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DEPARTMENT OF THE INTERIOR
BUREAU OF LAND MANAGEMENT

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Subject

1270 - RECORDS ADMINISTRATION

1. Explanation of Materials Transmitted: This manual section describes the functional components of the Records Administration program and replaces the current 1270 Records Management Manual Section. The Records Administration program is the umbrella program for the life cycle management of BLM information. Records Administration coordinates with Data Administration, Program Leads, Data Stewards, Records Custodians and users to develop and implement policies, standards, and procedures that guide BLM efforts in managing its information as a valuable resource.
2. Reports Required: None.
3. Material Superseded: The manual pages superseded by this release are listed under "REMOVE" below. No other directives are superseded.
4. Filing Instructions: File as directed below:

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All of 1270 (Rel. 1 - 1045)

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.01 Purpose. This Manual Section provides policies and guidelines to ensure the life cycle management (LCM) of all BLM information during all life cycle phases, i.e., initiation, development, operation and maintenance, and disposition. Proper management of records/data/information must be exercised to ensure legality, integrity, access, sharing and exchange and security standards are met. The following sections provide general policy statements regarding BLM's Records Administration Program. Detailed procedures will be developed and disseminated through BLM handbooks.

.02 Objectives. The objectives of Records Administration are to establish policies, procedures and standards for the management of records throughout the life cycle phases of creation, maintenance, use, access, and disposition of the Bureau's information and to provide for the development of an orderly process for transferring or migrating manual, paper, microform and other nonautomated records to another recordkeeping system regardless of media to support Bureau missions. Requirements include:

A. Ensuring the life cycle of a record or system meets the original needs of the user and documentation is adequately identified and maintained throughout its life cycle.

B. Defining the Bureauwide activities and program responsibilities for managing external access to Bureau records (Freedom of Information Act, Privacy Act, Public Room, Data Sharing, Cost Recovery etc.).

C. Preserving the trustworthiness, accuracy, integrity, and reliability of the Bureau's information to ensure legal admissibility of records in Federal courts.

D. Defining the Bureauwide activities and program responsibilities for the effective management and records transition of Bureau information focusing on long-term policy/oversight issues related to LCM.

.03 Authority.

A. Federal Records Act of 1950, as amended, 44 U.S.C. Chapters 21, 29, 31, and 33. The Act defines Federal records as documentary materials, regardless of media, made or received, and retained as evidence of agency activities. It requires the BLM to properly document the functions, policies, and decisions of the agency. This protects the legal interests of the Government and the public, and leaves a record of accomplishments. The Act requires the preservation of all Federal records but provides for authorized legal disposition. The Bureau Records Schedule authorizes the retention and proper disposition of BLM records. Records may have a temporary retention, while those of permanent value are transferred to the National Archives for permanent retention. Without this approval in the Bureau Records Schedule or the General Records Schedule developed by the National Archives and Records Administration (NARA), it is against the law to remove or destroy any Federal records.

B. Paperwork Reduction Act of 1980 (44 U.S.C. 3501). The Paperwork Reduction Act has a threefold purpose of improving Federal information policymaking, promoting better management of information resources, and reducing the burden and costs associated with collecting, using and disseminating information. The Act re-enforces the Information Resources Management (IRM) concept to promote changes in management practices in two major areas. It consolidates Automated Data Processing (ADP), Telecommunications, Office Data and Records Management and Systems Development and it places emphasis on information not hardware. The Act promotes information as a valuable resource.

C. 36 CFR 1200 Subchapter B. Contains NARA records administration regulations.

D. 41 CFR 201-2, 6, 7, 9 (55 FR 53386). Contains General Services Administration (GSA) records administration regulations.

E. Administrative Procedures Act (5 U.S.C. 551 et seq.). Contains procedural requirements for Federal administrative practices that affect the public.

F. The Freedom of Information Act (FOIA) of 1966, as amended, 5 U.S.C. 552. This Act provides any person the right to access Federal records, except for records (or portions thereof) that are protected from disclosure by one of nine exemptions. This statute also requires certain information, such as agency rules, regulations, and final decisions be made available as public records. The FOIA is a disclosure statute but recognizes that the Government is responsible for safeguarding the confidentiality of sensitive personal, commercial and governmental (proprietary/confidential) information.

G. The Privacy Act of 1974, 5 U.S.C. 552a. Protects individuals' rights with respect to records collected and maintained about them by the Government. This statute requires a public notice of systems of records that are retrieved by name or other personal identifier, and provides a right of access to the individual to his/her information. The statute also requires that only information which is legally authorized and necessary is collected, and is maintained in a manner which precludes unwarranted invasion of privacy.

H. 43 CFR Subparts B and D. Provides specific guidance for managing public access to Department of the Interior (DOI) records, as well as, procedures for managing Privacy Act systems of records.

I. Computer Security Act of 1987 (P.L. 100-235). Requires agencies to protect information residing in computers. The Act requires agencies to identify all systems containing "sensitive" information, prepare security plans for each system, and provide mandatory periodic training for all persons involved in use or operation of computer systems that contain sensitive information. The Act defines "sensitive" as: "...any information, the loss, misuse, or unauthorized access to or modification of which could adversely affect the national interest or the conduct of Federal programs, or the privacy to which individuals are entitled under the Privacy Act...."

J. U.S. Criminal Code (18 U.S.C. 2071). Addresses penalties and fines for the destruction of Federal Records.

K. Federal Rules of Evidence (28 U.S.C. Appendix-Rules of Evidence). Addresses requirements for Federal records submitted as evidence to a Federal Court.

L. Departmental Manuals (380 DM, 381 DM, 382 DM, 436 DM). Provide policy, procedures and assigns responsibilities for Records Administration programs within the DOI.

M. Departmental Manual (383 DM). Provides policy and procedures managing Privacy Act systems of records and Freedom of Information Act requests.

N. Departmental Manual (384 DM). Provides policy, procedures and penalties for the destruction of Federal Records within the DOI.

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O. Office of Management and Budget (OMB) Circular No. A-130 Management of Federal Information Resources. Establishes policy for the management of Federal Information Resources. Procedural and analytical guidelines for implementing specific aspects of these policies are included as appendices. The cost recovery section provides guidelines on recovering direct costs associated with providing services.

P. 43 U.S.C. 1460. Provides the legal authority for recovering the cost of providing copies of BLM records.

Q. Departmental Manual (476 DM). Provides policy, procedures and assigns responsibilities for financial management.

R. Departmental Manual (376 DM). Provides policy, procedures and assigns responsibilities for ADP cost accounting, cost recovery, and data sharing.

.04 Responsibility.

A. The Director and the Deputy Director are responsible for the overall BLM Records Administration Program. This responsibility is delegated through the Assistant Director, Management Services to the Chief, IRM Division.

