

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

TRANSMITTAL SHEET

Version No: 001

Date: 5/11/22

SUBJECT: Administrative
Part 380: Records Management
Chapter 5: Records Management Guidance for Offboarding Bureau Personnel

EXPLANATION OF MATERIAL TRANSMITTED:

This chapter establishes Bureau of Ocean Energy Management (BOEM) records management policy for offboarding personnel, specifically to ensure proper identification, maintenance, and use of records, throughout the records' life cycle. This policy applies to both physical and electronic record mediums. This chapter is new and does not replace any existing BOEMM Chapters.

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<u>Part</u>	<u>Chapter</u>	<u>Pages</u>	<u>Version</u>
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Department of the Interior
Bureau of Ocean Energy Management Manual

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Series: Administrative

Part 380: Records Management

Chapter 5: Records Management Guidance for Offboarding Bureau Personnel

Originating Office: Office of Budget and Administration

1. Purpose. This policy outlines the requirements for Bureau staff to properly allocate Federal records prior to their departure from the Bureau (whether by transfer, separation, retirement, or removal) and applies to both physical and electronic record mediums and all formats. This policy also contains criteria for transfer of email in cases of Bureau to Bureau transfers.

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

A. Offboarding personnel understand how to manage the records and information they create and use, how long the records must be maintained, and whom they should contact for specific questions.

B. The proper identification, maintenance, and use of records, regardless of format and medium.

C. Compliance with National Archives and Records Administration (NARA) regulations and guidance, executive orders, and Office of Management and Budget (OMB) Circular A-130, Managing Information as a Strategic Resource, for the management of all electronic records.

D. Protection of legal and financial rights of the Federal Government and persons directly affected by the Bureau's activities.

E. Management of information and records throughout all phases of the records life cycle.

F. Segregation of records and non-records.

G. 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. OMB Circular A-130, "Managing Information as a Strategic Resource" dated July 28, 2016;
- E. OMB Memorandum M-19-21, Transition to Electronic Records dated June 28, 2019;
- F. NARA 2016 Web Publication "[Documenting Your Public Service](#);"
- G. [NARA Bulletin 2013-03](#) "Guidance for agency employees on the management of Federal records, including email accounts, and the protection of Federal records from unauthorized removal;" and
- H. Departmental Manual 380 Chapter 1 Records Management Program and Responsibilities.

4. Definitions. Refer to Appendix 1 in BOEMM 380 Chapter 2 for terms and definitions used within this Manual Chapter.

5. Policy. This policy establishes requirements for all offboarding personnel to ensure Bureau records will be effectively and efficiently managed throughout their life cycle:

- A. Offboarding personnel must manage their records in accordance with Federal records management laws, regulations, and policies.
- B. Federal records that have not met disposal dates must be left with the office from which the employee is departing. Departing staff (offboarding) formally identify record locations and ensure those are accessible to the appropriate managers and supervisors or other designated Bureau staff.
- C. Federal records subject to Freedom of Information Act requests, litigation, or other independent preservation holds should be identified and preserved in place for ease in finding. Litigation preservation requirements cannot be superseded unless the Office of the Solicitor releases it.
- D. Transferring Bureau staff may retain copies of Federal records in rare cases after review and approval by the originating Bureau Records Officer based on a documented business need for the records to be retained in their new role that is relevant to the departing organization.
- E. Original records must be maintained by the office from which the Bureau staff is leaving and must stay with the originating office. Copies may be taken only after review by the Bureau Records Officer.
- F. Transferring Bureau staff may retain copies only if transferring to another Department of the Interior Bureau/Office with responsibilities that are inherently the same.

G. Emails must stay with the originating office. Since email can be a Federal record and can also contain organization sensitive, deliberative material, and privacy information, they must remain with the originating office. The exception to this rule is if the position occupied is moving from one Bureau or office to another. If the position is transferring and the email records are necessary for continuity, then they can be moved to the new Bureau/office.

H. Transferring Bureau staff may request to have selected personal email and documents transferred to their new accounts. Items such as their own employee performance appraisals and email contacts are examples of such personal documentation.

I. Separating, retiring, or removed Bureau staff may not take copies of records unless approved by the Bureau Records Officer. Bureau staff will typically not be allowed to take copies of deliberative material or materials that contain personally identifying information of other Bureau staff.

J. High-Level Officials (HLOs), including Political Appointees have more stringent requirements for their records. All records on their government-furnished equipment (GFE) are backed up after departure, retained in the Department's electronic records management system, and may be transferred to NARA in accordance with NARA-approved records schedule retentions.

6. Responsibilities.

A. Political Appointees:

Manage all Federal records as permanent records since Bureau political appointees are treated as HLOs.

B. Offboarding Staff:

1. Notify their immediate supervisor/manager and Bureau of Safety and Environmental Enforcement, Human Resources office of impending departure and departure date once known.
2. Complete [“Records Management Clearance Sheet” DI-4013 Form dated 03-2020](#).
3. Coordinate identification and maintenance of all Federal records with their office administrative staff.
4. Transfer ownership of records stored in file shares to the supervisor or download and save the records in a network shared drive location.
5. Transfer ownership of, i.e., forward emails subject to, or with a high probability of being subject to litigation holds or FOIA requests, to supervisor or appropriate colleagues prior to departure.
6. Calendar files for HLOs are considered permanent records and as such need to be preserved and transferred to NARA for permanent preservation. Calendar files for all other Bureau staff

are temporary and will remain in the custody of the Bureau throughout their lifecycle. Departing staff may either print out calendar records or store them in an electronic location that will be accessible after the staff member's departure.

7. If a Federal record is created or received in a personal or non-official account, carbon copy or forward a complete copy to the applicable official Bureau account within 20 days.
8. Remove all personal (non-Bureau related) information from GFE and systems.
9. Capture any information held in government-issued personal electronic devices that is a record and maintain in another location.
10. Provide supervisor the passwords for all encrypted records.
11. Contact the Bureau Records Officer for validation and authorization if intending to take copies of records prior to exiting. Employees generally may take extra copies of Federal records that are already publicly available, subject to the Bureau's review and approval. Depending on the volume for consideration, many days to weeks in advance are required to ensure timely handling of the request.
12. Bureau staff are covered by legal privilege while they are employed. As such the Department's legal counsel has a say in what records are released while in the Bureau's custody. Once Bureau staff offboard, any records taken are no longer subject to legal privilege and therefore must be reviewed by the Bureau Records Officer prior to release.

C. Office Administrative Staff:

Maintain Federal records identified by departing Bureau staff.

D. Bureau Records Officer:

1. Sends "Pending Departure" email with the DI-4013 Form to departing employee when identified as being in a HLO or Political Appointee position.
2. Performs or delegates to Records Management Program staff the pre-exit brief to answer records management questions and review records transfer when requested.

E. Supervisors and Managers:

1. Federal records are the ultimate responsibility of the Supervisor to ensure that they are either legally destroyed or transferred to NARA. The Bureau Records Officer will readily assist staff members with proper records management techniques and guidance.
2. The supervisor/manager must initiate the exit clearance process in the web-based system (<http://exitclearancebsee-boem>) upon being notified of an employee's intent to terminate

employment with the Bureau. Maintain DI-4013 Form in departing employee's Supervisory Personnel Folder.

3. Verify official records are returned.

4. Complete the records clearance process on behalf of their Bureau staff if the employee is unavailable for any reason.

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 Concealment, removal, or mutilation generally).