

Department of the Interior Bureau of Ocean Energy Management Manual

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Series: Administrative

Part 380: Records Management

Chapter 1: Program Elements and Responsibilities

Office of Primary Responsibility: Department of the Interior, Office of the Chief Information Officer, Records and Information Management

BOEMM 380.1

1.1 **Purpose.** This policy establishes principles, objectives, responsibilities, and requirements for managing Bureau of Ocean Energy Management (BOEM) 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. This chapter is established and maintained by the Department's Office of the Chief Information Officer (OCIO), Records and Information Management, in consultation with BOEM. OCIO Records and Information Management serves as the lead for all records management matters and collaborates with BOEM to make decisions and address any concerns or requests from BOEM.

1.2 **Scope.** This chapter applies to all BOEM employees, contractors, consultants, interns, students, and volunteers (hereinafter referred to as "bureau staff").

1.3 **Objective.** The BOEM 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 Records Management Program, including roles and responsibilities.

1.4 **Authority.**

A. 44 U.S.C. Chapter 31, "Records Management by Federal Agencies," also known as the "Federal Records Act."

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

C. 36 CFR Chapter XII, Subchapter B, "Records Management."

D. Office of Management and Budget (OMB) Circular A-130, "Managing Information as a Strategic Resource."

E. OMB Memorandum M-19-21, "Transition to Electronic Records."

F. OMB Memorandum M-23-07, "Update to Transition to Electronic Records."

G. NARA Bulletin 2018-01, "Updating NARA Bulletin 2014-04, Format Guidance for the Transfer of Permanent Electronic Records."

H. NARA Bulletin 2015-02, "Guidance on Managing Electronic Messages."

I. NARA Bulletin 2015-04, "Metadata Guidance for the Transfer of Permanent Electronic Records."

J. NARA Bulletin 2014-04, “Format Guidance for the Transfer of Permanent Electronic Records.”

K. 380 Departmental Manual 1, “Records Management Program Roles and Responsibilities.”

1.5 **Definitions.** Refer to Appendix 1 in BOEM Manual 380.2, “Electronic Records Management,” for terms and definitions used within this chapter.

1.6 **Policy.** This policy establishes 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 region/office within the bureau is responsible for working with the Responsible 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.

Any Federal employee, contractor, consultant, intern, or volunteer who willfully and unlawfully conceals, removes, mutilates, obliterates, falsifies, or destroys Federal records shall be subject to discipline which may include fines, imprisonment, and removal from Federal service (18 U.S.C. 2071).

1.7 **Responsibilities.**

A. Director:

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

(2) Approves designation of a Responsible Records Officer.

B. Information Technology Manager:

(1) Informs the Departmental Records Officer of the Responsible Records Officer assignment.

(2) Integrates the 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 Responsible Records Officer to develop and implement a comprehensive Records Management Program consistent with DOI and NARA records management guidelines.

C. Responsible Records Officer:

(1) Leads, manages, and implements the Records Management Program.

(2) Ensures the Senior Leadership Team is 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 (RLs) 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.

(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 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) Participate in the design, development, and implementation of new bureau electronic information systems (EIS) as defined in 36 CFR 1236, subparts B and C.

(17) Ensures standard records management language is defined and shared with the Department 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 Records Management Program must also address the mitigation of damaged records.

(19) Maintains current documentation on appointed RLs 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. Associate Directors, Office Directors, and Regional Directors:

- (1) As directed by the Responsible Records Officer, ensure implementation of Federal regulations, Departmental policies and procedures, and the directives of the Records Management Program within their area of responsibility.
- (2) Designate one or more regional/office RL who is accountable to the Associate Director/Office Director/Regional Director (or delegated authority) to help implement the requirements and directives of the 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 Records Management Program.

E. Records Liaisons:

- (1) Serve as the RL between the Responsible Records Officer and regions/offices.
- (2) Create and update region/office procedures within their areas of responsibility in accordance with established NARA, Departmental, and Records Management Program guidance.
- (3) Provide guidance and technical assistance to region/office managers, supervisors, and staff on the lifecycle of records management (creation, maintenance, use, and disposition).
- (4) Under the oversight of the Responsible Records Officer, perform region/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 Records Management Program to region/office managers, supervisors, and staff.
- (6) Develop region/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 Records Management Program procedures are implemented within the region/office for all record media, including electronic and other special records.

(8) Assist with region/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 region/office records transfer and destruction documentation.

(10) Review region/office records schedules periodically to ensure they are accurate and initiate changes through the Responsible Records Officer if they are inaccurate.

(11) Coordinate the identification and maintenance of region/office vital records and submit an annual list of vital records through Associate Directors/Office Directors/Regional Directors to the Responsible Records Officer.

F. Contracting Officer and Contracting Officer's Representative: Consult with the Responsible 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 Responsible Records Officer and region/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 region/office RL(s) in their duties.

(5) Coordinate with the Department's Office of Human Capital 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. Bureau Staff:

(1) Comply with the requirements described in records retention procedures and all applicable records management guidance.

(2) Cooperate with the Responsible 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 Records Management Program recordkeeping requirements.

(4) Manage and safeguard records in accordance with the Records Management Program and guidance provided by the Responsible Records Officer, RL(s), and managers/supervisors.

(5) Coordinate with the Responsible 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 Responsible Records Officer.

(8) Never remove records from the bureau without proper authorization from the Responsible 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 Responsible 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 the Responsible 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.