B. Assistant Directors, within their assigned program areas, make final staff decisions about the content of internal records and directives involving program policy and procedures which are applied among several Bureau offices. Assistant Directors ensure that records are managed and maintained in accordance with the guidance in this manual.

C. Chief, Division of IRM is responsible for the overall IRM program which includes providing Bureauwide policy and direction for the collection, creation, maintenance, use, security, access, dissemination and disposition of information. He/she coordinates IRM goals, objectives and activities through both the Bureau Records Administrator and the Bureau Data Administrator which he/she oversees.

D. Chief, Branch of Data, Records and Mapping Sciences is responsible for overseeing the development and implementation of records administration policy, to assist in orderly development and use of Bureau information systems and assuring procedures are developed for the LCM of information.

E. Bureau Records Administrator serves as the Bureau Records Officer, FOIA Officer, and Privacy Act Officer. Responsibilities include development of written Bureau policies and procedures for all components within the records LCM process which are consistent with Federal recordkeeping requirements. Additional responsibilities include:

1. Overseeing the development of Bureauwide training in Records Administration functions.
2. Providing oversight of Records Administration through the IRMR process.
3. Providing oversight for records transition projects.

F. State Directors, Service Center Director, and BLM Director Boise Interagency Fire Center (BIFC) are responsible for ensuring their Records Administration Program objectives are carried out within their areas of responsibility.

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G. Records Administrators are responsible for:

1. Implementing LCM standards (creation, information classification and appraisal, documentation, maintenance, and disposition) to BLM information.
2. Implementing information access policies (FOIA, Privacy Act, data sharing) and cost recovery.
3. Serving as the resident expert on the judicial use of records ensuring the trustworthiness and integrity of BLM's information in order to protect the legal and financial rights of the Bureau, and to support the Bureau in cases of litigation. The Records Administrator is the expert on required documentation that determines the official record for each recordkeeping system.
4. Providing input and guidance to program offices that are developing new recordkeeping systems.
5. Implementing information security as mandated by the Computer Security Act.
6. Coordinating and leading BLM offices in the records transition efforts.
7. Participating as a member of the local IRM user groups to advise management on Records Administration matters.

H. Bureau Data Administrator is responsible for the development and implementation of policies, procedures and guidelines to establish and maintain consistent management, processing and use of BLM information, to include coordinating the use of data standards and the definition of standard data elements (DE).

I. Data Administrators are responsible for the development and implementation of policies, procedures and guidelines to manage and control Bureau information resources as an asset. This includes coordinating activities and implementing policy and procedures related to strategic data planning, data standards, data security, data documentation, data exchange, and developing plans and training to meet BLM's current and future information needs.

J. Bureau Employees, including program specialists at all levels of the organization, are responsible for collecting, creating, using, maintaining, disseminating and disposing of Bureau information in accordance with established policy and procedures.

K. Contractors are responsible for ensuring all requirements of this manual and related handbooks are applied to those Bureau records, including electronic records, created and/or maintained by them.

.05 References.

- A. "Recordkeeping Requirements," Donald S. Skupsky, JD, CRM.
- B. NARA's "A Federal Records Management Glossary." The NARA and GSA publish various handbooks and pamphlets on specific components of the Records Management and Records Administration Programs.
- C. BLM Manual 1244, Administrative and Technical Procedure Reviews.

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- D. BLM Manual 1261, ADP LCM.
- E. BLM Manual 1264, ADP Security.
- F. BLM Manual 1270-1, Electronic Records Management.
- G. BLM Manual 1271, Records Management System.
- H. BLM Manual 1272, Records Inventory and Disposition.
- I. BLM Manual 1273, Vital Records.
- J. BLM Manual 1276, Micrographics.
- K. BLM Manual 1278, Confidentiality and Access to BLM Information.
- L. BLM Manual 1279, Library Management.
- M. BLM Manual 9160, Mapping Sciences.

.06 Policy. The Bureau policy is to utilize a systematic, total life cycle approach to managing information recorded on all media. The BLM will protect all information from degradation and will safeguard privacy, proprietary, or other sensitive information as required to protect the Bureau's and public's interest. The BLM will provide a high level of public service by providing access to Bureau records to the greatest extent possible in keeping with the spirit of Federal access laws while recovering costs for providing copies of records. The BLM will share and exchange data with other agencies and outside entities in support of agency missions. Information management will become more important as increased demands for information are made by the BLM employees, other agencies, special interest groups, associations, and businesses.

.07 File and Records Maintenance. All Bureau records and data will be managed according to established records policies to support agency missions. All records and data will be disposed of according to the Bureau Records Schedule. (See BLM 1272 Manual Section, Appendix 1 for BLM Records Schedules).

.08 Relationship With Other Programs. The Records Administration Program is the umbrella program for the LCM of BLM information. Records Administration coordinates with Data Administration, Mapping Sciences, ADP Security, Project Managers, Data Base Managers, Program Leads, Data Stewards, Records Custodians and users to develop and implement policies, standards, and procedures that guide BLM efforts in managing its records as a valuable resource, managing external access to BLM information, and focusing on long-term policy/oversight issues related to LCM.

A. Coordination Between Records Administration and Data Administration Programs. The Records Administration Program will coordinate with Data Administration to develop policies, procedures and standards that will guide BLM efforts in managing the automation of information and managing the information as a valuable resource. The Records Administration Program complements and interfaces frequently with the Data Administration Program. The Data Administration Program will develop standards to ensure accuracy and consistency in data names, definitions, structures and usage, coordinate with Bureau Program staff to assure procedures are implemented which preserve the integrity and security of information created and used within BLM, and ensure appropriate planning and organization of information. Both programs work towards facilitating information exchange within the BLM, with other Federal agencies, the public, and other organizations.

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B. Coordination Between Records Administration and the Public Room. The Public Room is an information service organization, which falls within the umbrella Records Administration Program. The Records Administration Program is the program sponsor for the Records Transition Project in developing an orderly process for transferring or migrating manual BLM land records to an automated system of records. The Records Administration Program initiates policy and procedures in managing access to BLM public room information, regardless of the media in which the information is provided, in developing the modern public room, and in developing cost recovery policies.

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.1 Records Administration. The Records Administration function ensures the management of BLM's information, in whatever form, as a valuable corporate asset that will enable BLM to carry out its mission of multiple use resources management. Records Administration coordinates with Data Administration, Data Base Administration, program leads, data stewards, records custodians and users to develop and implement policies, standards and procedures that guide BLM efforts in managing records as a valuable resource.

.11 Components of the Records Administration Program. The various components of the Records Administration Program include:

A. Directing and coordinating all activities and implementing policy and procedures related to records LCM (including records creation, maintenance and use, and disposition).

