL to perform the necessary duties whenever an incident has occurred that requires an ICS organizational structure. This Job Aid is intended to cover key items that the DOCL will have to address, but does not cover every possible need that may be required during a response.

KEY GOALS AND RESPONSIBILITIES

To maintain accurate and complete incident files, provide duplication services to incident personnel, store incident files for legal, analytical, and archival purposes. Key goals include:

- Establish comprehensive documentation system based on Unit Identifier Codes (UIC), (refer to Appendix A of this Job Aid for additional information), including all records required for a CERCLA administrative record, Stafford Act deployment and/or large scale incident under the National Oil and Hazardous Substances Pollution Contingency Plan.
- Develop a single, comprehensive archive.
- Maintain effective documentation during demobilization.

Key responsibilities of the DOCL are:

- Establish process for capture/collection of all documents, including at Incident Command Post (ICP) and remote field locations.
- Collect and process all documentation, including official forms and reports. This includes maintaining an onsite set (at ICP) for informational purposes during the incident, in addition to a permanent fully indexed archival set of official records that must be transferred to the applicable regional office for input to the Official Record Keeping System (currently SEMS-RM).
- Ensure all relevant information is exchanged during check-in, briefings, and debriefings.
- Check the records submitted to ensure all documents include UIC, date, and appropriate signatures.
- Contact appropriate ICS Sections/Units to locate any missing reports, forms, etc., based on Documentation Checklist.
- Provide copies of forms, reports, and any required information to authorized requestors.
- Prepare incident documentation for Incident Commander (IC) or designee when requested.

REFERENCES

- EPA ICS forms (response.epa.gov/ICS_FORMS)
- EPA Incident Management Handbook (response.epa.gov/NIMSIntegrationTeam)
- National Oil and Hazardous Substances Pollution Contingency Plan (NCP)
- CERCLA Administrative Record

PRODUCTS

The DOCL should be familiar with products that may be developed during the incident that should be filed appropriately in the Documentation Unit:

Reports

- Situation Report (SitRep)/Pollution Report (Polrep)
- Incident Action Plan (IAP)
- Executive Situation Summary

Forms

- Meeting Situation Summary (ICS Form 231)
- Unit Log (ICS Form 214) Note: Summary of daily activities. Assign a member of your staff to complete the ICS Form 214 and collect the form from other units/sections at the end of each operational period.

Maps

- Base Maps
- Overflight Maps
- Resource Status Maps
- Situation Maps
- Division Zone Maps
- Natural Resources at Risk & Protection Strategy Maps
- Trajectory Maps

Websites/Systems/Data

- Response.epa.gov
- SharePoint
- Scribe

MATERIALS

Ensure the following materials/software are available during an incident, if not already provided. Should additional materials/software be required, submit Resource Request (refer to Appendix B of this Job Aid for sample ICS Form 213RR-EPA) to the Situation Supply Unit Leader (SPUL) or Logistics Section Chief (LSC) to obtain needed supplies. In some cases, such as the aftermath of a major natural disaster, typical means of shipment (commercial service) may not be available. Other considerations are availability of an operating location, physical security of the equipment and supplies (from both weather and loss), and a dependable power supply.

General Materials (these items should be maintained in a Go-Kit by the Planning Section Chief (PSC))

- Laptop computers
- Fax Machine
- Scanners
- USB Drives
- CD/DVD burner
- External hard drives
- Thumb drives
- Mouse and pads
- Barcode scanners
- Network cables
- Power inverters
- Blank CDs/DVDs
- CD/DVD holders
- Rubber bands
- Paper Clips
- Battery operated stick up lights
- Extension cords
- Surge protectors
- Large locking file cabinets
- Large folding tables
- Cardboard boxes (at least 3 dozen)
- Plastic file boxes with handles
- Sharpies
- Stickers for files
- Hanging file folders
- Backing boards
- Copiers and cartridges
- Photograph archival sleeves
- "Archive Copy" red stamp
- Stamp for back of photos for ID data
- Two-hole punch
- Three-hole punch
- Masking tape for boxes
- Staplers and staples and staple removers
- Canned air
- Tape and tape dispenser
- Scissors
- Push pins
- Felt tip pens
- Pencils and pens
- Post-It sticky note pads
- 213 General Message forms
- 213 Resource Request forms

Software (current EPA version)

- Microsoft Office (including access to SharePoint sites if used)
- Adobe Professional

CHECKLIST OF INITIAL TASKS

Below is a general checklist of initial tasks to be completed as soon as possible after being assigned to an incident.

