H-1270-1 - Electronic Records Administration

1. <u>Explanation of Material Transmitted</u>: This Handbook provides guidance on the administrative and legal requirements and procedures needed for the completion of an Official Agency Record Designation Document (OARDD) for automated records. The proper following of documentation procedures will lay a foundation which enhances the Bureau's opportunity of being able to use an electronic record as legally admissible evidence in litigation. Records Administration policy requires this documentation to support the BLM's designation of these data as official agency records before use of the data in Bureau of Land Management decisionmaking. Relevant documentation also fulfills administrative and statutory requirements, and helps provide a smooth transition to an automated environment. Procedures described in this Handbook also apply to development of an electronic record system without previous manual records.

2. <u>Reports Required</u>: None.

3. <u>Materials Superseded</u>: None.

4. <u>Filing Instructions</u>: File as directed below:

<u>REMOVE</u>: <u>INSERT</u>:

None H-1270-1

(Total: Sheets)

Assistant Director, Management Services

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Illustrations

Chapter I. PURPOSE OF THE HANDBOOK

This Handbook provides guidance on the procedures needed for the Official Agency Record Designation Document (OARDD) for automated records, which includes development of an automated record system without previous manual records. With the increased use of electronic recordkeeping, and potential for requiring the submission of information from databases in court as evidence, the OARDD procedure enhances the Bureau's opportunity of being able to use an electronic record as legally admissible evidence during litigation.

Records Administration policy also requires this documentation to support the Bureau of Land Management (BLM) designation of these data as official agency records before use of the data in BLM decisionmaking. Relevant documentation also fulfills administrative and statutory requirements, and helps provide a smooth transition to an automated environment.

Chapter III of this handbook provides the narrative format portion of the OARDD. Illustration 1 identifies the necessary sequence of action items and approval (checklist) which require completion. Illustration 2 is an example of a complete OARDD package.

Records Administrators coordinate and assist the program staff in developing the OARDD. The Bureau Records Officer, WO-873, can also be contacted for assistance.

CHAPTER II. BACKGROUND TO DOCUMENTATION AND LEGAL STANDARDS.

A. Introduction.

The following is prepared to familiarize Bureau of Land Management (BLM) records administrators and managers, records custodians, and employees in general with the "Rules of Evidence" as they apply to electronically filed records. This familiarization should assist in establishment of appropriate procedures in creating and maintaining such records that will assure their admissability in court proceedings, and enhance their value as reliable and trustworthy representations of their contents. The OARDD format was designed with these legal guidelines in mind.

B. What is a Record?

According to 44 U.S.C. 3301, a Federal record 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...." Electronically stored data and software created or enhanced by the Bureau are considered "records". By this definition, records and data are considered synonymous, and all outputs produced from electronic systems are records regardless of the media. When manipulation occurs to a data element, layer, or theme, the resultant data also becomes a record.

C. Legal Standards of Trustworthiness.

Courts have traditionally excluded records from evidence because they viewed live testimony as the most trustworthy and dependable kind of evidence, therefore, present day courts will admit documentary evidence as long as such evidence qualifies for admission. In the past judges have been somewhat reluctant to accept computerized documentation because of their bias towards such evidence; one reason being that it is relatively

easy to alter electronic records. Therefore, laying the foundation for their admission must be done carefully. The court opinion indicates that "the most common reason for the rejection of computerized evidence is the failure of the proponent of the evidence to lay a convincing foundation as to its accuracy and trustworthiness." The documentation required in this directive lays the proper foundation or "...the requirement of introducing evidence of things necessary to make further evidence relevant, material, or competent" for admitting electronic records as evidence in court.

1. The Federal Rules of Evidence.

The Federal Rules of Evidence (28 U.S.C., Appendix) is a compilation of well established principles of evidence law. It requires that all records regardless of media must meet certain standards to be admissible in court. Admissibility in court may depend on whether the documentary evidence is **relevant and competent**.

a. Authentication.

Relevancy will require **authentication** (Federal Rules of Evidence, 901). Anything offered as evidence is subject to challenge regarding its genuineness. The records custodian must provide authentication by:

(1) Demonstrating the process or system used to create the records;

(2) Documenting the written procedures;

(3) Training; and

(4) Audits that were followed.

b. Competency.

Even if documentary evidence is fully authenticated and relevant, if it violates either of the **competency rules** such as the Best Evidence Rule (Fed. R. Evid.,1001) and Hearsay Rule (Fed. R. Evid. 801), it will not be admitted. Respectively they involve producing the original, and not classifying information as hearsay, by proving that it was made in the regular course of business.