B. Directing and coordinating all access to Bureau information including administration of the FOIA and Privacy Act, cost recovery, fee schedules, and information sharing/exchange agreements.

C. Ensuring the trustworthiness, records legality and integrity of Bureau information.

D. Directing and coordinating the security of the Bureau's information.

E. Providing the transferring or the migration of one recordkeeping system to another regardless of media.

F. Development of plans and identification of training/education needs to meet the Bureau's current and future Records Administration requirements.

.12 Role of GSA and NARA. The division of records management authority between NARA and its former parent agency, GSA, was mandated by the 1984 legislation, P.L. 98-497, that created an independent NARA. The NARA is an "umbrella" organization that consists of National Archives, Federal Records Centers, and Records Administration. The NARA has authority for records appraisal and disposition activities and for the system of Federal records centers and archives. The GSA is a separate agency required to promote economy and efficiency in the selection and utilization of space, staff, equipment, and supplies. Both agencies are responsible for general records management functions such as promulgating standards, providing guidance and advice, carrying out research, and conducting inspections. The NARA sets standards to ensure adequate and proper documentation of the policies and transactions of the Federal Government and the GSA sets standards in order to ensure economical and effective records management.

.13 Records Defined. As defined in 44 U.S.C. 3301, "records includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government 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 information value of data in them." This includes electronically stored data and software created or enhanced by the Bureau. For the purposes of this policy, the terms "records" and "data" are synonymous. The FOIA and Privacy Act makes no distinction between an agency "record" or agency "data."

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A. Record Material. All correspondence, memos, case files, photographs, microforms, cartographic materials, motion pictures, tape recordings, data dictionaries, computer tapes, and disks in the custody of the Bureau must be measured against the statutory definition to determine whether or not they qualify as Federal records. Records Administrators determine the official record for all recordkeeping systems.

B. Nonrecord Material. Papers having no documentary or evidential value are considered nonrecord material. Nonrecord materials are Government-owned documentary materials that do not meet the conditions of record status and includes the following:

1. Library and museum material (only if such material is made or acquired and preserved solely for reference or exhibition purposes);
2. Extra copies of documents (only if the sole reason such copies are preserved is for convenience of reference; and
3. Stocks of publications and of processed documents.

C. Temporary Records. A temporary record is any record that has no value for historical preservation AFTER Bureau needs have been met. The NARA defines a temporary record as any record which has been determined to have insufficient value to warrant its preservation by the NARA. In some instances, temporary records are transferred to Federal Records Centers for long-term temporary storage. For example, a temporary record may need to be retained in the office of origin as long as it exists (which may be 100 years). In another, it may be transferred to a Federal Records Center for 50 years (long-term temporary storage) after the originating office's need to have the record stored locally for 2 years has been met.

D. Permanent Records. Permanent records are records which have been determined by the NARA to have sufficient value to warrant preservation by the NARA after the Bureau has no need for the record.

E. Unscheduled Records. Unscheduled records are records that do not have the final disposition approved by the NARA.

F. Vital Records. Vital records are those records essential for maintaining the continuity of Government activities during or after an emergency. They consist of two categories: (1) emergency operating records; and (2) rights and interests records. The BLM has one of the largest vital records holdings of any Federal agency in the United States. The destruction of any of these records (financial, contractual, cadastral, etc.) would not only affect the Bureau's legal position; irreplaceable historical information would also be lost. Vital records need to immediately be labeled as such, and listed in office inventories.

G. Agency Records. Agency records are either made or received under Federal law or in connection with the transaction of public business. All agency records, regardless of their form, belong to the agency rather than the officer who has custody of them and are to remain in the custody of the agency until there is official authorization for disposal. Correspondence designated "personal," "confidential," "private," or "restricted" but which relate to the conduct of public business, is an agency record. Records created as a result of daily activities; e.g., calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities, that contain substantive information relating to official activities not documented elsewhere, are agency records and subject to the provisions applicable to agency records.

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H. Personal Records. Personal records are records of a private or nonofficial character that pertain only to an individual's personal affairs. Personal records will be clearly designated as nonofficial records and must be maintained separately from official records (see 36 CFR 1220).

I. Geographic Information System (GIS) Technology Records. The GIS is not a system but a tool (software) used to compare and manipulate data for analysis. Data entered into a GIS are obtained from both graphic and tabular sources, and likewise outputs can be in either form. The smallest integral unit that has meaning during processing phases is defined as a DE. This would also include meta-data, although meta-data may not be used directly during the processing phase. Data elements are considered records. Data layers and themes are considered records. When manipulation occurs, to a DE, layer or theme, the resultant data also becomes a record. Once decisions are made based on these records of GIS information, the result is an official record of decision. The BLM Mapping Sciences Manual 9160, establishes GIS and other mapping sciences policy, procedures, and guidelines in support of the management of public lands.

J. Electronic Records. Electronic, or machine readable, records are data in a form that can be read and processed only by a computer and satisfy the legal definition of a record.

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.2 Records Transition. Records transition is the development of an orderly process for transferring or migrating manual, paper, microform and other nonautomated records, to an automated system that will ensure the accuracy and trustworthiness of the automated records and support the legal admissibility of records in Federal courts. Records transition requires a process of documentation and approval of automated systems as "official agency records."

.21 Records Administrator's Role in Records Transition. The Records Administrator focuses on long-term policy/oversight issues related to modernization. The Records Administrator is responsible for providing the methodology for the migration of manual records to automated systems by ensuring that:

A. The system meets LCM requirements (i.e., feasibility studies, planning, system development, implementation, documentation, etc.).

B. Administrative and statutory recordkeeping requirements are met for the automation of records (i.e., Privacy Act, FOIA, disposition, access, cost recovery, etc.).

C. The official record status is designated for the proposed automated records in the new system.

D. Sufficient documentation is created for automated systems to ensure legal admissibility of records in Federal courts.

E. A process is developed for records transition implementation plans.

F. Products resulting from records transition are flexible to meet local requirements and preferences but still provide consistency with overall BLM policy and legal requirements.

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.3 Life Cycle Management. Life Cycle Management is the process of administering a recordkeeping system and its disposition over its entire life span. The life cycle itself is the time span between the establishment of a need for a system or record. In Records Administration, LCM applies to categorizing and identifying of records and the use/maintenance, access and disposition of data/records/information regardless of media. The LCM process is applied to ensure that records or systems are developed which meet the original needs of the end user, that are within management priorities and that are the most cost effective for the Government. The Bureau advocates a total life cycle approach to managing information that is recorded on all media and includes proper planning for recordkeeping system documentation and transition.

