

## Department of the Interior Bureau of Ocean Energy Management Manual

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**Series:** Administrative

**Part 380:** Records Management

**Chapter 2:** Electronic Records Management

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

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### **BOEMM 380.2**

**1.1 Purpose.** This chapter establishes the 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 of Ocean Energy Management (BOEM). 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 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 Responsible Records Officer, program manager(s), and Information Technology (IT) staff.

**1.4 Authority.** Refer to BOEM Manual 380.1, "Program Elements and Responsibilities," for authorities applicable to this chapter.

### **1.5 Reference.**

A. [Department of the Interior \(DOI\) OCIO Memorandum, "Records Management Policy RMP-2020-01: Digital Signature Usage in Records," dated May 24, 2021.](#)

B. [DOI OCIO Memorandum, "Records Management Policy RMP-2020-03: Federal Records Disposal Authorization," dated June 11, 2021.](#)

C. [DOI OCIO Memorandum, “Records Management Policy RMP-2020-11: Preserving Text and Instant Messages as Federal Records,” dated June 11, 2021.](#)

1.6 **Definitions.** See the glossary in Appendix 1 for terms and definitions used within this chapter.

1.7. **Policy.**

A. Electronic Records. Per 36 CFR 1220.18, electronic records include “any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act.” In addition, 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 must meet National Archives and Records Administration (NARA) requirements as defined in 36 CFR 1236.54, “Metadata requirements,” meet Office of Management and Budget (OMB) A-130 requirements, and support bureau records management.

(3) All electronic records must be managed in an approved electronic information system (EIS), electronic recordkeeping system, or in the Department-approved Electronic Records Management System that incorporates functionalities to enable preservation of the Federal record with integrity throughout the record lifecycle. 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 RMP-2020-01.

(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.

(6) Passwords and other forms of file level encryption – including digital rights management (DRM) technologies commonly used with audio, video, and some publications – must be deactivated prior to archiving.

B. Digitization. Digitization is the activity of reproducing physical records digitally with the goal of disposing of the original source records. Digitally reproduced (digitized) temporary records may be designated and accepted as the official recordkeeping copy. In these cases, the original source records may become intermediary records and may be destroyed. Before allowing the destruction of the original source records, bureau staff must observe the

following guidelines when digitizing records and designating the digitized version as the official recordkeeping copy:

(1) Meet or exceed the digitization and validation standards established in 36 CFR 1236 subpart D, “Digitizing Temporary Federal Records” or subpart E, “Digitizing Permanent Federal Records” as applicable.

(2) Capture all information contained in the original source records.

(3) Include all the pages or parts from the original source records.

(4) Use the digitized versions for all the purposes the original source records serve, including the ability to attest to transactions and activities.

(5) Validate that the digitized versions are of suitable quality to replace original source records, document the validation process, and retain that documentation for the life of the validation process, or for the life of any records digitized using that process, whichever is longer (36 CFR 1236.34 for temporary records or 36 CFR 1236.46 for permanent records).

(6) Store digitized versions in an approved EIS or a DOI-approved electronic records management system.

(7) When digitization is complete, ensure that all requests for destruction of the original source records are approved by the Responsible Records Officer, and comply with RMP-2020-03 before disposing of original source records.

C. Electronic Information Systems. The Responsible Records Officer must identify all EISs containing Federal records and ensure that the systems have the appropriate records management controls as identified in 36 CFR 1236, subpart B, in addition to the following:

(1) All Federal records in an EIS must be scheduled. The Responsible Records Officer should map the Federal records in an EIS to a NARA-approved records schedule or may submit a records schedule for an EIS to NARA if the Departmental Records Schedule (DRS) to which the EIS is mapped has not yet been approved.

(2) All EISs must have documented and approved procedures to enable the migration of Federal records and associated metadata to new storage media or formats so that Federal records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions as identified in 36 CFR 1236.20.

D. Preservation Requirements. All EISs 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, NARA-accepted format, or another approved format.

E. 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 Responsible Records Officer or research [www.nara.gov](http://www.nara.gov) for additional guidance on electronic record formats.

F. Electronic Messaging Records. According to 44 U.S.C. 2911, electronic messages refers to “electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals.” This includes email, text messages, instant messages, social media, or other similar forms of communication.

(1) Preserve email that meets the definition of a Federal record sent or received from the bureau’s email and collaboration system in a DOI-approved electronic records management system.

(2) Produce emails that are responsive to Freedom of Information Act (FOIA) requests, litigation, or other document production requests.

(3) Preserve text and instant messages in accordance with RMP-2020-11.

(4) Retain electronic records per NARA-approved records schedules. Coordinate with the Responsible Records Officer on any questions regarding Federal records retention.

(5) Preserve all forms of electronic messages pertaining to government business sent or received from personal messaging accounts or devices in a DOI-approved electronic records management system.

## 1.8 Responsibilities.

### A. Director:

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

(2) Manages BOEM 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 bureau.
- (3) Performs periodic monitoring of bureau-wide electronic recordkeeping activities.

C. Responsible 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 EIS is approaching technological obsolescence.
- (4) Develops and implements internal policies, directives, practices, and procedures to prevent the loss, removal, theft, or unauthorized access to records created or received in electronic form.
- (5) Acts as liaison with the Department in matters that relate to electronic recordkeeping requirements.
- (6) Participates and represents BOEM in Department initiatives for electronic records management.

D. Managers and Supervisors:

- (1) Work with the Responsible Records Officer to identify and schedule electronic records to meet the recordkeeping requirements of this chapter.
- (2) Coordinate EIS activity with the Responsible Records Officer and Regional/Office Records Liaisons (RLs) 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 Responsible 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 region/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.

(5) Capture metadata for electronic records required per NARA requirements and any additional bureau requirements.

(6) Coordinate all proposed changes in the disposition of records based on business or potential researcher interest with the Responsible Records Officer.

## Glossary

The following definitions apply to Chapters 1 and 2 published in Part 380, Records Management, of the BOEM Manual. These definitions are based upon Departmental terms, NARA guidance, and/or NARA regulations.

1. **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.
2. **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 the person(s) directly affected by the agency's activities.
3. **Bureau Staff.** Includes, but is not limited to, employees, contractors, consultants, volunteers, interns, and students.
4. **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.
5. **Disposition.** Those actions taken regarding records that are no longer needed to support agency business, e.g., destruction or archiving.
6. **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.
7. **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).
8. **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."

A. 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.

B. 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.

C. 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.

D. Preserved means the filing, storing, or other method of systematically 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.

E. 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.

9. **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.

10. **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.

11. **Format.** Structure used to capture and maintain records.

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

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

14. **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.

15. **Non-record Materials may include the following:**

- A. Stocks of publications and of processed documents such as blank forms.
- B. Exact duplicate copies of documents kept only for convenience or reference.
- C. Museum property acquired by the Department solely for exhibition purposes.
- D. Books and other library materials purchased or otherwise acquired by the bureau for reference use.
- E. 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 the definition of “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.

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

17. **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.

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

- A. 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.

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

C. 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.

D. 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.

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

F. 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:

(1) 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

(2) 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.

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

19. **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.

20. **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.

21. **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.

22. **Records Schedule.** A published manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more Standard Form 115, Request for Records Disposition Authority, or issued by NARA in the General Records Schedule.

23. **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 Responsible Records Officer and region/office managers and staff.

24. **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.

25. **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:

A. 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

B. 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.