In laying the proper foundation for admissibility of electronically filed evidence, Federal records managers or custodians, or personnel involved in the preparation, maintenance and handling of such records, are subject to being selected as witnesses for the Government. In addition to the above, particular attention also is given to:

(1) Reliability of the equipment;

(2) Integrity of data entry;

(3) Methods used to prevent loss of data;

(4) Reliability of the computer programs, time and method for

preparing printouts.

The rules of evidence are no different for electronically filed records than for paper records. However, because electronic files are particularly susceptible to purposeful or accidental alteration, or incorrect processing, laying a foundation for their admission must be done with particular care.

2. Court Instruction

Courts often require that electronic or automated records meet additional standards of trustworthiness because of the possibility of the evidence containing undetectable errors. These errors come about in a variety of ways, through software, hardware, data entry, and deliberate alteration. Case law indicates that courts may require proof that standards have been met in the following areas:

a. Equipment reliability (hardware);

b. Data integrity;

c. Audit trail (documentation of changes);

d. System security; and

e. Software reliability.

II-3

The Official Agency Record Designation procedures were developed in light of the legal standards and guidelines identified above. In the Solicitor's Opinion, "Automated Data Processing - BLM Land Status Records," September 1982, BLM is strongly counseled to lay a proper foundation for automated records to ensure their admissibility as evidence in court.

D. Official Agency Record.

This is a designation given to any manual or automated Bureau record that has met all legal and administrative standards of trustworthiness as set forth in this Handbook. An OARDD may ultimately be used as a necessary foundation for establishing trustworthiness of the particular records before records can be admitted in court as evidence. It is Bureau policy that all automated records systems meet integrity and quality standards prior to use for agency decisionmaking, and therefore must first be approved as official agency records. Existing automated records systems that are used to make agency decisions must be supported with a OARDD.

E. Relationship of OARDD to the Information Life Cycle Management (LCM) of Process.

A Records LCM includes creation, maintenance and use, and disposition. All BLM electronic records system's LCM will be documented through the OARDD process. Electronic record systems may be developed to replace existing record systems or create new records systems. If developed to replace an existing record system, analysis should also be conducted on the impact to the LCM of the existing information. For example, a new system may preclude the need to continue creation of records in the current system. Additionally, the maintenance, use and disposition requirements of existing systems may change. The disposition requirements of the existing system may change, e.g.,reduced retention time. The impact or maintenance and use of information may result in stricter security or more distributed access with the new system. The OARDD is a dynamic document which should be updated as necessary to keep documentation current.

F. Administrative and Statutory Requirements.

BLM must adhere to administrative and statutory requirements for record keeping, regardless of media. Resolution of issues related to the following topics is mandatory for completion of OARDD:

1. Access (Freedom of Information Act (FOIA), Privacy Act,

Exchange Agreements, public impact);

2. Disposition;

3. Maintenance;

4. Cost Recovery;

5. Inventory; and

6. Vital records, preservation, and disaster recovery.

G. Records Systems Which Require the OARDD are identified below:

1. Any system involving land status, land use, or title information, or those systems that are considered controversial or sensitive; and

2. Bureau-wide, State-wide, and individual office systems that contain data used for agency decisionmaking, such as resources, mapping, or inventory data.

Chapter III. THE OFFICIAL AGENCY RECORD DESIGNATION

A. Introduction.

Illustration 2 provides a sample of a completed OARDD. The OARDD is composed of (1) a narrative and (2) the Official Agency Record Action Items and Approval Document (or checklist). This chapter will explain in detail what is needed for a complete and accurate narrative. Illustration 1 provides the checklist with the necessary sequence of action items. The narrative must accompany the checklist to complete the OARDD. These documents are required for all electronic record systems. The categories of areas addressed in both the narrative and action item list are (1) administrative/statutory; (2) data integrity; (3) software reliability; and (4) hardware reliability. This documentation outlines the actions to be accomplished, serves as a record of completion, certifies the data as an Official Agency Record, and may ultimately be used to support decisions in court.

1. Bureau-wide automated systems require completion of both the narrative by the WO program lead, and the checklist by the State office which documents the completion of the action items. Narratives for Bureau-wide systems are signed by the Director, and checklists by the State Director.

2. State systems require the completion of both the narrative and checklist (this OARDD is usually quite abbreviated however). Narratives and checklists for State-wide systems are signed by the State Director.

B. Level of Detail in the OARDD.

The level of detail in the OARDD should be commensurate with the complexity of the system. More complex projects will contain more analysis and documentation. References (identification and location of) made to additional studies, plans and procedures are entirely permissible. Plans should be kept as simple as possible - often a sentence or short paragraph per topic will be adequate. In addition, some topics may not be applicable to a specific project (for example, a system that did not replace manual records). In those cases, "Not Applicable" is appropriate. Lengthy explanation may be referenced and attached as appendices.

