

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

TRANSMITTAL SHEET

Version No: 001

Date: March 3, 2021

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.

Walter D. Cruickshank
Deputy Director

FILING INSTRUCTIONS:

REMOVE:

<u>Part</u>	<u>Chapter</u>	<u>Pages</u>	<u>Release</u>
380	1	1-2	253
380	2	1-5	290
380	2	1	187
380	2	i-7-10	241

INSERT:

<u>Part</u>	<u>Chapter</u>	<u>Pages</u>	<u>Version</u>
380	1-2	1-17	001

Department of the Interior
Bureau of Ocean Energy Management Manual

Effective Date: 03/03/2021

Version No.: 001

Series: Administrative

Part 380: Records Management

Chapter 1: Program Elements and Responsibilities

Originating Office: Office of Budget and Program Coordination

1. Purpose. This policy establishes principles, objectives, responsibilities, and requirements for managing the Bureau's records to ensure compliance with Federal laws and regulations and Department of the Interior (DOI) policies and best practices for managing records, regardless of medium, e.g., physical or electronic. This Bureau-wide policy provides the framework for specific guidance and detailed operating procedures governing the creation, maintenance, use, and disposition of Federal records as well as the safeguarding of Federal records and information within the Bureau.

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

- A. The establishment of a Records Management Program with responsibilities over records management activities;
- B. The proper identification, maintenance, and use of records, regardless of format and medium;
- C. Efficient, prompt, and systematic disposition of records;
- D. The transfer or retirement of records in order to limit the use of high-cost space and equipment and comply with approved records disposition schedules;
- E. Compliance with National Archives and Records Administration (NARA) regulations and guidance, executive orders, and Office of Management and Budget (OMB) A-130, Managing Information as a Strategic Resource, on the management of all electronic records;
- F. Protection of legal and financial rights of the federal government and persons directly affected by the Bureau's activities;
- G. Management of information and records throughout all phases of the records life cycle;
- H. Segregation of records and non-records;
- I. Records management and preservation requirements are incorporated into the information system life cycle phases;

J. Safeguards are in place that prevent unauthorized access, removal, loss, and destruction of Bureau records; and

K. Commensurate training and guidance are provided for all Bureau staff on the Bureau Records Management Program, including roles and responsibilities.

3. Authorities.

A. 44 U.S.C. Chapter 31 - Records Management by Federal Agencies (Federal Records Act);

B. 44 U.S.C. Chapter 33 - Disposal of Records;

C. 36 CFR Chapter XII, Subchapter B - Records Management (NARA);

D. Office of Management and Budget (OMB) Circular A-130, Managing Information as a Strategic Resource, dated 07/28/2016;

E. OMB Memorandum M-19-21 - Transition to Electronic Records dated 6/28/2019; and

F. Departmental Manual - 380 DM 1 (Records Management).

4. Definitions. Refer to Appendix 1 in Manual Chapter 2 for terms and definitions used within this Manual Chapter.

5. Policy. This policy establishes requirements under which Bureau records will be effectively and efficiently managed throughout their life cycle to facilitate the accomplishment of the Bureau's programmatic and administrative missions, preserve official records in accordance with applicable statutory and regulatory requirements, and promote access to information by Bureau staff, Bureau partners, and the public, as appropriate. Each region/office within the Bureau is responsible for working with the Bureau Records Officer to establish and maintain an active and continuing records management program with the following minimum requirements:

A. Create, receive, and maintain official records providing adequate and proper documentation as evidence of the Bureau's activities, functions, policies, decisions, procedures, and essential transactions;

B. Manage records, in any medium and format, in accordance with applicable statutes, regulations, and Bureau policy and guidance;

C. Migrate records contained in electronic information systems and legacy systems, when feasible and necessary;

D. Secure records to protect the legal and financial rights of the federal government and persons affected by federal activities;

E. Implement a plan to protect vital records that includes a damage assessment and the recovery of any records affected by an emergency or disaster; and

F. Ensure disposition instructions are complied with as specified in the approved records schedules.

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. Approves designation of a Bureau Records Officer.

