

**DEPARTMENT OF THE INTERIOR
BUREAU OF OCEAN ENERGY MANAGEMENT MANUAL**

TRANSMITTAL SHEET

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SUBJECT: Administrative
Part 380: Records Management
Chapter 1: Program Elements and Responsibilities
Chapter 2: Electronic Records Management

EXPLANATION OF MATERIAL TRANSMITTED:

These chapters establish Bureau of Ocean Energy Management (BOEM) records management policy and delineate responsibilities to ensure the preservation of records that document the organization, functions, policies, procedures, decisions, and essential transactions of the bureau. They also provide techniques to be used regarding the control and disposition of records created and/or maintained by the BOEM. These chapters replace MMS 380.1, dated September 17, 1999, MMS 380.2, dated January 28, 2004, MMS 380.2-187, dated August 21, 1995, and MMS 380.2-241, dated March 12, 1997.

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FILING INSTRUCTIONS:

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Department of the Interior
Bureau of Ocean Energy Management Manual

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Part 380: Records Management

Chapter 2: Electronic Records Management

Originating Office: Office of Budget and Program Coordination

1. Purpose. The purpose of this Manual Chapter is to provide policy and responsibilities for the creation, maintenance, use, and disposition of electronic records and protecting and safeguarding of Federal electronic records and information within the Bureau.

2. Scope. This Manual Chapter applies to all of the Bureau's Regions and Offices and their employees, contractors, consultants, interns, students, and volunteers (hereinafter referred to as "Bureau staff").

3. Authorities. Refer to Manual Chapter 1 of this Bureau Manual Part 380.

4. Definitions. Refer to Appendix 1 for terms and definitions used within this Manual Chapter.

5. Objectives. The Bureau's Electronic Records Management Program objectives are to provide policy, planning, and guidance that ensure:

A. Proper management of records in electronic format that meets archival requirements for records that have permanent or long-term temporary retentions; and

B. Defined responsibilities for all Bureau staff, with specific responsibilities for the Bureau Records Officer, program manager(s), and Information Technology (IT) staff.

6. Responsibilities.

A. Bureau Director:

1. Delegates the responsibility for guidance, support, and general oversight of the Bureau's Records Management Program to the Information Technology Manager.

2. Manages Bureau information resources.

B. Information Technology Manager:

1. Implements and enforces applicable electronic records management policies and procedures.

2. Supports efficient and cost-effective use of electronic recordkeeping within the Department.
3. Performs periodic monitoring of Bureau-wide electronic recordkeeping activities.

C. Bureau Records Officer:

1. Monitors compliance with provisions of this Chapter and all other records management policies.
2. Establishes procedures for regular recopying, reformatting, and other necessary maintenance to ensure the retention and usability of electronic records throughout their authorized life cycle.
3. Implements records migration plan if affiliated electronic information system (EIS) is approaching technological obsolescence.
4. Acts as liaison with the Department in matters that relate to electronic recordkeeping requirements.
5. Participates and represents Bureau in Department initiatives for electronic records management.

D. Managers and Supervisors:

1. Work with the Bureau Records Officer to identify and schedule electronic records to meet the recordkeeping requirements of this Bureau Manual.
2. Coordinate EIS activity with the Bureau Records Officer and Regional/office Records Liaisons (RL) to ensure compliance with regulations, OMB Circular A-130, and other applicable policies and procedures, and ensure capture of records within the EIS or Departmental records and document management system.
3. Incorporate records management functions into the design, development, and implementation of EIS or the designated Departmental records and document management system.

E. Bureau staff:

1. Coordinate activities for commissioning and decommissioning of information systems with the Bureau Records Officer, relevant managers/supervisors, and respective RL(s), as applicable, to preserve permanent and long-term temporary records and comply with NARA regulations.
2. Maintain electronic records by properly identifying, labeling, categorizing, and classifying records regardless of media type in accordance with NARA-approved record schedules.
3. In coordination with the applicable RL(s), include electronic records on regional/office file plans to include record schedules, system or file names, location or path of records, and descriptions.

4. Apply retention and disposition instructions for records in accordance with NARA-approved record schedules.

7. Requirements.

A. Electronic Records. Electronic formats and media are appropriate for maintaining Bureau records as defined in 36 CFR 1236. Records guidance is in place to provide for reliability, authenticity, integrity, usability, content, context, and structure.

1. Physical or non-electronic records may be converted to electronic format unless specific legal requirements prevent the conversion. Conversion from physical record to electronic records will include requirements to allow for the designation of the electronic record to be the official record and allow for the elimination of the physical records.

2. Metadata will be captured for electronic records that support records management and OMB A-130 requirements.

3. All electronic records must be managed in an approved EIS, electronic recordkeeping system, or in the Department-approved Electronic Records Management System. Identification, maintenance, and disposition will be performed in accordance with NARA-approved records schedules.

4. Digital and electronic signatures, in support of electronic content, are acceptable for authenticity of electronic records in accordance with the Government Paperwork Elimination Act (GPEA) and NARA guidance.

5. All electronic records will be preserved regardless of records location, e.g., social media sites, shared drives, internet and intranets sites, and cloud environments.