ACTION	✓
Receive assignment, including: ▪ Job assignment. ▪ Reporting location and time. ▪ Transportation arrangements/travel instructions. ▪ Any special communications instructions.	❑
Upon arrival at the incident, check-in at designated check-in locations. Check-in locations may be found at: ▪ Incident Command Post (ICP). ▪ Area Command Post. ▪ Regional Emergency Operations Center (REOC).	❑
Obtain an initial brief from Planning Section Chief (PSC) or Branch Director as appropriate including: ▪ Size and complexity of incident and potential for expansion. ▪ Anticipated length of time for EPA personnel to remain on site. ▪ Incident objectives. ▪ Agencies/organizations/stakeholders/special teams involved. ▪ Special concerns for documentation including potential FOIA requests. ▪ Verification of Documentation Unit as the repository for *all documentation* during the incident.	❑
Review Incident Briefing (ICS Form 201) or IAP.	❑
Obtain Daily Meeting Schedule (ICS Form 230) and attend meetings as required.	❑
Establish work location within the ICP: ▪ Ensure adequate space for document storage. ▪ Ensure adequate supplies for operation of unit. ▪ Ensure communication capabilities (e.g., phone, fax, modem). ▪ Ensure adequate personnel are assigned to manage unit functions.	❑
Physically tour ICP and establish contact with Command and General Staff, Unit Leaders and other personnel assigned to the incident/event to ensure they are aware of the documentation/historical data needed.	❑
Walk through ICP to determine layout and location of units/Sections/Command Staff.	❑
Begin and maintain Unit/Activity Log (ICS Form 214). ▪ Ensure someone in the unit is available at all times and assign that person responsibility to complete the Unit/Activity Log (ICS Form 214).	❑

INITIAL INCIDENT ASSESSMENT

Coordinate with Planning Section Chief and other response team members

Ensure that required legal aspects are considered.

STEP	ACTION	✓
1.	Coordinate with PSC on function and collection needs of Documentation Unit. Identify Points of Contact within the Incident Management Team (IMT) or National Incident Management Assistance Team (N-IMAT) for document production and retrieval.	❑
2.	Determine ongoing coordination needs and documentation needs for contacts made in Step 1.	❑
3.	Coordinate ongoing functions with relevant resource – do not bypass the PSC. *Example: FOIA control with Servicing Legal Office, U.S. Coast Guard (USCG) National Pollution Funds Center (NPFC) Case Officer.*	❑

Identify Document Originators

Determine how best to gather documentation from other ICS elements.

STEP	ACTION	✓
1.	Identify information loops that originate, produce or process documentation during the response, on-scene and off site. *Examples: Command correspondence, Situation Unit, Operations, Finance, Logistics, etc.*	❑
2.	Determine how each information loop can most easily be accessed so that generated documentation can be collected by Documentation Unit.	❑
3.	Determine if documents processed by each activity are dynamic (undergoing sequential changes/additions), or static (one-time completed report).	❑
4.	Determine the best time to collect each document type and establish Documentation Check List for recurring documents. *Examples: Does Documentation Unit need interim copies or dynamic documents for Operations Section support or as internal tickler file?*	❑
5.	Establish an overall collection plan from emergency phase through demobilization. ***NOTE: All organizational units must receive a Unit Identifier Code (UIC) as soon as they are identified. The 4 character UIC should be used to identify anything a Section/Branch/Group/Unit does during the response. The UIC should be written on all documents (including electronic), log books, emails, ICS forms, photos, manifests, etc., generated by a unit/section. (Refer to Appendix A for examples on how UICs should be assigned to an ICS organizational structure.)***	❑
6.	Create a general records email box with an incident-specific name (for example, R4_Irma_Records@epa.gov). This email address must be included in a cc line for all electronic documents generated during the response, including all email generated by response partners.	❑