C. Coordination Points.

Records Administrators coordinate and assist the program staff in developing the OARDD, and maintain a file of these documents. The documentation must be completed by each state and signed by the State Director or Acting State Director. The following individuals may consult, write portions of the documentation, or review the draft documentation prior to the approval process:

- Employees & system users;

- Project Manager/Data Steward;

- Data Administrator;

- System Designers & Developers at all stages of LCM;

- BLM Information Access Center/Public Room staff;

- Program Leaders;

- ADP Installation Security Officer;

- IRM operations personnel; and

- Solicitor, Department of the Interior (if necessary)

D. Components of the Narrative Document.

The following segments cover the main subjects within the documentation and should be addressed in the order presented (see Illustration 2):

1. Background Section

The background must provide a brief overview of the records system. Proper reporting of the background section may establish the trustworthiness of the record desired to be admitted in court, and the verification of its original status. The following questions must be answered when they apply:

- What is the purpose of the system?;

- What is the legal authority (statute and regulations) required in

order to create the system?;

- What are the system's benefits to BLM?;

- How will the system be used (for what purpose and by whom)?;

- Are the records or system new?;

- Is there a conversion from manual to automated or a combination of both types?;

- Will existing records systems continue? If yes, for how long and why?; If no, when will complete conversion occur, and what will be the disposition of existing records?

2. Description of Records.

This section identifies any impacts the new system will have on the record's LCM of existing systems (such as discontinued creation of records in existing systems.) Also described in this section are: Any new data; new record capabilities; enhanced information; and new reports. The following provide guidance on information needed in the subsections of this category:

a. Existing Records.

This part provides an overall description of the current records from which the data in the new system will originate, including what media was used. Will the proposed system create records never created before? Include information such as authority, purpose, security, disposition requirements, and access category in this subsection.

b. Project Records.

This section should also provide a brief description of the system documentation, plans, approvals, and training materials. General administrative project files, such as project administration correspondence, personnel matters, and general memos, should utilize subject filing codes as required in the BLM Manual Section 1261, Life Cycle Management/Automation, Information Resources Management (AIM).

c. Proposed Records System.

Describe the proposed records system, including recommended disposition, subject codes, media, location, access control, custodian, and cubic feet. and add this to the existing office records inventory. Provide a recommended disposition requirement for, retention and ultimate disposition of each record associated with the system (SF-115). Describe unscheduled records and/or any scheduled records that require revision to their current disposition authority, adhering to requirements in BLM Manual Section 1270-1.

A brief description of **all** the records associated with the new system should include:

(1) Inputs: Provide an inventory of all inputs and sources of data entered into the system. Describe origination of data, format, inclusive years, location, arrangement, and quality assurance/control procedures. These may constitute the existing records.

(2) Outputs: Provide an inventory of outputs or principal products of the system, including: screens, printouts, charts, tables, graphics displays, reports, maps, and correspondence on media.

3. Administrative/Statutory Requirements. The following are normal records administration requirements for Federal records. The completion of this information is important for establishing the system in court as one that has been developed in the normal course of business. Identifying sensitive portions of the database is also important when the information is transferred to the National Archives and access responsibilities are transferred to them as well.

a. Access Requirements.

BLM policy on access must be addressed in this section of the documentation. The following areas must be considered:

(1) Identify the records access category for the existing record system and new record system.(i.e. Public - Category 1; Discretionary - Category 2; and Nonpublic - Category 3). Manual Section 1278 on External Access to BLM Information, chapter .1, provides guidelines on records category designations. Additions to the records categories should be made according to guidelines provided in Manual Section 1278, chapter 1.

(2) What are the access requirements for each type of record and media?. If the access requirements differ, identify the requirements for each record. Refer to Manual Section 1278, chapter .2 & .3.

(3) Which data (or portion of the data) is releasable under the Freedom of Information Act (FOIA). Describe access restrictions for the records, such as Privacy Act records, proprietary/confidential information and statutes identified in #5 below. Refer to Manual Section 1278, chapter .3 which provides BLM guidance on determining FOIA exemptions and procedures. Manual Section 1278, chapter .7 covers the Privacy Act requirements.

(4) Can an individual's name or identifier be linked with information? Privacy Act considerations would apply in this situation.