.31 Records Administrator's Role in LCM. All phases of LCM must be coordinated with the Records Administrator to ensure that documentation is adequately identified and maintained throughout the life cycle of a recordkeeping system.

A. Life Cycle Management Requirements. The Records Administrator must be involved in the creation of new records and/or systems of records to:

1. Ensure that all authorized users can retrieve a desired record.
2. Ensure the appropriate media throughout a record's life cycle.
3. Ensure proper documentation for identifying, cataloging and labeling electronic information.
4. Identify sensitive records and appropriate security measures.
5. Ensure the records scheduling process is initiated by working with Records Custodians to propose the records description, identification of records sensitivity and security measures, and to propose a disposition authority when a new recordkeeping system is identified.
6. Ensure that notices of recordkeeping systems are published in the Federal Register, if required.
7. Assure backup procedures are established.
8. Assure retrievability of archived records as scheduled, through hardware and software changes.
9. Ensure proper documentation of record systems and development of record transition plans.

.32 Data Administrator's Role in LCM. Prior to system development, the Data Administrator will perform data modeling for new automation projects proposed by BLM programs which produce the conceptual data model and logical data model(s) for use in building data bases. The Data Administrator develops standards to ensure accuracy and consistency in data names, definitions, structures and usage; coordinate with Bureau program staff to assure procedures are implemented which preserve the integrity and security of data created and used within BLM, and ensures appropriate planning and organization of information.

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.33 Records Creation. Offices must ensure that records are created to sufficiently document the transaction of agency business and that only records necessary to conduct agency business are created. Historically, manual records were created by individuals, but maintained by designated custodians that were responsible for disposition. With the increased use of personal computers, more managers are making decisions concerning the creation, maintenance, accessibility, and preservation of information. Managers must ensure that LCM policies are adhered to within their assigned areas regarding the creation, use and disposition of all records within their office regardless of media. Records Administrators will participate in the evaluation of new records or records systems during the LCM process.

A. Records Creation Criteria.

1. A record should be made of all agency functions, policies, decisions, procedures, and essential transactions.
2. A record should be made of significant oral communications occurring during meetings, telephone calls, and informal conversations by such means as minutes, memoranda for the record, and tape or video recordings. Particular attention should be given to documenting oral communications involving policies and decisions.
3. Agency programs, policies, and procedures should be documented in appropriate directives, a copy of which should be made a part of the official file.
4. All officials and program managers should be made aware of their responsibility to create an appropriate official record of their activities.
5. Information related to agency business contained in personal correspondence should be extracted and made part of the official file.

B. Records Classifications. All records and records systems shall be reviewed during the LCM process to begin the scheduling process and to determine the historical value of the record, how long the information will be needed and in what form.

C. Records Appraisal. Appraisal is the process of determining the value of records (including disposition), making them either temporary or permanent in terms of their retention by the Federal Government. Records Administrators are responsible for the appraisal of new records and records systems using the criteria in this manual, in BLM Manual 1272 - Records Disposition, and other applicable regulations and guidance.

1. Record Values.

a. Administrative Value. Records have administrative value if they help a Bureau perform its current work. These records usually relate to budget, personnel, supply, records management, data management, and similar housekeeping, or facilitative functions common to most agencies, in contrast to program records. Depending on the purpose they serve, the records can be of longer short-term value.

b. Fiscal Value. Records have fiscal value when they relate to financial transactions.

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c. Legal Value. Records have legal value when the records document legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities.

d. Research Value. Records have research value if they contain data, computations, and descriptions of processes for research, development, planning, design, construction, and operation relating to lands or minerals matters and dealing with developing and conserving resources and other related or special assignments undertaken by the Bureau. These records frequently are used for continuing research, planning, design, and other activities which require their extended retention.

e. Historical Value. Records have historical value when the records contain information about persons, places, events, or things.

f. Intrinsic Value. In archives administration, the term intrinsic is used to describe those permanent records whose value should be preserved in their original form rather than as copies.

D. Records Inventories. A records inventory is a survey of agency records and nonrecord materials. The inventory is primarily used to develop records retention and disposition schedules and to identify various records management problems (i.e., a need to clarify custodians of official records, inappropriate retention of records, privacy act records requiring protection, etc.). The records inventory system is a process used to identify the recordkeeping system, location, storage media, equipment, custodian, volume, access restrictions, etc. The inventory is conducted and maintained by Bureau Records Administrators in coordination with records custodians.

.34 Records Maintenance and Use. Records maintenance and use as defined in 36 CFR 1220, is any activity involving the location of records of an agency or the storage, retrieval, and handling of records kept at office file locations. Records Administrators must coordinate with Records Custodians to ensure that access, use, file arrangements and maintenance of new records and systems produce usable final products. The Records Administrator provides guidance and policy for managing external access (use) to records and information on all media. This includes access to Public Room records, electronic data, FOIA, Privacy Act and data sharing procedures. Policy and guidance for managing external access can be found in BLM Manual 1278 - Confidentiality and Access to BLM Information.

A. Vital Records. The Bureau is responsible for safeguarding records vital to its own essential emergency and recovery functions, and to preserve the legal rights and interests of individual citizens. In accordance with Departmental Manual 436 DM 1, each field office is responsible for establishing and maintaining its own vital records program and developing local vital records and disaster recovery plans for use during and following an emergency resulting from natural or man-made causes. Program guidance should contain a list of those records required under emergency conditions and guidelines and procedures for protecting and maintaining the vital records. The Records Administrator is responsible for developing vital records policy and overall program review and for identifying vital records and to developing disaster recovery plans. (See Manual Section 1273 and H-1273-1.)

1. The requirements for contingency plans or continuity of operations plan (COOP) for ADP systems are found in Departmental Manual 375 DM 19.8D and OMB Circular A-130. Records Administrators will provide input in the development of local COOP's to address Records Administration concerns in order to minimize loss of data critical to missions of the Bureau, in coordination with ADP Security.

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A. Bureau Public Room Policy. Public room procedures should afford the greatest level of external access possible to Bureau records that are determined to be publicly available. Bureau public room services that are provided at no cost will be maintained to the extent feasible; however, the Bureau will recover costs for new services provided. Costs will be recovered for the actual cost of reproduction. Requests for external access under these procedures should be processed in a prompt and efficient manner. Standard Bureau cost recovery fees will be charged for appropriate services associated with providing access to records (see Manual Section 1278).

B. Freedom of Information Act Policy. Requests for records under the FOIA may be made for all Bureau records--public, information services, and nonpublic. If public records are requested through the FOIA, requesters should be encouraged to use the BLM public room procedures. If the requester cannot be persuaded to use public room procedures, FOIA requests for public records must be processed as FOIA requests. A FOIA request must be made for nonpublic records. Requests under the FOIA must be in writing and clearly describe the records requested. Proper FOIA requests will be handled pursuant to Bureau and Department FOIA procedures. See 43 CFR Part 2 and BLM Manual 1278.