	If position-specific email boxes have not been established, coordinate with the REOC in creating the email boxes for all Key Leadership Positions (KLP) to facilitate easier documentation capture during an incident. The position-specific email box would also allow for continuity of actions taken and a smoother transition during rotation of personnel. ***The name of the position-specific email box should be location and then KLP, i.e., R6_SO@epa.gov. Access rights will need to be assigned to personnel who would be using that email box. (Refer to Appendix C of this Job Aid for examples on how to set up position-specific email boxes).***	
7.	Continuously monitor collection information loops for changes and effectiveness.	❑

Assess Findings

Based on incident assessment, determine the best organizational structure of DU

STEP	ACTION	✓
1.	Review organizational placement of Documentation Unit given incident conditions (length of response, scope of response or other factors) that would trigger change of organization structure.	❑
2.	Establish collateral responsibilities. *Examples: Photo documentation, duplication, etc.*	❑

ESTABLISH DOCUMENTATION SYSTEM FOR THE RESPONSE

Ensure Documentation is Complete/Accurate

Set up a system to review documentation being collected, identify defects, and correct deficiencies.

STEP	ACTION	✓
1.	Compare documentation being collected with assessment of overall activities.	❑
2.	Identify areas where activity exists without corresponding documentation or with inadequate or insufficient documentation.	❑
3.	Review the collated material daily to ensure all relevant and ancillary materials are being collected.	❑
4.	Cooperatively design a solution that will meet the documentation need with the minimum amount of operational intrusion possible.	❑

Respond to Freedom of Information Act (FOIA) Requests

Establish expeditious procedures to handle FOIA requests during the incident response phase.

STEP	ACTION	✓
1.	Establish *draft* incident-specific Information Request Protocol for FOIA requestors indicating which documentation will be immediately available and providing assurance that the requestor will be notified when the archive is complete.	❑
2.	Brief *draft* Information Request Protocol to PSC.	❑

3.	Through the PSC, and then the IC, request approval of Information Request Protocol from Office of Regional Counsel (ORC) in regional office and/or HQ as directed.	❑

DEMOBILIZATION DOCUMENTATION

Assess Demobilization Procedures

Determine how documentation collection will change during incident demobilization phase.

STEP	ACTION	✓
1.	Identify any structural/organizational changes that will occur concurrently with demobilization. Ensure that the Demobilization Plan integrates documentation collection personnel into each element's demobilization.	❑
2.	Make any necessary adjustments to the standing documentation collection process.	❑
3.	Follow this same process for any incremental demobilization.	❑
4.	Continue monitoring the documentation collection process.	❑
5.	Ensure a representative of the Documentation Unit remains on site until all operational activities have been completed, or until a process is in place to ensure that all documents still being generated are captured once finalized.	❑

Collect Files during Demobilization

Arrange for Documentation Unit personnel to collect files during the demobilization phase.

STEP	ACTION	✓
1.	Have Documentation Unit personnel physically assist in the demobilization of each Section/Branch/Group/Unit to: ▪ Ensure no materials are destroyed. ▪ Ensure no materials are dispersed to other units. NOTE: In instances where materials need to accompany departing personnel for continuing offsite work, make arrangements for departing personnel to take duplicates and for the forwarding of newly originated or processed materials from offsite locations.	❑
2.	Monitor offsite post-demobilization functions for collection and centralization.	❑
3.	As Sections/Branches/Groups/Units demobilize, the Documentation Unit should require that all documentation is turned over in one of the following formats: ▪ Electronic documentation (Share Drives, Thumb Drives, CDs, or DVDs). ▪ Documents stored on a SharePoint site. ▪ Paper documents.	❑
4.	Maintain all Documentation Unit staff until the majority of the Operations Section has demobilized to ensure that all documentation is archived in a format suitable to transport electronically or physically to the regional office.	❑

INFORMATION EXCHANGE MATRIX

Inputs/Outputs

Below is an input/output matrix to assist the Documentation Unit Leader in exchanging information with other ICS positions.