(5) If data (i.e. Indian minerals information, archaeological cites) were paired with a geographic location or other code, would the pairing of two or more kinds of information cause withholding it as sensitive information which is protected under the FOIA, or other statute applicable under FOIA exemption 3, such as the Indian Minerals Development Act, 25 U.S.C. 2101, etcetera. Refer to Manual Section 1278, Chapter .32C.

(6) Identify any differences, if any, in access requirements of existing proposed systems.

(7) Identify any potential or projected formats which may make the data more available to the public.

(8) Which disclaimer labels will be applied to the draft database as directed in Manual Section 1278, .12, .13, and .14, and for draft databases in .32E(c)?

(9) What agreements to share data are there for existing systems, and for the new system? Refer to Manual Section 1278, Chapter .6. Records Administrators shall maintain an inventory of agreements to share data for each system.

(10) Records shall be maintained addressing the date, nature and purpose of each public inquiry, and the name and address of the requester. Records on each case will be maintained for five years.

b. Vital Record Status.

(1) Determine vital record status.

(2) Identify protection measures, if any, that are necessary as a result of the development of the automated system. (See Vital Records Manual 1273).

(3) Determine physical disaster recovery requirements, if any. Identify duplication/backup and storage procedures and information on location.

(4) Records Administrators will develop and document information on vital records storage agreements.

c. BLM Information Access Center/Public Room Impacts.

(1) What impacts will the new system have on the BLM Information Access Center/Public Room? Will new user guides, training materials, training of the public and BLM employees, etc., be needed? Will it be more easy/difficult to access?

(2) Will there be an elimination of any system? What impacts will that have?

(3) What sector of the public will the information be of interest to? Estimate the volume of information that will be requested or frequency demanded, and how it will affect Public Room operations (will more space, or redesign of the existing area be needed?)

(4) Include the steps needed to make information available to the public, any phase-in requirements, and outreach efforts necessary?

(5) Any significant changes in information dissemination which may affect the public requires a public notification. A Federal Register notice identifying the new system's availability to the public should be done and noted in the documentation (refer to 8a(6)(i) from OMB Circular

A-130, 7/2/93).

d. Data Sharing/Exchange. Procedures for data sharing should comply with guidelines provided in Manual Section 1278, chapter .6

(1) Describe potential data exchanges which may take place with external entities (other Federal agencies, State and local governments or the public); and

(2) Consider the availability of the information under the access categories. What portions would need to be restricted to these groups?

e. Cost Recovery. Users will be charged in accordance with cost recovery policy established in the BLM Manual Section 1270-3 and H-1270-3, Cost Recovery, and current cost recovery rates. See also Manual Section 1278 regarding cost recovery for requests for information citing the FOIA, and for each of the three records categories.

(1) What is the full cost of operating the system? The Office of Management and Budget requires the BLM to implement policies and procedures to account for the full cost of operating data processing facilities;

(2) Describe any impacts on cost recovery when changing systems;

(3) What are the data processing costs associated with external and internal users; and

(4) Describe cost recovery for providing or copying BLM records and data on all applicable media.

f. Records Inventory and Disposition.

(1) If the new system will be replacing an existing system, in particular or in whole, describe the strategy and timetable for discontinuing existing records and conversion to the new record system.

(2) Describe the time frame and mechanism for dual record keeping systems, if pertinent.

(3) Include any impact on existing maintenance, use, and disposition such as reduced retention or redesignation from permanent to temporary.

(4) Cite existing records schedule and provide recommended retention and disposition requirements for the new system and new disposition for existing system requirements change and why.

(5) Cite the schedule number for the existing system(s).

g. Records Maintenance and Use. For electronic systems refer to electronic maintenance guidance in BLM Manual Section 1270-1, Electronic Records Administration, and "Managing Electronic Records" by National Archives and Records Administration (NARA). For manual records refer to Manual Section 1270.

Maintenance requirements will be affected by the access restrictions, security requirements, and users. The following should be included:

(1) Describe the procedures to ensure adequate maintenance of the electronic and hardcopy records;

(2) Include media and storage requirements of all records to include electronic records and any outputs; and

(3) Manual record inputs and outputs.

(4) For electronic record inputs and outputs the following should be addressed:

(a) Computer tape recopying and verification;

(b) Tape library retrieval and facilities;

(c) Indexing methodology;

(d) Backup procedures, disaster preparation, and continuity of

operations plans;

(e) Security/password procedures;

(f) Office of record for each record; and

(g) Remote storage site for vital records.