C. Privacy Act Policy. The Bureau may maintain in its systems of records only such information about an individual as is relevant and necessary to accomplish a BLM function required to be accomplished by statute or Executive Order. Any individual may obtain access to their records in all systems of records maintained by the BLM, except those set forth as exempt from disclosure.

1. Privacy Act Federal Register Notices. Before the Bureau may begin operating a Privacy Act system of record it has created, a notice of the existence, content and routine use of the system must be published in the Federal Register. "System of Records" as defined in the Privacy Act, means "a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual" (5 U.S.C. 552a(a)(5)). "Routine Use" means "a disclosure of a record, for a purpose compatible with the purpose for which the record was collected and which has been established for the system of records" (5 U.S.C. 552a(a)(7)). Only information which is legally authorized and necessary will be collected and it will be maintained in a manner which precludes unwarranted invasion of privacy.

D. Data Sharing Policy. It is Bureau policy to share and exchange Bureau data to the maximum extent possible in order to enhance Bureau operations and to provide the most effective access/use of Bureau information. The BLM will acquire and/or release data/information documented through formal written agreements with external Federal, state and local government organizations when available. Records Administrators will coordinate with Data Administrators in developing agreements for data sharing and data exchange. Records Administrators should explore future use of records with creators during the LCM process to determine if data sharing is a possibility, who will be involved, and how the sharing will occur, will arrangements need to be made for cooperative sharing agreements and contracts, or can the data exchange be done using established public room or FOIA procedures. Detailed guidance on data sharing agreements is found in BLM Manual Section 1278.3.

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.37 Records Retention and Disposition. During the LCM process, the Records Custodian coordinates with the Records Custodian to identify records created by the project, identify applicable existing records schedules, start the process for requesting new or amended schedules if needed, and tailor the data/record location, custodians, media, etc., to produce a clean, workable system that includes as little handling and transferring as possible. See BLM Manual Section 1272.

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.4 Records Security. Offices should ensure that appropriate internal controls and safeguards are in place to prevent the loss of official documentation. This includes adequate administrative, physical and system security safeguards to protect electronic and non-electronic records against unauthorized access, modification or destruction. During the initiation phase of the LCM processes, the Records Administrator will identify "sensitive" records to avoid any unauthorized disclosures through data pairing or inappropriate access; assure that records are protected from destruction through adequate labeling, education, and safeguards; and ensure that security plans are in place for records systems containing "sensitive" records. See BLM Manual Section 1264 - ADP Security.

.41 Data Element Pairing. "Data Element" is defined as the smallest unit of data (characters or bytes) that has meaning in processing information, such as name, street number, city, ZIP code, age, animal/plant species, watershed number, soil type, etc. Records and Data Administrators must ensure discretionary control protection is in place to prevent unauthorized public disclosure due to DE pairing which might define or portray sensitive information, e.g., social security number, when paired with name. Records and Data Administrators coordinate with program staff leaders for review of data pairing situations. Since GIS technology produced products portray data visually in a graphics mode, often as maps, it is particularly critical that program leaders become aware of data pairing for resource/base data themes that collectively could portray sensitive data; e.g., roads, land lines and cultural data could inadvertently define areas susceptible to illegal "pot-hunting."

.42 Unauthorized Disclosures. Bureau records are to be safeguarded from inadvertent or unauthorized disclosure i.e., Privacy Act records should not be left unattended or in open view of unauthorized personnel. Privacy Act or proprietary/confidential records may only be used by or disclosed to individuals with a need-to-know in the performance of their duties. "Need-to-know" is defined as a need by an authorized officer/agency employee for access to privileged/confidential or otherwise sensitive information of material sought in connection with the performance of official duties or contractual obligations. The determination of that need will be made by officials having responsibility for privileged/confidential or otherwise sensitive information or material.

.43 Unlawful Destruction of Bureau Records. All information received, created or compiled by officers and employees of the Federal Government for the use of the Government is official Government record material and is, therefore, the property of the United States. No Federal official or employee has, by virtue of his position, any personal or property right to official records even though he may have helped develop or compile them. The unlawful destruction, removal from files, and use of official records is prohibited by the U.S. Criminal Code (18 U.S.C. 2071). Additional policy guidance on this subject can be found in 384 DM 3.8.

A. Penalties for Unauthorized Disposition of Bureau Records. Title 18 U.S.C. 2071 states that anyone found guilty of attempting to, or succeeding in the willful and unlawful concealment, removal, mutilation, obliteration, or destruction of official records is subject to a fine and/or imprisonment.

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.44 Computer Security Act. The Computer Security Act of 1987 requires agencies to protect information residing in computers and requires agencies to identify all systems containing "sensitive" information. Sensitive information such as proprietary/confidential, or Privacy Act information must be protected from disclosure and to the same level as if the information were on paper. The Act also requires agencies to prepare security plans for each system, and provide mandatory periodic training for all persons involved in use or operation of computer systems that contain sensitive information.

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.5 Cost Recovery. The current legal authority for recovering the cost of providing copies of BLM records is 43 U.S.C. 1460. The OMB Cost Recovery guidance (OMB Circular A-130) and 43 U.S.C. 1460 are based on the concept of recovery of direct costs associated with providing services. The goal and objective of BLM's cost recovery program is to establish Bureauwide cost recovery rates for products and services provided to the public. These rates apply for all media and comply fully with OMB Circular A-130. The Records Administrator uses the LCM processes to identify (early on) any records/products that will generate use by the public or other agencies and require cost recovery for this use. This will extend to assuring that procedures are in place or will be developed to capture this actual cost.

.51 Cost Recovery Umbrella Program. Cost recovery is considered to be an "umbrella" program for many different types of activities. Costs can be recovered from FOIA requests, Privacy Act requests, contracts, assistance agreements, and general written and personal requests to BLM Public Rooms. Costs can also be recovered for copies of an end product (i.e., map, photo, tape, training video, etc.) or possibly a fee or usage charge applied on a program-by-program basis. Cost recovery and managing external access to BLM records are inseparable issues (see Manual Section 1278).