MEET WITH:	WHEN:	PSC OBTAINS:	PSC PROVIDES:
Planning Section Chief	Information communications; Initial incident brief; In some instances, the PSC may brief out Documentation Unit needs at the Command and General Staff meeting. In other instances, the DOCL may be asked to do this.	Briefing on function and response-specific processes of Documentation Unit and coordination requirements with regional office and HQ	Coordination with Command and General Staff members on process and function of Documentation Unit
ORC representative	As needed	FOIA coordination	Onsite support
NPFC Case Officer	As needed	Coordination and documentation requirements	Onsite support

Appendix A: Unit Identifier Codes

Once the decision has been made to deploy staff to any incident wherein ICS will be used to establish functional units, an organizational chart (ICS Form 207) may be developed. As units (Division/Branch/Group/Team) are identified, a Unit Identifier Code (UIC) should be generated for each unit identified on the org chart.

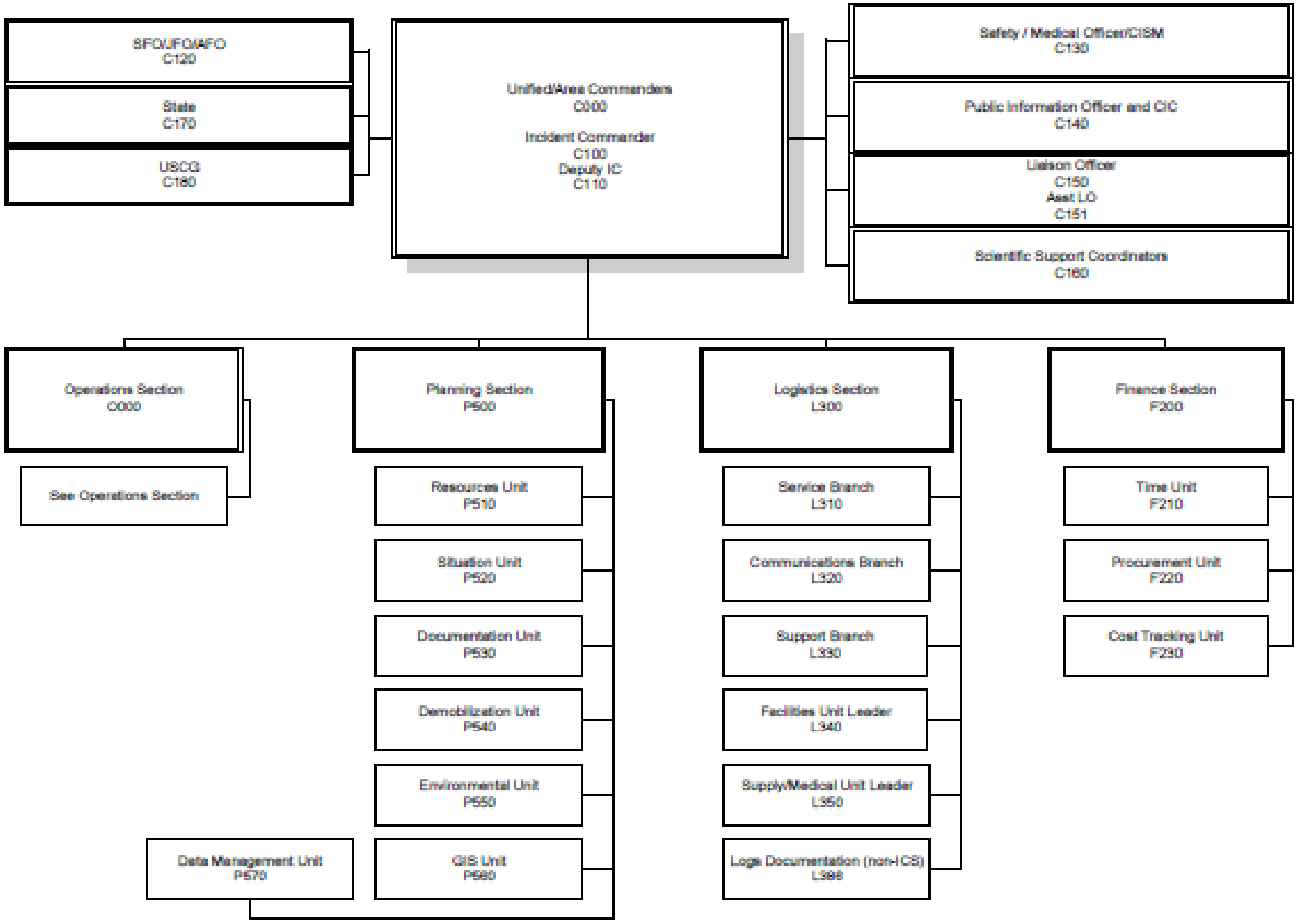
The UIC is a four-character alphanumeric code that serves as a "shorthand" code to identify each unit. This code should be included as part of the unit name/title and typed or written on every document produced and submitted during a deployment (or as part of RRC/REOC duties). This code is used to identify what functional component produced which documents. This is vitally important as part of the permanent record of the Agency's activities and also facilitates rapid identification of information requested by the IC and/or Command Staff during an incident.

