

# **Department of the Interior**

## **Bureau of Safety and Environmental Enforcement Manual**

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**Series:** Administrative

**Part 380:** Records Management

**Chapter 1:** Program Elements and Responsibilities

**Originating Office:** Information Management Division, Office of Administration

1. **Purpose.** The policy establishes principles, 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. This Bureauwide policy provides the framework for specific guidance and detailed operating procedures governing the records management program and implementation.

### 2. **Objectives.**

A. To provide for the proper maintenance and use of records.

B. To ensure efficient, prompt, and systematic disposition of records.

C. To transfer or retire records in order to limit the use of high-cost space and equipment and comply with approved records disposition schedules.

D. To establish a records management program and responsibilities over records management activities under the purview of the Associate Director for Administration.

### 3. **Authorities.**

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

<http://www.archives.gov/about/laws/fed-agencies.html>

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

<http://www.archives.gov/about/laws/disposal-of-records.html>

C. 36 CFR Parts 1220 to 1238 (National Archives and Records Administration (NARA))

<http://www.archives.gov/about/regulations/subchapter/b.html>

D. 41 CFR Section 102-193.5 to 102-193.25 (General Services Administration (GSA))

E. Departmental Manual (380 DM 1 Records Management)

[http://elips.doi.gov/app\\_DM/act\\_getfiles.cfm?relnum=2989](http://elips.doi.gov/app_DM/act_getfiles.cfm?relnum=2989)

4. **General.** The Bureau's records disposition schedule is a listing of record categories and the length of time the Bureau is required to keep official records. Employees should consult the schedule and all freezes/holds placed on records prior to disposing of them. Compliance with the records disposition schedule is mandatory. Records disposition activities include the transfer of records to a Federal Records Center (FRC), or NARA approved records storage facility, accessioning permanent records to NARA, the disposal of temporary records, or occasionally, the donation of records. The records disposition schedule shall be used to maintain those records considered permanent as a guide to structure the filing system (using the designated records schedule subject categories) and to save physical space by disposing of or transferring records no longer needed by the Bureau to an authorized records storage facility and/or FRC.

5. **Definitions.** For records management definitions, see <http://www.archives.gov/about/regulations/part-1220.html#1220.18>.

6. **Policy.** This policy establishes specific requirements under which Bureau records will be effectively and efficiently managed throughout their lifecycle 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 office within the Bureau is responsible for establishing and maintaining 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.

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

C. Maintain electronic records, including electronic mail records, in the enterprisewide electronic content management system, when available, and migrate legacy systems, when feasible.

D. Print and file records in a paper recordkeeping file system when an enterprisewide electronic content management system is not available.

E. Maintain records according to the Bureauwide designated file structure allowing for timely access and retrieval.

F. Secure records to protect the legal and financial rights of the Government and persons affected by Government activities.

G. Implement a plan to protect vital records and assess damage to and the recovery of any records affected by an emergency or disaster.

H. Ensure disposition instructions for records are complied as specified in the approved records schedules.

## 7. Responsibilities.

A. The Bureau Director is responsible for creating and preserving records that adequately and properly document the organization, functions, policies, decisions, procedures, and essential transactions of the Bureau. This responsibility is delegated to the Associate Director (AD) for Administration.

B. The AD for Administration is responsible for leadership, planning, overall policy, guidance, and general oversight of the records management program for the Bureau, and its incorporation into the broader information resources management framework. The AD for Administration will:

- (1) Incorporate 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.
- (2) Promulgate and communicate Bureauwide policies and guidance that reflect records management missions and goals and incorporate Federal requirements.
- (3) Ensuring that Alternate Management Control Review and other internal reviews consider a records management component, as appropriate.
- (4) Assign overall responsibility for the records management aspects of centrally provided information technology infrastructure, including national/local area network applications.
- (5) Conduct periodic evaluations of the Bureau's recordkeeping requirements in order to validate their currency and ensure that recordkeeping requirements are being managed within the Bureau as part of the Administrative Management Assistance Review and oversight program.
- (6) Ensure employees are aware of their records management responsibilities and established recordkeeping requirements.
- (7) Assign a Bureau Records Officer (BRO) to develop and implement a comprehensive records management program consistent with DOI and NARA records management program guidelines.