.52 Cost Recovery for Spatial Information. Spatial data are geographically referenced features that are described by geographic positions and attributes in an analog and/or computer readable (digital) form. The definition is applied in the broadest sense because the vast majority of information used for management of the public lands should or does have a geographic reference. Spatially derived information includes Geographic Information Systems (GIS) technology information, satellite imagery, autocad, Cadastral plats, etc. Technology provides the ability to produce maps and graphic products at any level of the organization. This capability has generated requests for spatially derived products from the general public, State governments and various interest groups. It is the Bureau's policy to create a means of fair and equal access to these public information products. Existing cost recovery rates will be applied, but because of changes in technology and product/data requirements these rates may not cover each situation. Records Administrators are responsible for identifying new rate requirements to the Director, WO-783. Records Administrators must coordinate with Data Administrators and Mapping Sciences to develop local policies for production and distribution of these products and must ensure appropriate cost recovery is applied. Records and Data Administrators will coordinate with Mapping Sciences to assure the quality and integrity standards of these products.

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.6 Judicial Use of Records. Records are the principal form of evidence used in court and administrative proceedings. The proper creation and maintenance of records ensures that the agency can prove compliance with the law, show regular patterns of activities, and support the agency's case in litigation. Without appropriate records, agencies can be fined or penalized, lose rights, or experience adverse judicial or administrative decisions. See BLM Manual Section 1270-1 for requirements for the judicial use of electronic records.

.61 Records Introduced as Evidence. Records are generally introduced as evidence under one of two circumstances. First, the records may be introduced in support of the case or point of view and the records must be created and maintained according to certain requirements to be admissible. Second, records may be subpoenaed from the agency by an adverse party and used against the agency. Usually, all records created by the opposing party are admissible because, in the eyes of the law, they are "admissions" or "information against interest" of the creating party.

A. Federal Rules Procedures. The Federal Rules of Evidence (Title 28 of the U.S. Code Appendix-Rules of Evidence) serve as the primary guide for evidence submitted to a Federal court. The Federal Rules require that records meet certain standards in order to be admissible in court proceedings to assure the trustworthiness, accuracy, and reliability of records.

B. Excluding Records as Evidence. The courts view records as "hearsay" because they derive their value from sources not before the trier of fact. "Hearsay" is a statement other than one made by the declarant while testifying at the trial or hearing, offered in evidence to prove the truth of the matter asserted. However, there are a number of exceptions to the "hearsay" rule which will permit records to be admitted into evidence when properly introduced and the records tend to prove or disapprove one or more of the factual issues in contention.

1. Public Record Exception. The first exception permits introduction of public records in place of direct testimony by public officials. Public records were generally maintained to show land ownership and other property rights. Public policy and common sense dictate that the courts recognize these records because they established land ownership far better than live testimony and preserved information for long periods of time. Under the "Public Records Exception to the Hearsay Rule," a public official introduces the original recorded document. Modern law permits the public official to produce a duplicate, instead of bringing the original record to court.

2. Business Records Exemption. Courts recognize the importance of admitting business records as evidence because the records often accurately document business transactions. Because the safeguards provided by oaths and cross examination of witnesses are not available with records, the courts have added safeguards to ensure their "trustworthiness." Parties desiring to admit records in evidence must generally show compliance with these requirements, and judges reserve the right to exclude records from evidence which do not prove to be trustworthy. These requirements are designed to exclude self-serving, inaccurate, or fraudulent records from evidence and to enhance the trustworthiness of the "testimony" provided by the records (see .62D).

.62 Scope of Original Records. Original records include any memorandum, report, record or data compilation, in any form which meet the stated requirements and therefore includes computer output, microfilm, computer records, audio or video recordings, photographs, and digitized records. Even though jurisdictions accept most duplicate records in evidence, the court may still require demonstration of their trustworthiness and authenticity. The trustworthiness of duplicates is no better or worse than for original records. Trustworthiness is not based on the media but rather the procedures followed in producing the record.

A. Requirements for Creating Original Records. The Federal Rules of Civil Procedure establish the following requirements that must be met for records to be admissible in court as business records of regularly conducted activity:

1. Records must be made at or near the time of the event.
2. Records must be made by or from a person with knowledge of the event.
3. Records must be kept in the regular course of business.
4. Records are regularly created by that type of business activity.
5. The custodian of the records or other qualified witness must testify that the record submitted to the court meet the requirements for admissibility.

B. Original vs Copies of Records. The best evidence rule requires the introduction of the original record into evidence unless it is unavailable for reasons other than the serious fault of the proponent of the information. If the original cannot be introduced, a copy or a duplicate may be used if deemed trustworthy. The purpose of this rule is to guard against inaccuracies and fraud.

C. Records Authentication. The "Federal Rules of Civil Procedure" requires all records be identified and authenticated prior to admissibility in court. This may be done by testimony of a Records Administrator or the authors of the records. The Rules provide a method by which an individual with no knowledge as to how the records were created can introduce them into evidence. The Rules permit an individual or records custodian to present evidence describing how the process or system produced an accurate result. This requires a showing that the agency's records administration and records management programs provide policies and procedures for creating and maintaining records and that the records in question are in fact accurate because they were created and maintained under this program.

D. Ensuring Trustworthiness. The purpose of the Business Records Exception to the Hearsay Rule is to ensure that records introduced in evidence are trustworthy since, in many instances, no sworn testimony is available to corroborate the details of the event or transaction (see .61B2). Records created under the following scenarios are usually presumed to be trustworthy:

1. Records prepared in the regular course of business.
2. Records having an independent business purpose.
3. Records required by law. Records prepared to meet specific legal requirements are considered trustworthy.

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- 4. Records prepared with no motive to misrepresent or change the record.
- 5. Records prepared before litigation is foreseen.
- 6. Records corroborated by independent evidence.
- 7. Records containing factual information rather than opinions.
- 8. Records prepared by an experienced person.

E. Standards of Trustworthiness. Overall standards of trustworthiness require:

- 1. Written procedures.
- 2. Training.
- 3. Audit/evaluation procedures.
- 4. Additional requirements for electronic records include:
 - a. Equipment reliability. Was the equipment reliable on the day the computer record was prepared?
 - b. Data integrity. Established process for data entry requiring verification procedures and percentage of accuracy.
 - c. Audit trail. Steps followed in processing and method used to prevent loss of data.
 - d. Security. What measures prevent misuse of data?
 - e. Software reliability. Process for testing software for errors and identifying version of software used to create the record.
 - f. Printout methods and timing. Was the record prepared in the regular course of business?

.63 Records Certification. The records certification process involves certifying and embossing the official Bureau seal to attest to the source and authenticity of copies of documents. Copies of records are certified only upon request. Heads of Field Offices may designate any permanent employee under their supervision to certify copies of records. Each State Office, the SC, and BIFC will use the Official Bureau embossing seal to certify patents or other Bureau documents requiring the official seal (see 43 U.S.C. 1460). Records certification is usually provided in the Public Room.