SSID: M6_ _ UIC: (as shown below)

Miss. Canyon Gulf Oil Spill

4/30/2010

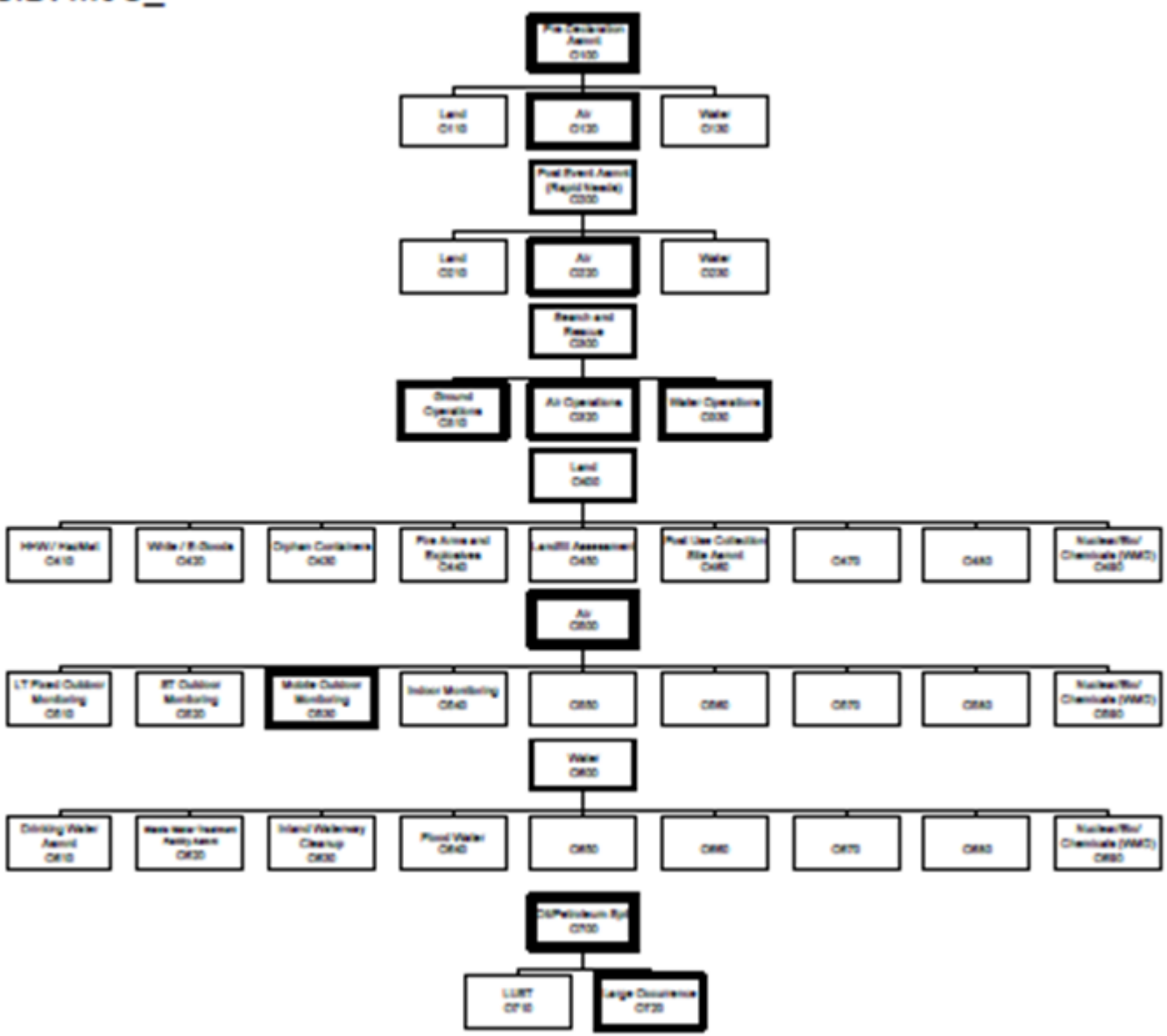
Command and General Staff



SSID: M6G_

Miss. Canyon Gulf Oil Spill - Operations

04/23/2010



Appendix B: Sample ICS Form 213RR-EPA

1. Incident Name:			Purpose: ICS Form 213RR-EPA is used by all incident personnel to request tactical and non-tactical resources (supplies, equipment, personnel and services). Instructions on back page.					**Resource Request Message ICS Form 213RR-EPA**		
Requester	**2. Date/Time Prepared**		**A. Logistics Resource Request Number (assigned by Logistics Section):**					(Pre-printed # here)		
	3. ORDER **Note: One 213RR per funding source**		3a. Funding Source (if known): ☐FEMA MA#_____ ☐CERCLA ☐OPA ☐Other_____					3b. TO # or TDD_____		
	3c. Qty	3d. Unit	3e. Detailed description of resource requested (supplies, equipment, personnel, services) and, if applicable, staple attachments for purpose/use, diagrams, and other information.(Ops indicate if request is TACTICAL)	3f. Requested Reporting Location:	Date/ Time:	3g. (RESL) Tactical? Y/N	3h. LSC/FSC			3i. PC PO
							Vendor or Agency:			
							Vendor or PO #:			
							ETA:			
							Cost:			
							Vendor or Agency:			
							Vendor or PO #:			
							ETA:			
							Cost:			
							Vendor or Agency:			
							Vendor or PO#:			
							ETA:			
							Cost:			