C. The BRO is responsible for:

- (1) Leading and managing the Bureauwide records management program.
- (2) Ensuring Bureau Senior Officials are aware of their programmatic and individual record management responsibilities.
- (3) Advising the Bureau on records management issues and developing Bureauwide records management policies, procedures, guidance, and training materials.

- (4) Coordinating and approving the Bureau's records schedule submissions to NARA and the transfer of permanent records to the National Archives.
- (5) Serving as the Bureau's focal point on records management issues with the department and other Federal agencies, including Federal oversight agencies such as the Office of Management and Budget (OMB), NARA, and GSA.
- (6) Providing technical advice and training to all Bureau areas on establishing and maintaining an effective records management program.
- (7) Evaluating recordkeeping practices to determine the effectiveness of the program.
- (8) Maintaining current documentation on appointed Program Records Officers (PRO) and File Custodians (FC).

D. Regional Directors and Division Chiefs/Supervisors are responsible for:

- (1) Designating a PRO who is accountable to BRO or other official designated to oversee the Bureau's records management program.
- (2) Ensuring the PRO has adequate skills, resources, time, and appropriate authority to perform the job.
- (3) Implementing a records management program within their area of responsibility to accomplish the objectives identified in Federal regulations and departmental and Bureau policies and procedures.
- (4) Developing records management oversight roles and communication networks with all business units including field offices and other facilities, as appropriate, to ensure that the records management program is implemented at all sites under their jurisdiction.
- (5) Developing and disseminating directives and operating procedures, as needed, to supplement Bureauwide policy to meet the unique records management needs of their organizations and to support a records management program within the Bureau.

E. The PROs are responsible for:

- (1) Creating and updating procedures within their areas of responsibility in accordance with established NARA, Departmental, and Bureau records management program.
- (2) Performing evaluations of their records management and vital records program.
- (3) Developing file plans and procedures so records are organized and can be found when needed.

- (4) Assisting with disposition activities, including the retirement of inactive records, transfer of permanent records to the National Archives, and destruction of records in accordance with approved records schedules.
- (5) Reviewing office records schedules periodically to ensure they are current and initiate changes through the BRO if they are not current.
- (6) Coordinating the identification and maintenance of vital records and submitting an annual list of vital records through senior management to the BRO.
- (7) Initiating and keeping records transfer, retirement, and destruction documentation.
- (8) Conducting briefings and training sessions on the Bureau's records management program.
- (9) Organizing, maintaining, and training the network of appointed FCs within their areas of responsibility.
- (10) Ensuring file custodians are formally appointed by letter, signed by appropriate manager, and forwarding a copy to the BRO.

F. The FCs are responsible for:

- (1) Coordinating with their respective PRO on all records management issues.
- (2) Applying the requirements of all prescribed directives and guidance to the management of records under their control.
- (3) Submitting their Files Inventory and Disposition Plan identifying all files maintained to their PRO by July 1 annually.
- (4) Reviewing periodically the organization's recordkeeping requirements in order to validate that the files are current and to ensure that recordkeeping requirements are being implemented. All findings should be forwarded to the PRO.

G. Employees are responsible for:

- (1) Complying with the requirements described in records retention procedures and all applicable records management guidance.
- (2) Incorporating in the Bureau records system all essential information on their major actions.
- (3) Cooperating with their PRO and FC.
- (4) Creating and managing the records necessary to document the Bureau's official business, including those records generated by Bureau contractors, in accordance with Bureau recordkeeping requirements.

(5) Destroying records online in accordance with approved records schedules and never removing records from the Bureau without proper authorization.

(6) Filing records for safe storage and efficient retrieval and maintaining personal papers and nonrecord materials separately from official Bureau records.

8. **Procedures.** For the procedures on the maintenance, use, and disposition of records see <http://www.boemre.gov/adm/mmsmind3page.htm>.

9. **Legal Penalties.** Any Federal employee who willfully and unlawfully conceals, removes, mutilates, obliterates, falsifies, or destroys Federal records shall be fined or imprisoned not more than 3 years, or both, and shall be removed from Federal service (18 U.S.C. Chapter 101, Section 2071).