.64 Records Integrity. The Bureau must maintain accurate and up-to-date records which have a high degree of integrity and reliability. Methods or procedures for ensuring integrity of the records must be developed and documented during the earlier stages of LCM. Data Administrators will develop policy and guidelines for data integrity to ensure that standards for quality, accuracy, reliability and validity of data are established by BLM program staff. Responsibility for assuring the integrity of information generated within the Bureau, or from information obtained outside the Bureau and utilized by Bureau employees is shared by the Program Managers, Project Managers, Records Administrator, Data Administrator, Records Custodians, etc.

.7 Information Collection Budget (ICB). Collections of information made by the Bureau will be structured so that the burden on the public is kept to a minimum. The Bureau will not collect information from ten or more persons unless it is essential to a program and the information collection has been approved by the OMB. The burden associated with each collection of information must be allowed for in the annual information collection budget. The Paperwork Reduction Act requires Government agencies wishing to collect information from ten or more people (i.e., questionnaires, forms, etc.) to first obtain approval (clearance) of the requirement from the OMB. Information Collection Program requirements are applicable to all Bureau actions which will result in the collection of information from, or place recordkeeping requirements on the public.

.71 Clearance Package. Bureauwide information collections are the responsibility of Washington Office (WO) Program Leaders and Assistant Directors. Field offices are responsible for additional collections within their jurisdiction. Records Administrators assist in identifying collections that require OMB approval and provide advice on the clearance package, composed of a Standard Form 83 (SF 83), Request for OMB Approval, and other documents required by the OMB for each information collection for which clearance or renewal of clearance is requested. (See Department Manual 381 and Information Collection Handbook.)

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.8 Records Evaluations. The Paperwork Reduction Act of 1980 requires triennial review of information management activities in each agency of the Federal Government. As a part of the IRMR Program, the WO will conduct an evaluation of each State Office, the SC and BIFC Records Administration Program on a triennial basis. The IRMR reviews may encompass any or all activities of planning, budgeting, organizing, directing, training, and control associated with the creation, collection, processing, transmission, dissemination, use, storage, and disposition of information by agencies.

.81 Review Categories. The Records Administration portion of the IRMR will address at a minimum, the following categories of review:

- A. Life Cycle Management.
- B. Adequate documentation.
- C. Access to BLM information (FOIA, Privacy Act, Public Room, and Data Sharing procedures).
- D. Cost Recovery.
- E. Planning and executing automated information activities.
- F. Electronic filing.
- G. Data confidentiality and security.
- H. Office automation systems.

.82 Participation in IRMR's. Field office reviews/evaluations of the Records Administration program will be conducted by the Bureau Records Administrator using the guidelines contained in BLM Manual Section 1244 - Administrative and Technical Procedures Review. Whenever possible, a Records Administrator from another State will participate in the review.

.83 Routine Evaluation. The Records Administrator periodically inspects, audits, or reviews records administration programs and provides on-site assistance to ensure compliance with applicable laws and regulations.

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.9 Records Administration Training. The BLM shall provide appropriate training to Records Administrators pertinent to their assigned responsibilities. Appropriate training must also be provided to all BLM personnel on the creation, maintenance and use, and disposition of records in accordance with Bureau and other Governmentwide regulations.

.91 Training Resources.

A. BLM Records Administration Courses. BLM Records Administration Courses include:

1. Information Access Training (FOIA, Privacy Act, Data Sharing).
2. Electronic Records Training.
3. Records Transition Training.

B. Additional Training Resources. Additional training is available through the following resources:

1. BLM Workshops and Conferences.
2. Various NARA Courses on Managing Federal Records.

C. Additional Training: Additional training areas may include:

1. Physical Security and Information Security.
2. Data Administration.
3. Systems Engineering.
4. Project Management.

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Glossary of Terms

-A-

access: the availability of, or the permission to consult, records.

adequacy of documentation: a standard of sufficiently and properly recording actions and/or decisions. Derives from the legal requirement that agency heads "make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities."

administrative records: records relating to budget, personnel, supply, records and data administration, and similar housekeeping, or facilitative, functions common to most agencies.

administrative value: the usefulness of records in conducting an agency's current business. Includes fiscal value and legal value, which are usually analyzed separately when records are evaluated for disposition.

appraisal: the process of determining the value and thus the final disposition of records, making them either temporary or permanent.

Archives: the noncurrent records of an organization preserved because of their continuing, or enduring, value. National Archives of the United States means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Federal Government, and that have been accepted for deposit in the Archivist's custody.

automatic data processing (ADP): systematically performing a series of actions with data by using automatic machines, primarily electronic digital computers. Also called automated data processing.

-C-

classification: the process of determining the sequence or order in which to arrange documents.

computer: an electronic device designed to accept data (input), perform prescribed mathematical and logical operations at high speed (processing), and supply the results of these operations (output). A digital computer processes data as numbers and includes mainframe computers, minicomputers, and microcomputers. In contrast, an analog computer represents data by measurable quantities, such as voltages.

continuity of operations plan (COOP): a plan to minimize the disruptive effects of an adverse event and provide for timely recovery of the ADP facility when an adverse event does occur. The plan includes a defined plan of action and specific assignment of responsibilities.

copy: a reproduction of the contents of an original document, prepared simultaneously and usually identified by function or by method of creation. In electronic recordkeeping, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source.

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-D-

data administration: the administrative function of managing and controlling Bureau data resources as an asset. This includes directing or coordinating all activities and implementing policy and procedures related to strategic data planning, data standards, data security, data documentation, data exchange, and developing plans and training to meet BLM's current and future information needs.

data base administrator: the individual responsible for controlling the content, design and access to specific paths or areas of a data base to avoid redundancies, enhance performance and provide required information protection. The data base administrator is responsible for the coordination of the physical design and structure of the data bases.

data dictionary: a software system that catalogs, cross references, identifies and labels the relationships of data elements to all applications and sub-elements of information systems. The data dictionary is an organized integrated repository of information about data that defines and relates the data resources of the BLM.

data element: the smallest unit of data that has meaning in processing information. It cannot be broken down any further. For example, "customer address" would be considered a data entity because it can be broken down further into "street number," "street name," "city," "state," and "zip code." The broken down parts of the entity called "customer address" are considered data elements.

data modeling: the development of data flow diagrams (DFD's), entity relationship diagrams (ERD's) and other graphic displays to represent a collection of data elements, processes and the associations among these data elements. Data administration oversees the data modeling activities which produce the conceptual data model (the overview in general terms of the purpose and content of the intended data base) and logical data model (the foundation for the physical data base design or structure of the data base) for use in building the physical data base(s).

data quality: the degree of excellence of data that allows users to have confidence in using the data. Data quality is the description of the accuracy, reliability and consistency of data when compared to known standards.

data sharing: a concept of data management referring to the level of integration of data bases that allows wide access to the data by a large group of users. The benefits of data sharing include time and costs of data collection and maintenance saved by individual programs.

data sharing agreement: written agreements that document various types of partnerships the Bureau forms with other entities to trade or exchange records or information. The formal agreement must take the form of a memorandum of understanding, contract, assistance agreement (includes cooperative agreements and grants). Agreements must address issues of source identification, cost recovery, integrity levels, use of data, confidentiality statements, etc.

disposition: the actions taken regarding records no longer needed in current office space. These actions include transfer to agency storage facilities or Federal Records Centers (FRC), transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records.