	4. Suggested source(s) of supply if known also Point-of-Contact phone number and suitable substitutes, if known : ___**CHECK IF THIS REQUEST WAS PLACED WITH START/ERRS**			**5. Requester** 5a. Requester Position and Signature: (Print Name) 5b. Contact Method/Number(s): **6. Section Chief/Command Staff Approval:** Date/Time:						
Logistics	**7. LSC Notes:**									
	8. Logistics Section Signature: Date/Time:									
	9. SPUL, Property Management Officer or Property Accountable Officer/Designee Signature: Date/Time: Was property available from excess? (Check EMP Equipment, IFMS and/or GSA) ☐ Yes, reassign resources to incident. ☐ No, then submit ICS Form 213 RR-EPA to EOC or FSC for processing.									
	10. Order placed by (check box): ☐ SPUL ☐ PROC ☐ OTHER _____DATE ORDER WAS PLACED_____DATE RECEIVED_____									
Finance	**11. Reply/Comments from Finance:**									
	12. Finance Section Signature: Date/Time:									
Planning	**13. RESL - Note availability of each resource request:**									
	14. RESL Review/Signature: Date/Time:									
Full instructions and routing information on back page. Requester fills all white areas, as well as block 4, if suggested source is known. Requester obtains appropriate Section Chief or Command Staff approval in block 6. Requester submits to Logistics and keeps Copy 6 (bottom GREEN copy). (*Revised 6/2009)*										

Note: Instructions on how to fill out ICS Form 213RR-EPA can be found on the back of the form.

