

	U.S. DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Code: INF-1
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Subject: OSM Records Management		
Approval: Brent Wahlquist		Title: Director

1. **Purpose.** This directive provides policy and procedural guidance for the Office of Surface Mining Reclamation and Enforcement's (OSM) Records Management program. Through the application of records management standards and techniques, the following objectives are achieved:

- a. Compliance with Federal and departmental requirements;
- b. Uniformity and simplicity in maintaining and using records;
- c. Economy and efficiency in the organization, maintenance, use, and ultimate disposition of records;
- d. Adequate controls over the creation of file materials and prevention of the accumulation of unnecessary files;
- e. Easier classification, filing, retrieval, charging out, and re-filing of records;
- f. Preservation of those records having sufficient continuing value to warrant their permanent retention; and
- g. Systematic cutoff and periodic destruction or retirement of records using approved records disposition schedule contained in the Records Management Manual (Appendix A).

2. **Summary of Changes.** The OSM Records Management Directive is being updated to incorporate OSM organizational changes. Appendix A, The Records Management Manual, is being updated to incorporate changes in Department of the Interior (DOI) and Federal records management requirements. Records management requirements for vital records and records stored on magnetic media have been incorporated.

3. **Definitions.**

- a. Files Maintenance and Records Disposition System encompasses the records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of OSM.

b. Alternative Internal Control Review documents a specific subset of control areas versus a review of an entire process. It focuses on documenting control techniques in place for control of high-risk areas.

c. Annual Summary of Records Holding includes all organized collections of file material occupying files space and equipment, whether of temporary or permanent value. The following information is to be included in each report:

- (1) The total cubic feet of records on hand at the start of the fiscal year.
- (2) The total cubic feet of records shipped to Federal records centers during the fiscal year.
- (3) The total cubic feet of records destroyed.
- (4) The total cubic feet of records on hand at the end of the fiscal year.
- (5) An explanation of any significant increase or decrease compared to the previous year report.

4. **Policy.** OSM's records management policies consist of:

- a. Properly identifying OSM recordkeeping requirements, effectively and efficiently managing needed records throughout their life cycle;
- b. Effectively and efficiently managing needed records throughout their life cycle;
- c. Implementing and maintaining an OSM Vital Records Program;
- d. Including all records in the OSM-approved records disposition schedule within one year of their creation or acquisition;
- e. Protecting all OSM records against loss, unauthorized destruction or modification, and removal from OSM in order to ensure adequate documentation of organization functions, policies, decisions, procedures, and essential transactions; and
- f. Ensuring that the transfer of records from one organization to another is accomplished to promote program continuity, cost effective storage, and document preservation and to provide access to unrestricted records for research purposes.

5. **Responsibilities.**

a. The Office of the Chief Information Officer is responsible for records management activities in OSM. The Chief Information Officer is responsible for designating the OSM Records Management Officer (RMO).

b. Assistant Directors, Area Directors, Regional Directors, Field Office Directors, Division Chiefs, and Headquarters Heads of Staff Offices are responsible for:

- (1) Implementing and operating the Files Maintenance and Records Disposition System;
- (2) Establishing official files;
- (3) Ensuring that all vital records in their custody and needed for emergency operations in their jurisdiction are handled in accordance with departmental vital records procedures as described in the Vital Records Program chapter of the Department Manual (Section 380, Chapter 6);
- (4) Ensuring that the RMO and Records Liaison Officers (RLO) 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;
- (5) Designating RLOs to represent their respective offices in the administration of this program;
- (6) Reporting the designation of RLOs to the RMO; and
- (7) Ensuring employees are aware of records management responsibilities and established recordkeeping requirements.

c. The Records Management Officer (RMO), located in the Office of the Chief Information Officer, is responsible for the OSM-wide direction of policy and oversight for the Files Maintenance and Records Disposition System. This responsibility includes:

- (1) Planning, formulating, evaluating, and prescribing basic files maintenance and records disposition policies, systems, standards, and procedures;
- (2) Coordinating the overall files maintenance and records disposition program;
- (3) Providing records management advice and assistance to all organizational levels;
- (4) Inspecting the files at all organizational levels to ensure that records are being maintained according to the Files Maintenance and Records Disposition System and advising management officials of findings and recommendations for improvement;
- (5) Reviewing and evaluating filing equipment utilization and recommending appropriate action;

(6) Coordinating, approving, and publishing changes to the Manual through change notices to this directive;

(7) Ensuring that Alternative Internal Control Reviews and other internal reviews consider a records management component, as appropriate;

(8) Serving as the Vital Records Manager for OSM;

(9) Serving as liaison with the National Archives and Records Administration (NARA) and other agencies on matters pertaining to records management;

(10) Preparing reports on records holding, records disposition activities, and other records management matters, as requested; and

(11) Coordinating with other bureaus and DOI records management officials in various DOI records management program activities.

d. Records Liaison Officers (RLO) are responsible for the administration of all phases of records management within their offices including:

(1) Coordinating the files operations;

(2) Evaluating the program's effectiveness;

(3) Coordinating the preparation of records holding reports, records disposition activities, and other reports as requested; and

(4) Acting as liaison between their offices and the RMO.

e. Managers and Supervisors are responsible for the management of files in their offices and will designate a recordkeeper to maintain the files under their control.

f. Recordkeepers are responsible for:

(1) The establishment, maintenance, operation of file station, and disposition of records within their offices in accordance with the prescribed procedures; and

(2) The preparation of required reports.

g. Employees are responsible for ensuring that they are familiar with basic records management responsibilities, including the difference between personal and Government records, and for following the basic records management processes of their office to ensure the integrity of the records. Specific responsibilities include:

(1) Creating and maintaining records needed to carry out their assigned duties;

- plans;
- (2) Filing records according to OSM's established filing procedures and plans;
 - (3) Avoiding duplicate recordkeeping unless absolutely necessary; and
 - (4) Disposing of records in accordance with OSM-approved records retention and disposition schedules.

6. **Procedures.** The Records Management Manual has been developed to establish a system for the uniform organization, maintenance, and disposition of records within OSM. Federal law requires that OSM maintain a comprehensive records management program. The Manual is designed to serve as a comprehensive resource to assist OSM staff in organizing and disposing of the vast array of records, documents, and other materials they use in their day-to-day work.

7. **Reporting Requirements.** The Annual Summary of Records Holding is submitted to the RMO by the RLOs, upon request, following the end of each fiscal year. Each recordkeeper will submit a feeder report to the appropriate RLO. The RMO will submit a consolidated report to the Department.

8. **Effect on Other Documents.** Supersedes INF-1 Policy and Procedural Guideline for the Office of Surface Mining Reclamation and Enforcement Records Management System. Transmittal Number 614, dated May 17, 1990. Appendices I, II, III, and IV to INF-1, dated May 17, 1990, are unchanged by this Directive.

9. **References.**

- a. 44 U.S.C. Chapters 21, 29, 31, and 33 (Records Management)
- b. 5 U.S.C. 552 and 552a (Information Access)
- c. 44 U.S.C. Chapter 35 (Paperwork Reduction Act)
- d. Office of Management and Budget Circular A-130 (Management of Federal Information Resources)
- e. Implementing regulations issued by the National Archives and Records Administration (NARA) in 36 CFR, Subpart B (Records Management)
- f. General Services Administration regulations in 41 CFR 201-9
- g. NARA and Federal Information Resources Management Regulations Bulletins
- h. DOI Manuals 380 DM (Records Management) and 384 DM (Records Disposition).

10. **Effective Date.** Upon issuance
11. **Distribution.** By electronic format
12. **Appendices.** Appendix A: Records Management Manual

Contact: Office of the Chief Information Officer, Records Management Officer