B. Information Technology Manager:

1. Informs the Departmental Records Officer of the Bureau Records Officer assignment.
2. Integrates the Bureau's Records Management Program into a broader information management framework.
3. Incorporates records management requirements and policies into the Bureau's overall information technology management policy and planning to ensure adequate recordkeeping requirements are established and implemented for all electronic information systems.
4. Assigns overall responsibility for the records management aspects of centrally provided information technology infrastructure, including national or local area network applications.
5. Assigns the Bureau Records Officer to develop and implement a comprehensive Records Management Program consistent with DOI and NARA records management guidelines.

C. Bureau Records Officer:

1. Leads, manages, and implements the Bureau Records Management Program.
2. Ensures Bureau Senior Officials are aware of their programmatic, administrative, and individual record management responsibilities.
3. Advises the Bureau on records management issues and develops Bureau-wide records management policies, procedures, guidance, and training materials.
4. Maintains a Bureau Records Inventory.
5. Reviews office file plans annually with respective records liaisons and subject-matter experts to ensure they are current and updates them as necessary.

6. Coordinates records dispositions (destructions and transfers).
7. Coordinates any records schedules questions and updates with the Departmental Records Officer.
8. Promulgates and communicates Bureau-wide policies and guidance that are established in accordance with NARA regulations and Departmental policy and reflect records management missions and goals.
9. Coordinates and approves the transfer of permanent records to the National Archives.
10. Serves as the Bureau's lead on records management issues with the Department and other Federal agencies, including Federal oversight agencies such as the OMB, NARA, and the General Services Administration (GSA).
11. Coordinates with the Office of the Solicitor and other offices that may require suspension of disposition due to litigation preservation holds.
12. Provides technical advice and training to all regions/offices on establishing, implementing, and maintaining an effective Bureau Records Management Program.
13. Conducts periodic evaluations of the Bureau's recordkeeping practices to validate their compliance with NARA, Department, and/or Bureau applicable laws, regulations, policies, standards, and procedures to ensure that recordkeeping requirements are being met within the Bureau.
14. Implements and uses the Departmental-approved electronic records management system.
15. Ensures records management requirements are addressed in the Bureau processes for capital planning, enterprise architecture, business process design, and the systems development life cycle.
16. Reviews, oversees, and ensures compliance with requirements for any Bureau electronic information system (EIS) containing records.
17. Ensures standard records management language is defined and shared with the Bureau of Safety and Environmental Enforcement (BSEE), Acquisition Management Division per NARA requirements.
18. Reviews the vital records inventory annually to identify, protect, and manage vital records as part of the continuity of operations plan to execute mission-essential functions and essential support activities. The Bureau Records Management Program must also address the mitigation of damaged records.
19. Maintains current documentation on appointed Records Liaisons (RL) and provides guidance and direction to the RLs.

20. Ensures that all employees understand that they are responsible for creating and preserving records that adequately and properly document the organization, functions, policies, decisions, procedures, and essential transactions of their duties.

D. Regional Directors and Office Chiefs:

1. As directed by the Records Officer, ensure implementation of Federal regulations, Departmental policies and procedures, and the directives of the Bureau Records Management Program within their area of responsibility.
2. Designate one or more Regional/Office RL who is accountable to the Regional Director/Office Chief (or delegated authority) to help implement the requirements and directives of the Bureau's Records Management Program within the region or office.
3. Ensure that the RL(s) has adequate skills, resources, time, and authority to perform the role.
4. Develop and disseminate directives and operating procedures, as needed, to supplement Bureau-wide policy to meet the unique records management needs of their regions/offices and to support the Bureau Records Management Program.