B. Electronic Information Systems.

The Bureau Records Officer must identify all EIS containing Agency records and ensure that the records in the systems are scheduled appropriately. Official records created using desktop applications (word-processing, spreadsheets, etc.) must be managed in an approved EIS.

C. Preservation Requirements.

All EIS containing Federal records must have a preservation plan that:

1. Ensures records are retrievable, usable, and accessible throughout their life cycle.
2. Identifies a budget and plan for migration of records and their associated metadata to new storage media or format.

3. Transfers permanent records to NARA in accordance with NARA-approved retention schedules.

4. Converts records to a standard interchange format, National Institute of Standards and Technology (NIST), NARA-accepted format, or another approved format.

D. Acceptable File Formats.

File formats for the preservation of electronic records used by agencies when transferring permanent electronic records to NARA are identified within 36 CFR Chapter XII, Subchapter B and NARA Bulletin 2014-04, Format Guidance for the Transfer of Permanent Electronic Records. Contact the Bureau Records Officer or research www.nara.gov for additional guidance on electronic record formats.

E. Electronic Mail and Electronic Content.

E-mail within the Department's network is captured automatically in its native format and preserved by the approved Department Electronic Records Management System. Disposition will be performed within the electronic records management system in accordance with the NARA-approved Department Records Schedule. Electronic content such as social media, text messages, mobile media, internal websites, and other common forms of information must be preserved in accordance with NARA guidance and maintained within the Department Electronic Records Management System. Bureaus operating outside of the Departmental system or not using the Departmental system must obtain Departmental Records Officer approval in advance and coordinate the capture and preservation of electronic records in accordance with records management Departmental policies and guidance, OMB mandates, NARA bulletins, and regulations and laws.

Appendix 1. Definitions

The following definitions apply to Chapters 1 and 2 published in this Part 380 Bureau Manual. These definitions are based upon Departmental terms, NARA guidance, and/or NARA regulations.

A. Adequate Preservation. Preserving accessibility to the records and information content throughout the records life cycle. Preservation encompasses the activities which prolong the usable life of archival records regardless of technology (paper, electronic file format, backup media, etc.). Preservation activities are designed so that all records will be retrievable and usable for as long as needed to conduct Bureau business. Care must be taken to plan and budget for the migration of records and associated metadata to new storage media or formats to ensure accession of permanent records to NARA and to avoid records loss.

B. Adequate and Proper Documentation. A record of the conduct of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of person directly affected by the agency's activities.

C. Bureau staff. Includes, but is not limited to, employees, contractors, consultants, volunteers, interns, and students.

D. Departmental Records Schedule. A flexible records schedule that aligns similar lines of business records with streamlined and simplified management across an organization's enterprise. For the purposes of the Department of the Interior, the enterprise is at the Department level.

E. Disposition. Those actions taken regarding records that are no longer needed to support agency business, e.g., destruction or archiving.

F. Electronic Information Systems (EIS). An information system that contains and provides access to computerized Federal records and other information. Electronic information systems are not limited to major applications and include databases and spreadsheets that have been created to capture data and information and used for program business functions and decision-making activities.

G. Electronic Records and Document System. The enterprise-wide system that stores, preserves, manages, retrieves, and produces official copies of record content regardless of media. The enterprise-wide system complies with recordkeeping requirements defined in the Code of Federal Regulations (36 CFR Part 1236).

H. Federal Records. Defined in 44 U.S.C. 3301 as including ``all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions,

policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them.”

1. “Recorded information includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.”

2. “Made” means the act of creating and recording information by agency personnel in the course of their official duties, regardless of the methods, file format, or media involved.

3. “Received” means the acceptance or collection of documentary materials by or on behalf of any agency or agency personnel in the course of their official duties regardless of their origin for example, other units of their agency, private citizens, other agencies, contractors, Government grantees and regardless of how transmitted, e.g., in person or by messenger, mail, electronic means, or by any other method. In this context, the term does not refer to misdirected materials. It may or may not refer to loaned or seized materials depending upon the conditions under which such materials came into agency custody or were used by the organization. Advice of the Office of the Solicitor should be sought regarding the “record” status of loaned or seized documentary materials.

4. “Preserved” means the filing, storing, or other method of systemically maintaining documentary materials by the organization. The term covers materials not only actually filed or otherwise systematically maintained but also those temporarily removed from existing filing systems.

5. “Appropriate for preservation” means those documentary materials made or received which, in the judgment of the Bureau, should be filed, stored, or otherwise systematically maintained because of the evidence of the organization's activities or the information they contain even if the materials are not covered by its current filing maintenance procedures. The term also refers to activities associated with the care and maintenance of permanent records.

I. Federal Records Center. An establishment maintained and operated by the Archivist (NARA Federal Records Center) or by another Federal agency primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time and need not be retained in office equipment or space.

J. Files Maintenance and Disposition Plan (File Plans). A plan designating: 1) physical or logical location(s) where program files are to be maintained; 2) specific types of files to be maintained at the location(s); and 3) the organizational element(s) that have custodial responsibility. For files held in a Bureau, a file plan contains an identifying record, which consists of: schedule number, title, description, and disposition instructions.