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disposition authority: legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal or temporary records. Disposition authority must be obtained from the National Archives and Records Administration (NARA) and also, for certain records proposed as temporary, from the General Accounting Office (GAO).

documentation: the act or process of substantiating by recording actions and/or decisions. Records, generally in paper form, required to plan, develop, operate, maintain, and use electronic records. Included are systems specifications, file specifications, codebooks, record layouts, user guides, and output specifications.

-E-

electronic record: any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 USC 3301. Electronic records include numeric, graphic, and text information, which may be recorded on any medium capable of being read by a digital computer and which satisfies the definition of a record. This includes, but is not limited to, magnetic media, such as tapes and disks, and optical disks.

electronic recordkeeping: the creation, maintenance and use, and disposition of records created and stored by using a computer.

evaluation: in records disposition, the process of assessing the value of records to recommend or determine their retention periods, making the records either temporary or permanent.

evidential value: the usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. Considered by the NARA in appraising records for permanent retention.

-F-

Federal Records Center (FRC): a records center operated by the NARA.

final disposition: the end of the records life cycle in which temporary records are disposed of and permanent records are transferred to the National Archives.

fiscal value: the usefulness of records in documenting an agency's financial transactions and obligations.

-G-

geographic information system (GIS): the GIS is a tool (software) used to compare and manipulate data for analysis. Data entered into the GIS database are commonly represented digitally.

GIS Product: a system of computer hardware, software, and procedures designed to support the capture, management, manipulation, analysis, modeling, and display of spatially referenced data for solving complex planning and management problems. The key element distinguishing GIS's from other data management systems is the use in GIS of spatial data. The GIS products are a subset of maps, using GIS technology to produce not only map products but charts, graphs and other image or 3-D simulated representations.

-I-

information: facts or data communicated or received.

information collection: obtaining or soliciting information from persons, other than BLM employees, during the course of normal business by means of identical questions, whether the collection is mandatory, voluntary, or required to obtain a benefit. The "obtaining" or "soliciting" of information includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information. (See Information Collection Handbook (381 DM)).

information collection budget (ICB): the ICB refers to the planning document required by the OMB for information collection activities. The ICB is compiled every year based on instructions provided by the OMB. Individual information collections are listed separately along with the estimated burden associated with each. (See Information Collection Handbook (381 DM))

information resource management (IRM): the planning, budgeting, organizing, directing, training, promoting, controlling and assessing activities associated with the burden, collection, creation, use, access, dissemination, and disposition of information by the BLM. It includes management of information system environments, both manual and automated, including computer systems hardware, software, data, telecommunications, and automated data processing facilities. It also includes managing both the information itself and related information resources such as personnel, equipment, funds and technology.

information system: an organized or established procedure whereby information is received, processed and retrieved via manual or automated means.

informational value: the usefulness of records in documenting persons, places, things, or matters dealt with by an agency, in contrast to documenting the agency's organization, functions, and activities.

integrity: the level or degree of information being complete, unimpaired, whole, sound and perfect.

-L-

legal value: the usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities.

life cycle of records: the management concept that records pass through three stages: creation, maintenance and use, and disposition.

life cycle management (LCM): the process of cradle to grave management of a project, system or record. The life cycle itself is the time span between the establishment of a need for a system or record and the end of its operational use. The LCM process is a step-by-step planning process that assures systems implemented meet user needs, that are within management priorities and that are the most cost-effective for the Government.

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-M-

metadata: information or documentation about data stored in the data dictionary or data repository. Typical metadata may include data element names, definitions, alias names, valid codes, system wherein it resides, access and change authorities, security classification, stewardship information, attributes, etc.

modernization: term used in the BLM to describe the total effort to automate existing manual systems and improve current automated systems.

-N-

National Archives and Records Administration (NARA): a Federal agency that consists of National Archives, FRC's, and Records Administration, responsible for all issues with Government records.

nonrecord materials: U.S. Government-owned informational materials excluded from the legal definition of records. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called nonrecords.

-P-

permanent records: records appraised by the NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes.

proprietary/confidential information: for the purposes of this Manual, proprietary/confidential information is information submitted to the Government in expectation of confidentiality, the release of which would result in substantial competitive harm to the submitter.

published product: a technical note, study, plan, or other collection of information bound and published by the BLM alone or in conjunction with other agencies that is released to the general public or specific entities for review or information.

-R-

records administration: the function of managing the life cycle of recorded information which includes the identification of records automation needs, records legality/integrity, information classification, information access, data sharing and exchange, cost recovery and security standards, records inventory, vital records and disaster plans, records disposition schedules and coordination with National Archives.

records inventory disposition system (RIDS): the Bureauwide inventory used to identify the location, type, storage media, custodian, and volume of each record and name of the electronic recordkeeping system or application maintaining these records.

records maintenance and use: any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency. This is the second stage of the records life cycle.

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records material: records are books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by the Bureau 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 data in them.

records schedule: a document providing authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, or schedule. Includes the SF 115, Request for Records Disposition Authority, the General Records Schedules, and the agency records schedule, which when completed becomes a comprehensive records schedule that also contains agency disposition instructions for nonrecord materials.

-S-

sensitive information: any information, the loss, misuse, or unauthorized access to or modification of which could adversely affect the national interest or the conduct of Federal programs or the privacy to which individuals are entitled under the Privacy Act.

spatial data: any element in a data base that has some form of spatial identifier. The spacial identifier related to a spatial data base element can be coordinates, site address, geographical area identification codes and parcel identifiers.

-T-

temporary records: records approved by the NARA for disposal, either immediately or after a specified retention period. Also called disposable records.

theme/data theme: theme, as used in the GIS technology, is a spatial entity or something one wants to store data about. A GIS database is composed of a number of single "layers" of information, such as vegetation, ownership or transportation. These layers of information are referred to as data themes.

trustworthiness: the degree to which a court, a judge, or other decision maker can rely on evidence based on procedures followed in producing a record. Standards include, written procedures, training, audit/evaluation procedures etc.

-U-

unscheduled records: records whose final disposition has not been approved by the NARA.

-V-

vital records: records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Recommended that duplicates or extra copies of these records be located off-site.