E. Records Liaisons:

1. Serve as the RL between the Bureau Records Officer and regions/offices.
2. Create and update regional/office procedures within their areas of responsibility in accordance with established NARA, Departmental, and Bureau Records Management Program guidance.
3. Provide guidance and technical assistance to regional/office managers, supervisors, and staff on the life cycle of records management (creation, maintenance, and use, and disposition).
4. Under the oversight of the Records Officer, perform regional/office records management evaluations within their areas of responsibility to ensure that recordkeeping requirements are being implemented, including for vital records.
5. Disseminate directives, policies, and procedures developed by the Bureau Records Management Program to regional/office managers, supervisors and staff.
6. Develop regional/office procedures ensuring records under their control that document program and administrative activities are organized, managed, and can be found when needed.
7. Ensure that Bureau Records Management Program procedures are implemented within the region/office for all record media, including electronic and other special records.
8. Assist with regional/office disposition activities, including the transfer of inactive records, transfer of permanent records to the National Archives, and destruction of records in accordance with approved records schedules.

9. Maintain regional/office records transfer and destruction documentation.
10. Review regional/office records schedules periodically to ensure they are accurate and initiate changes through the Bureau Records Officer if they are inaccurate.
11. Coordinate the identification and maintenance of regional/office vital records and submit an annual list of vital records through Regional Directors/Office Chiefs to the Bureau Records Officer.

F. Contracting Officer and Contracting Officer Representative:

Consult with the Bureau Records Officer in selection, addition, or deletion of any contract clauses that impact information handling and records management including, but not limited to:

1. Information sensitivity and controlled access.
2. Information handling and records disposition.
3. Information and records ownership rights to data and records created or generated as part of the contract.
4. Protection and preservation of records created or generated as part of the contract.

G. Managers and Supervisors:

1. Comply with recordkeeping requirements established by the Federal Records Act, NARA, Federal regulations, Bureau policy, and other Federal requirements.
2. Ensure employees have completed annual mandatory records management training and understand their records management responsibilities.
3. Work with Bureau Records Officer and Regional/office RL(s) to develop procedures to manage records throughout the records life cycle and disposition in accordance with NARA approved records schedules.
4. If needed, identify records repositories and personnel to assist the Regional/office RL(s) in their duties.
5. Coordinate with BSEE, Human Resources to ensure departing employees have identified the location of records and acknowledge, within the exiting process, that records have been received.
6. Create a budget plan for records management activities and projects, e.g., storage, shredding, scanning, etc.

H. Employees:

1. Comply with the requirements described in records retention procedures and all applicable records management guidance.
2. Cooperate with the Bureau Records Officer, their RL(s), managers, and supervisors with respect to records management.
3. Create, receive, and manage the records necessary to document the Bureau's official business, including those records generated by Bureau contractors, in accordance with Bureau Records Management Program recordkeeping requirements.
4. Manage and safeguard records in accordance with the Bureau Records Management Program and guidance provided by the Bureau Records Officer, RL(s), and managers/supervisors.
5. Coordinate with the Bureau Records Officer in the proper application of the appropriate records schedules.
6. In consultation with their respective RL(s), implement disposition of records under their control in accordance with Bureau-approved policies, NARA-approved records schedules, and Federal regulations.
7. Identify any actual or potential loss of records and information to their supervisor, their RL, and the Bureau Records Officer.
8. Never remove records from the Bureau without proper authorization from the Bureau Records Officer.
9. Identify records within their custody to their supervisor or office manager when leaving their position or exiting Federal service and coordinate and certify transfer with their supervisor, office manager, or the Bureau Records Officer.
10. Coordinate commissioning and decommissioning project activities for information systems with managers/supervisors, Business and System Owners, respective RL(s), as applicable, and Bureau Records Officer in order to preserve records in formats accepted by NARA and in compliance with NARA regulations.
11. Comply with legal obligations including, but not limited to, preservation and litigation holds.
12. Complete any mandatory records management training for understanding records management responsibilities.
13. File records for safe storage and efficient retrieval and maintain personal papers and non-record materials separately from official Bureau records.

7. Legal Penalties. Any Federal employee, contractor, consultant, intern, or volunteer who willfully and unlawfully conceals, removes, mutilates, obliterates, falsifies, or destroys Federal records shall be fined or imprisoned not more than three years, or both, and shall be removed from Federal service (18 U.S.C. § 2071).