

**DEPARTMENT OF THE INTERIOR  
MINERALS MANAGEMENT SERVICE MANUAL**

**Transmittal Sheet**

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Release No. 290

January 28, 2004

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Subject:       Administrative Series  
                  Part 380 Records Management  
                  Chapter 2 Maintenance, Use, and Disposition

**EXPLANATION OF MATERIAL TRANSMITTED:**

This chapter establishes policy and delineates responsibilities, to ensure the preservation of records which document the organization, functions, policies, decisions, procedures, and essential transactions of the Minerals Management Service (MMS). It also provides techniques to be used regarding the control and disposition of records created and/or maintained by the MMS. This change also implements the provisions of Secretarial Order No. 3244.

**REPORTS REQUIRED:**

Form MMS-1933, Files Inventory and Disposition Plan, annually by August 1.

/s/

Director

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**FILING INSTRUCTIONS:**

**REMOVE:**

**INSERT**

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OPR: Office of Administration and Budget  
Information Management Division

# Minerals Management Service Minerals Management Service Manual

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Effective Date: January 28, 2004

Series: Administrative

Part 380: Records Management

Chapter 2: Maintenance, Use, and Disposition

Originating Office: Information Resources Management Division

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1. **Purpose.** This chapter establishes policy, assigns responsibilities, and prescribes procedures to ensure the preservation of records, regardless of medium (e.g., paper or electronic), which document the organization, functions, policies, decisions, procedures, and essential transactions of the Minerals Management Service (MMS). It also provides assistance in organizing records and carrying out various records management activities.

2. **Objectives.** The objectives of this chapter are:

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 to comply with the records disposition schedule as established in the Records Management Handbook (MMSM 380.2-H), hereafter referred to as "Handbook."

D. To establish a records management program and responsibilities over records management activities under the purview of the MMS, Chief Information Officer.

3. **Authority.**

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

B. 44 U.S.C. Chapter 33 (Disposal of Records).

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

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

E. Departmental Manual (380 DM 1 Records Management).

F. Secretarial Order No. 3244, dated November 12, 2002.

4. **General.** The MMS records disposition schedule is a listing of record categories and the length of time the MMS is required to keep official records. Employees should consult the

schedule and all freezes on records prior to disposing of records. Compliance with the records disposition schedule is mandatory. Records disposition activities include the transfer of records to a Federal Records Center (FRC), accessioning permanent records to the National Archives and Records Administration (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 MMS to an FRC.

**5. Definitions.** For Records Management definitions, see 36 CFR 1220.14.

**6. Policy.** It is the policy of the MMS to properly identify recordkeeping requirements and to effectively and efficiently manage records throughout their life cycle, regardless of media, and to ensure that all records are maintained and disposed of in accordance with the Handbook.

**7. Responsibilities.**

A. The Associate and Regional Directors and the Administrative Service Center Managers are responsible for:

(1) Maintaining adequate records documenting the organization, functions, policies, decisions, procedures, operations, or other activities within the MMS and ensuring that the requirement of the NARA guidance, this manual chapter, and the Handbook, are met.

(2) Issuing and keeping current directives and procedures which specifically describe files to be retained and their contents. Descriptions for case files, for example, should specify documents such as forms, reports, memorandums, or analysis that are part of each file.

(3) Ensuring that Records Officers participate in planning for any new electronic information systems (including electronic records management and electronic document management systems) and in planning for major modifications to existing systems, to ensure incorporation of recordkeeping requirements and records disposition procedures.

(4) Ensuring that records are managed in accordance with the Handbook.

(5) Designating a Records Officer, Records Coordinators, and File Custodians to ensure adequate management of records, and ensuring that their position descriptions appropriately delineate their records management responsibilities. Each Region and Administrative Service Center must have a Records Officer. If needed, each division or the equivalent should have a Records Coordinator, and each section and/or unit must have a Files Custodian for records created and maintained.

(6) Reporting the designation of Records Officers to the MMS Records Manager.

(7) Ensuring that Alternate Management Control Reviews and other internal reviews consider a records management component, as appropriate.

B. The Associate Director for Administration and Budget, who is the MMS Chief Information Officer, has overall responsibility for the Records Management Program and will appoint a Records Manager.