(5) Documentation shall be collected in a single location and maintained for the life of the system.

h. Data Integrity. State Data Stewards, with procedural guidance from State Data and Records Administrators, are responsible for assuring a complete collection and entry of data to Bureau acceptable quality levels. Data Stewards should be designated and identified in the State Data Quality Assurance Plans. It is essential to maintain accurate documentation in the following areas in order to ensure the official records status for the records:

(1) Audit Trail. These data files are dynamic and will be updated on a regular basis. For electronic records, documentation of all updates to the data will be maintained in an automated audit trail by user ID. Also include the following:

(a) Describe the procedures for entering data and generating the output. Organizations must be able to show an adequate audit trail leading to the creation of the data;

(b) A method for noting the date and time of creation and of printout or viewing of the record must be established.

(c) Identify whether the electronic record and manual record is a "snapshot" of data at regular intervals (daily, weekly, etc.). When and how is the information preserved for archiving purposes?

(d) What data was changed or added to, and the date and time of such actions;

(e) Is the change due to error or due to new information;

(f) Occasionally, data may be altered or reformatted to work more efficiently or effectively, or to achieve better compatibility. Describe how data is changed by software or other means;

(g) Identify when outputs (manual records or views) become a record; and

(h) Describe the audit trail procedures to recover data in the event of loss or alteration, or to review records at a certain point in the past, such as by copying all data to tape monthly or archiving all changes to date. If required, include the system in a disaster recovery plan or continuity of operation plan.

(2) System Security. Describe security procedures used to protect the data from unauthorized entry or alteration, such as the delegation of change/view authority or use of a password, which will be developed by the program staff. Procedures shall be consistent with BLM Manual

Section 1264, ADP Security. Some considerations for system security procedures are:

(a) Assigning individual user IDs and passwords as requested to BLM employees and the public in order to access the data;

(b) Note changes in passwords;

(c) Is sensitive data marked as such, and masked from viewing by unauthorized users?

(d) Encryption/decryption of this data takes place during transmission and storage on the network;

(e) Regular tape backups should be made on schedules daily, weekly, monthly, and yearly; and

(f) Duplicates of these tapes are kept offsite.

(3) Update Method. Documentation of update procedures will augment the trustworthiness of records in Federal court. Add information such as the following:

(a) The how, when, why, who, and where of update procedures in user guides, program manuals, and computer standard operating procedures; and

(b) Describe the training plans or materials to be used.

(4) Data Quality Assurance. Ensure that data validity and reliability are documented in the State Quality Assurance Plan in accordance with the BLM Manual Section 1283, Data Administration. Include training plans or materials. The proper management of all BLM data and information will enhance the integrity of the data.

(5) Training.

(a) Inreach - Describe the efforts and proposed schedule to educate affected employees/users to facilitate user acceptance of the system. Include materials used to provide training, briefing, and general understanding of the records. Describe plans to develop user guides, manuals, and handbooks. Add updates as they occur.

(b) Outreach - Develop a proposal to educate affected public members to facilitate user acceptance and create a support base. Include development of public announcements, Federal Register Notices, briefing packages, demonstrations, user guides, and training packages. Include training plans or materials.

(6) Software Reliability. The courts may require evidence of adequately functioning software in the event of a Federal lawsuit. Therefore, to ensure admissibility provide the following information:

(a) Installation Version: Reference the records documenting the installation version and date of software, and the LCM documentation for the software.

(b) Installation Procedures: Reference the documentation related to software installation procedures and the records documenting this procedure.

(c) Testing New Versions: Reference the documentation related to the procedures for testing new versions of installed software for adequate functioning and the records documenting these procedures.

(d) Modification/Revision: Describe the procedures for modifying or revising the software utilized by the system. These procedures may be found in local configuration management procedures. History of modifications and version descriptions of software and related documentation must be maintained and disposed of according to an approved records schedule. Consult your Records Manager for the appropriate disposition schedule.

(7) Hardware Reliability: Documentation of equipment reliability will facilitate the acceptance of records as trustworthy in Federal court.

(a) Personal Computers.

Identify the log book or daily diary of computer functions that support the maintenance of small decentralized computers. A regularly kept logbook describing equipment malfunctions will indicate that, unless noted otherwise, a piece of equipment can be assumed to be functional.

(b) Mini or Mainframe Computers. Describe the logbook or daily diary of computer functions and maintenance. Records Administrators may assist the Computer Operations Manger in determining appropriate retention of these logs to ensure admissibility of the records supported by such documentation.

(8) References. List any other materials or references used to prepare the OARDD. Include:

(a) Project documentation;

(b) Vendor-supplied materials; and

(c) Federal, Departmental, agency, and industry standards and

guidelines.