K. Format. Structure used to capture and maintain records.

L. Media – Physical form of recorded information. Includes paper, film, disk, tape, and other materials on which information can be recorded.

M. Metadata. Preserved contextual information describing the history, tracking and/or management of an electronic document.

N. NARA-compliant Storage Facilities (records centers). Storage facilities which meet the 36 CFR §1234 storage standards. NARA-compliant storage facilities include NARA Federal Records Centers, Department-operated records centers, or certain commercial records storage facilities.

O. Non-record Materials may include the following:

1. Stocks of publications and of processed documents such as blank forms.
2. Exact duplicate copies of documents kept only for convenience or reference.
3. Museum property acquired by the Department solely for exhibition purposes.
4. Books and other library materials purchased or otherwise acquired by the Bureau for reference use.
5. Personal papers materials such as diaries, journals, personal correspondence, messages, notes, materials documenting outside business, professional, political activities, or other personal materials, regardless of media, that do not meet the criteria contained in Item H. Federal Records within this Appendix. Some personal materials, depending upon their use, may be considered Bureau records. Refer to NARA's "Documenting Your Public Service" for additional guidance concerning personal materials.

P. Official Record. A record legally recognized, of enforceable quality, and designated as a record to be kept for the full retention period.

Q. OMB A-130 Requirements. Refers to the program areas identified in the authorities' section of A-130 along with the Federal Records Act. OMB A-130 requirements are activities to ensure compliance, with respect to privacy and security with the Privacy Act, the Freedom of Information Act, the Computer Security Act, the Government Paperwork Elimination Act, and related statutes that include, but are not limited to: records management; capital planning; strategic planning; information management; information collection and dissemination; system development and acquisition; and policies, practices and programs pertaining to security, protection, sharing, and disclosure of information.

R. Record Materials. Used to conduct Department business and may include, but are not limited to, the following types of documentary materials:

1. Formal and informal correspondence, such as incoming and outgoing letters, emails, memoranda, notes, messages, reports, minutes from meetings, forms, studies, evaluations, position papers, briefing materials, organizational charts, directive manuals and handbooks, case or project files, decision documents, and other similar text or graphic materials that document the organization of the Bureau and its activities.

2. Cartographic materials such as maps, plats, aerial photographs, engineering drawings, and architectural drawings relating to the Bureau or its activities.

3. Electronic data, data files, and computer system documentation for electronic information systems created or maintained by the Bureau to generate various types of text or digital information used to document the Bureau and/or its activities. The input and output materials used in conjunction with electronic information systems may also be considered Bureau records.

4. Audio-visual materials such as still and motion pictures, sound and video recordings, slides, and presentations that document the organization, activities, decisions, and historical events of the Bureau.

5. Serialized sets of publications, brochures, pamphlets, or posters, and books created by the Bureau that document the organization or the activities of the Bureau.

6. Work-related materials (also called working papers), such as preliminary drafts, rough notes, calculations, diaries, journals, calendars, schedules, and other similar materials assembled or created and used to prepare or analyze other documents or if they:

a. Are circulated or made available to employees, other than the originator, for official purposes such as for approval, comment, action, recommendation, follow-up, or to communicate with staff about Bureau business; and

b. Contain unique information such as substantive annotations or comments that add to a proper understanding of the Bureau's formulation and execution of basic policies, decisions, actions, or responsibilities.

7. Manual or automated indexes or other types of finding aids that relate to and facilitate retrieval of information contained in record categories listed in definition H. Federal Records of this Appendix.

S. Recordkeeping Requirements. A term used to refer to requirements identified within statutes, regulations, agency directives, or other issuances specifying which records are to be created or received and maintained by Bureau staff.

T. Records Freeze or Litigation Hold. In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

U. Records Management Life Cycle. The management concept that records pass through three stages: creation, maintenance and use, and disposition. The first stage of the records management life cycle begins when a need for information or a record is identified. The need may result from new legislative, regulatory, or administrative requirements. The creation phase may also begin when the organization plans to change existing recordkeeping procedures. This would include plans to automate manual recordkeeping systems.

V. Records Schedule. A published manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115 Disposition of Federal Records or issued by NARA in the General Records Schedule.

W. Records Liaison. Individual designated by program management that provides assistance to programs in understanding Bureau records management policies and procedures and serves as a liaison between the Bureau Records Officer and program managers and staff.

X. Responsible Records Officer. A Bureau Records Officer that has been delegated authority for a NARA Record Group. Responsible Records Officers may have responsibilities for multiple Bureaus or a large office within a Bureau.

Y. Vital Records Program. The policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the vital records needed to meet operational responsibilities under national security emergencies or other emergency conditions or to protect the Government's rights and those of its citizens. This is a program element of an agency's emergency management function. Vital records are divided into two categories – Emergency operating and Legal and financial rights records – as defined below:

1. Emergency operating records are those types of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency, or
2. Legal and financial rights records are that type of vital records essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples of these records are accounts receivable records, social security records, payroll records, records containing proof of ownership, legal proceeding decisions, retirement records, contractual obligations, and similar records. These records were formerly defined as rights-and-interests records.