Appendix C: Documentation Through Position-Specific Mailboxes

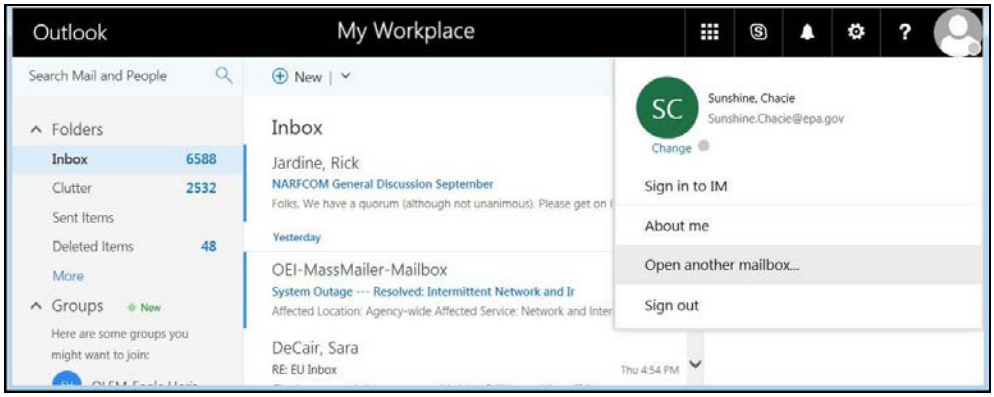
The following procedures recommend accessing the position-specific mailboxes through the Office Web Application (OWA) rather than the Outlook client because of limitations with the client identifying the sender and storing sent emails in the position-specific mailbox (rather than the personal inbox). The OWA allows users to see the following, for example:

> *"Steve Touw <Touw.Steve@epamail.epa.gov>; on behalf of N-IMAT_LNO <N-IMAT_LNO@epa.gov>*

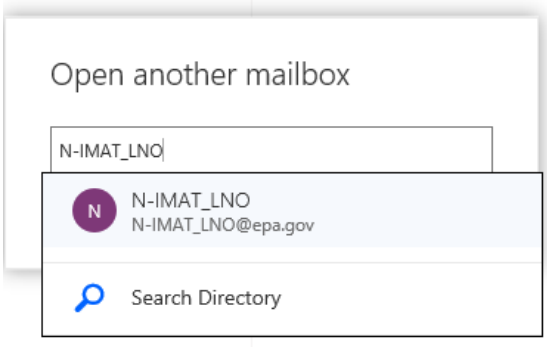
To open a shared mailbox through OWA and update the signature block therein, N-IMAT members should take the following steps:

1. Open your personal EPA mailbox in the Office Web Application (OWA). You can do so from the One EPA Workplace site or by browsing directly to https://outlook.office.com/epa.gov;