Much of the information required for the Official Agency Record Designation and Approval Document can be found in documents created during the LCM process of the project. Documentation may be difficult to obtain for non-project systems. Some reconstruction may be necessary. If such documentation is unavailable, a description of current and proposed processes is considered adequate.

i. Official Agency Record Action Items and Approval Document.

The Official Agency Record Designation Document (completed narrative and checklist) must be completed **prior to use by BLM for agency decisionmaking**. The narrative must be approved by the Director, BLM, for Bureau systems, and the checklist approved by the State Director. State Systems require completion of both the narrative and checklist **prior to use by BLM for agency decisionmaking**. Before the records are considered Official Agency Records, the requirements included in this Handbook must be met.

Illustration 1 is the format to be used for Official Agency Record Action Items and Approval Document (checklist). This document outlines the actions to be accomplished, serves as a record of completion, and certifies the data as an Official Agency Record. See Illustration 2 for a completed sample Official Agency Record Designation Document (narrative and checklist).

Glossary of Terms

-A-

access: the ability to view, inspect, or copy data or records in a manual or

an automated format.

agreements to share/exchange data: agreements to share data with Federal

groups and non-Federal (State and local government and private) entities.

Instruments to share data with non-Federal groups are: Contract or

assistance agreements (cooperative agreement or grant); and data share

agreements. Instruments to share data with Federal groups are Interagency Agreements, Memoranda of Understanding, or data share agreements. Agreements to share data must address issues of source identification, cost recovery, integrity levels, use of data, confidentiality statements, etc.

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

audit: an examination to determine the adequacy/accuracy of, and adherence to, established procedures, instructions, specifications, codes, and standards or other applicable contractual and licensing requirements, and the effectiveness of implementation.

audit trail: a chronological record of system activities sufficient to enable the reconstruction, review, and examination of a procedure or event from its beginning to the output of a final result.

-C-

cost recovery: recovering costs that include both direct and indirect costs of the Bureau in furnishing the products/services to Federal and non-Federal users.

custodian: individual or office given official responsibility for the control of records, including both physical possession and legal responsibility, unless one or the other is specified.

-D-

data: facts, ideas, or values that can be accessed and processed to produce information. It is only valuable to the extent that it can be accessed and interpreted by individuals (users) to help them derive information and make decisions. There are two categories of data when referring to BLM data management: alphanumeric and spatial. Alphanumeric data is that data which is represented by characters, numbers, and symbols, normally in a

database file. Spatial data is that data which is referenced

geographically on the land surface. This type of data is normally

portrayed in geographic information systems.

data administration: activities related to planning, coordination, and

managing BLM's data sources, including development and implementation of

policy and procedures related to strategic data planning and standards.

These activities are necessary for effective management of all manual and

automated data to meet BLM's current and future information needs.

data integrity: the level or degree or accuracy of data being complete,

unimpaired, whole, sound, and perfect. The concept of data integrity

encompassing the definitions of data quality, data security, data privacy,

and data base integrity. This state exists when computerized data is the

same as that contained in the source document and has not been exposed to

accidental or malicious alteration or destruction.

data manipulation: the performance of data processing chores such as sorting,

input/output operations, and report generation.

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, as well as

increased overall data quality, consistency and continuity, because all

programs will be using data with standardized names, definitions and

formats.

data standards: common procedures and methods employed by all users to ensure

consistent creation, use, and maintenance of data in order to uphold the

highest level of integrity possible throughout the data resource.

data steward: the users who have been given responsibility by management for

maintaining specific sets of data with proper regard to the interests and

rights of all other users.

discretionary electronic records: nontraditional or enhanced records that BLM

may decide to make available in a public room or at a remote site for

online viewing by the public in order that cost recovery may be applied (as

opposed to Public Records which are free-for-view). Any hard-copy outputs

from these systems may also be reviewed upon request by the public and at a

cost.

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.

documentation: the act or process of substantiating by recording actions

and/or decisions. Records required to plan, develop, operate, maintain,

and use electronic records including systems specifications, file

specifications, codebooks, record layouts, user guides, and output

specifications. These documents tend to describe the system, the programs,

and the changes made at later dates.

-E-

electronic records: 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 U.S.C. 3301. Electronic records include numeric, graphics, and text

information, that may be recorded on any medium capable of being read by a

digital computer. This includes, but is not limited to magnetic media,

such as tapes and disks, and optical disks.

electronic recordkeeping system: any information system that produces,

manipulates, or stores federal records by using a computer.

external access: access to Bureau recorded information by other Government (Federal, State, local or foreign) agencies or organizations as well as private sector organizations or members which includes private industry, news media, special interest groups, private educational institutions, commercial entities and members of the public.

evaluation: the inspection, audit, or review of records management programs, including records disposition, either by the agency or by NARA and General Services Administration (GSA), to ensure compliance with applicable laws and regulations.