C. The Records Manager is responsible for:

- (1) Providing consultation services to MMS management concerning records management issues.
- (2) Providing policy oversight, coordination, and technical guidance to Records Officers for all issues related to records management.
- (3) Developing and implementing a program for the management of records.
- (4) Promoting the objectives and standards contained in NARA guidance, this manual chapter, and the Handbook to ensure MMS-wide application.
- (5) Evaluating proposals in the form of a Request for Records Disposition Authority (SF 115) submitted by Records Officers for changes in the MMS Records Disposition Schedule to address unscheduled records or to better describe existing items.
- (6) Representing the MMS in approving submissions of SF 115s to the NARA.
- (7) Coordinating all requests for the temporary and/or permanent storage, transfer, or retirement of records for the Washington metropolitan area.
- (8) Reporting the designations of Records Officers, Records Coordinators, and Files Custodians to all MMS employees.

D. Records Officers are responsible for:

- (1) Coordinating with the Records Manager and providing technical guidance to assigned organizations on records management issues.
- (2) Providing policy oversight, coordination, and technical guidance to Records Coordinators and File Custodians on records management issues.
- (3) Promoting the objectives and standards contained in NARA guidance, this manual chapter, and the Handbook to ensure programwide application.
- (4) Providing consultation services to program management concerning compliance with NARA records guidance, this manual chapter, and the Handbook.

(5) Reviewing unscheduled records and, after consulting with MMS and NARA officials, submitting to the Records Manager recommendations for changes and/or additions to schedules in the form of a completed SF 115.

(6) Maintaining a listing of all accessions of records stored in FRCs transferred to other offices, along with a Records Transmittal and Receipt (SF 135).

(7) Providing recommendations for the content of internal review programs for the inclusion of records management reviews.

(8) Approving Files Inventory and Disposition Plan (Form MMS-1933) and forwarding it to the Records Manager by August 1 of each year. Maintaining copies of all file plans as a master inventory and finding aid.

(9) Maintaining an up-to-date listing of Records Coordinators and File Custodians within their area of responsibility.

E. Records Coordinators are responsible for:

(1) Coordinating with the Records Officer and providing technical guidance to assigned organizations on records management issues.

(2) Providing technical guidance to File Custodians for all records management issues.

(3) Promoting the objectives and standards contained in NARA guidance, this manual chapter, and the Handbook to ensure application within the assigned organization.

(4) Conducting reviews of functions, recording requirements, and practices of the assigned office(s) at least bi-annually, or immediately after program changes. This includes an examination of documents such as laws, regulations, organization charts, functional statements, and procedures specifying records retention. These reviews will be followed by a records inventory, with the results of both submitted to the Records Officer. Such reviews and inventories are to be conducted in accordance with NARA's *Disposition of Federal Records: A Records Management Handbook*. This document can be located at the following Web site: [http://www.archives.gov/records\\_management/publications/disposition\\_of\\_federal\\_records/index.html](http://www.archives.gov/records_management/publications/disposition_of_federal_records/index.html).

(5) Submitting by July 1 annually, Form MMS 1933, Files Inventory and Disposition Plan, to the respective Records Officer identifying all files maintained.

F. File Custodians are responsible for:

(1) Coordinating with the Records Coordinator and providing technical guidance to assigned organizations on records management issues.

(2) Applying the requirements of local Federal Records Centers, this manual chapter, and the Handbook to the management of records under their control.

(3) Submitting by June 1 annually, Form MMS 1933, Files Inventory and Disposition Plan, to respective Records Coordinators identifying all files maintained.

(4) Reviewing files periodically to determine whether the files require further subdivision or addition of a new topic and reporting findings to the Records Coordinator.

G. Employees are responsible for:

(1) Complying with the requirements described in records retention procedures, this manual chapter, and the Handbook.

(2) Incorporating in the MMS records system all essential information on their major actions.

(3) Cooperating with the Records Officers, Records Coordinators, and File Custodians.

(4) Reviewing their records periodically to determine which records are eligible for disposal or transfer to an FRC.

8. **Procedures.** For the procedures on the maintenance, use, and disposition of records, see the Records Management Handbook, MMSM 380.2-H.

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).