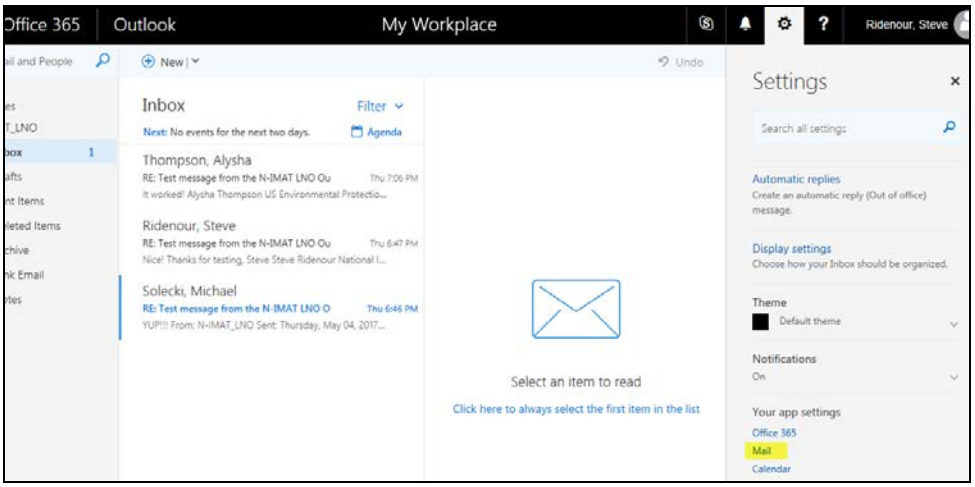
2. Once you have opened your EPA email account, click on your profile picture in the top-right corner of the window, and select *Open another mailbox*;



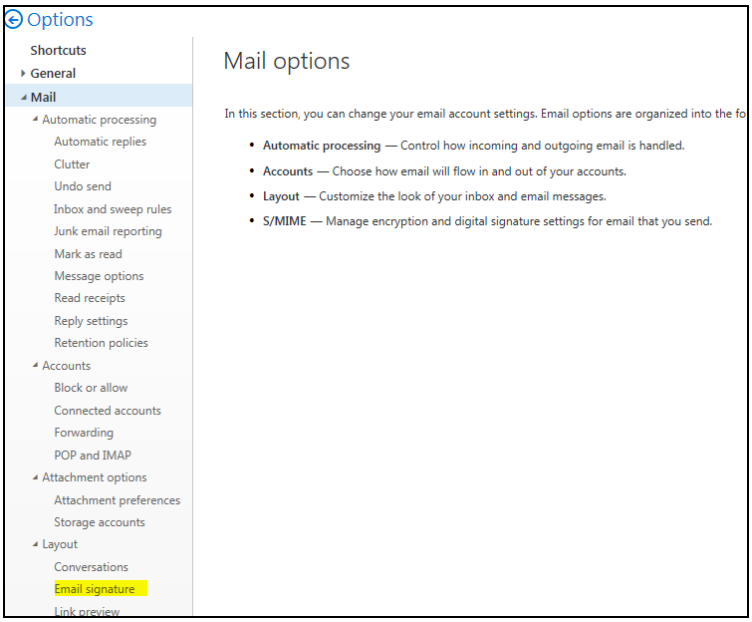
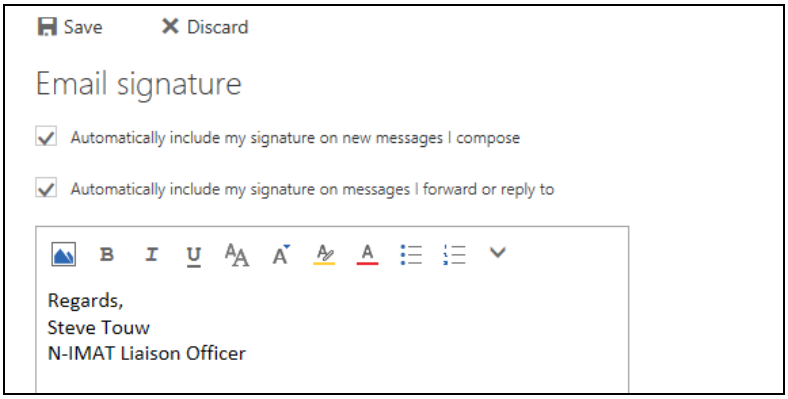
3. Type the mailbox name (i.e., "N-IMAT_LNO") in the search field, select the mailbox and click open.



4. Update the signature block by clicking the gear icon in the top panel bar and then clicking the *Mail* link



5. On the next screen, click the *Email Signature* link under the *Layout* section.



6. On the next screen, make sure the two checkboxes to include signatures on both new messages and replies/forwards are checked. Enter your name and contact information into the text box below it, and then click *Save* when you are done.