<div align="center">-F-</div>

Federal Information Processing Standards (FIPS): a set of published ADP standards that are recommended as guidelines for adoption by all Federal agencies. FIPS covers all aspects of information processing.

Federal Records Center (FRC): a facility operated by NARA for the low cost storage and servicing of records pending their disposal or transfer to the National Archives.

<div align="center">-H-</div>

hardware: the electric, electronic, and mechanical equipment used for processing data.

<div align="center">-I-</div>

information: facts or data communicated or received.

information life cycle management: the concept that information pass through three stages: Creation, maintenance and use, and disposition.

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

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

-L-

life cycle management (LCM): the process of administering a project, system, or record over its entire life span. The life cycle itself is the time span between the establishment of a need for a system and the end of its operational use. It is divided into the separate phases of Initiation, Development, and Operations and Maintenance. There are established milestones as points for management control. It is a step-by-step planning process that assures those systems implemented meet user needs, are within management priorities, and are the most cost effective for the Government.

-M-

media: the peripheral devices (physical components) used for the storage of data, such as tape, reels, floppy diskettes, etc.

metadata: "data about data," often electronic. For example: Data element dictionary; files imbedded in a system explaining data, changes, data source, scale, capture methodology, reliability, age, accuracy, quality control/assurance, etc. to identify data integrity.

-N-

nonpublic records: a limited access category for records that are not publicly available, such as internal administrative records or records that must be reviewed prior to release because a FOIA exemption may apply, or records for which the Privacy Act is applicable. A FOIA or Privacy Act request must always be made in order to the private sector to obtain access to any releasable portions of these records.

National Archives and Records Administration (NARA): a Federal agency that is responsible for determining which noncurrent records of an organization

have sufficient historical or other value to warrant their continued

preservation by the Federal Government. The agency is responsible for

accessing, preserving, and making available permanent records. Permanent

records are placed in the custody of NARA's office of the National

Archives.

-O-

official agency record: a designation given to any manual or automated Bureau

record that has met all legal and administrative standards of

trustworthiness, and could be considered admissible in a Federal court,

prior to its use for decision making. **Official Agency Record Status (OARS)**

is the process of designating Electronic Records Systems as Official Agency

records based on adequate Records Transition planning documentation.

-P-

password: a protected work, phrase or string of symbols that is used to

authenticate the identity of a user.

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.

personal data: any unique data used in the system of records to locate or

retrieve an individual's record. Information subject to the Privacy Act of

1974. These data may include, but is not limited to, education, financial

transactions, medical history, qualifications, service data, criminal or

employment history which ties the data to the individual's name, or an

identifying number, symbols, or other identifying particular assigned to

the individual, such as a finger or voice print or a photograph.

public records: an unlimited access category for records that the private

sector has the right to view/inspect without charge. Records in this category are not required to be physically maintained in the public room/area; however, they must be available to the public room/area to view/inspect upon request. These records include those that are open to public inspection by law or custom, and in general usage, records accumulated by Government agencies.

Public Room/BLM Information Access Center: describes the Bureau's primary procedure for providing external access to BLM records. The term also describes centralized physical locations within BLM State, District or Resource Area offices that are designated as areas where the private sector or other external entities may obtain access to the Bureau's publicly available records.

-Q-

quality control: a system for verifying and maintaining a desired level of quality in a product or process by careful planning, continued inspection, and corrective action where required. Formal quality control includes a structured, documented approach whereby statistically reliable procedures are used to sample and error-check data or databases, then compare the results against a predetermined source standard. Quality control is looking at data after it has been captured and taking steps to remove errors and improve quality.

-R-

record: ". . . 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 U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency . . . as evidence

of the organization, function, policies, decisions, procedures, operations,

or other activities of the Government or because of the informational value

in them. . ."

records administration: the function of managing the life cycle of recorded

information, including creation, maintenance, use, access, and disposition

of all BLM records and data, regardless of media. Managerial activities

such as planning, controlling, directing, organizing, training, promoting,

and evaluating are necessary to achieve adequate and proper documentation

of Federal policies and transactions, and effective and economical

management of agency operations.

records appraisal: 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.

records transition: the process of moving records from a manual to an

automated environment. The most important part of the process includes

compiling relevant documentation that will help ensure that records are

trustworthy in a Federal court, fulfill administrative and statutory

requirements, and provide a smooth transition to an automated environment.

<div align="center">-S-</div>

Standard Form (SF) 115: required government form used to request authority

for the disposition of specified records.

security: the safeguarding of restricted-access information against unlawful

or unauthorized dissemination, duplication, or observation. Security

procedures prevent unauthorized additions, modifications, or deletions to a

record, and ensures system protection against such problems as power

interruptions.

system owner: the program specialist or manager who is responsible for the

oversight of an application or system after it is implemented. System owners are accountable for the use, management, and integrity of an application or system. They have the final say concerning any changes and they also ensure adequate funding is available to support maintenance and any modifications.

-V-

vital record status: designation for a record that is considered essential to the continued functioning or reconstruction of an organization during and after a disaster or national emergency, and to protecting the rights and interests of that organization and individuals directly affected by its activities. It is recommended that records with this status be duplicates or extra copies, and located in a secure place off-site.

Official Agency Record Action Items and Approval Document

OFFICIAL RECORD REQUIREMENT	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM-PLETED
ADMINISTRATIVE/STATUTORY			
Access			
Vital Records Status			
Public Room Impacts			
Data Sharing/Exchange			
Cost Recovery			
Records Maintenance			
Disposition			
Records Inventory			
DATA INTEGRITY			
Data Stewards			
Audit Trail			
System Security			

Update Method

Data Quality Assurance

Training

SOFTWARE RELIABILITY

Installation Version

Installation Procedures

Testing New Versions

Modification/Revision

HARDWARE RELIABILITY

Personal Computers

Mini or Mainframe

Computer

Recommend for Approval:

State Data Steward Date

Concurrence:

Information System Manager Date

State Data Administrator Date

State Records Administrator Date

Approved:

State Director Date

Sample Official Agency Record Designation

and Supporting Document

Legal Land Description (LLD), Status, and

Geographic Coordinate Data Base (GCDB)

A. Introduction

This documentation must accompany the Official Agency Record Action Items and Approval Document (see Attachment).

1. Background

Bureau policy established in BLM Manual 1270, Records Administration, and BLM Manual 1270-1, Electronic Records Administration, requires proper documentation of electronic records to attain "official agency record" status. This supports the integrity of the records; fulfills administrative and statutory requirements; and authorizes use of the data for Bureau decision making.

This document combined with State Office Data Quality Assurance Plans, provides the procedures required for designating LLD, Status, and GCDB data, herein after referred to as "these data," as "official agency records" to be used for BLM decision-making applications prior to integration into the Automated Land and Mineral Record System(ALMRS)/Modernization system. As compatible components of ALMRS/Modernization, the procedures for these three data files are documented together.

The use of these data/records/information provides the BLM flexibility in accomplishing critical work assignments.

Criteria for Use of These Data

Data quality meets or exceeds ALMRS minimum

Acceptable Quality Level (AQL)

To be considered for "official agency record" status, these data must meet the minimum Acceptable Quality Level (AQL) that has been established for use of these data in ALMRS. Minimum AQL's are documented in BLM Manual Section 1283 - Data Administration. For these data, the minimum AQL's are:

LLD 99% Status 98%

GCDB 98%

Procedures for measuring and certifying data quality are documented in the State Data QA Plan.

Data quality does not meet ALMRS AQL or is not measured

There are two ways that States may use these data for non-ALMRS automation projects for specific geographic areas:

1. A project needs these data **at or above** the ALMRS AQL. The project commits to validating the data before use and providing improved data back to the official record copy of the electronic data file. The data validation procedures used are appended to the appropriate section of the State Data QA Plan. The certified data are used for the specific application.

2. A project does not need these data **at or above** the ALMRS minimum AQL. The AQL's for **non-ALMRS** use of these data have not been established on a Bureau-wide basis. Program data stewards determine the AQL that is acceptable for a specific application. The data quality is measured and documented in the State Data QA Plan. A risk analysis of using the data at the specified quality level should be documented in the project file.

Illustration 2, Page 3

2. Assumptions and Constraints

a. **Operational life** - These data are components of ALMRS. Their collection, maintenance, and validation are requirements of the ALMRS Data Collection/Validation and GCDB Projects.

2. Designation of the data in these stand-alone data files as "official agency records" will not have the effect of replacing any existing records.

3. **Description of Records**

a. Existing Records

Not applicable.

b. Project Records

Project records include handbooks, user guides, and correspondence between the Service Center and the State Offices. A numerical file of requests for technical direction is maintained by the Service Center and the States that document technical direction provided to the Title Status and GCDB contractors.

c. Automated Records

Legal Land Description (LLD) is an automated alpha numeric file/inventory of survey information collected from the Master Title Plats (MTPs), and cadastral survey plats and field notes. LLD uses the land description conventions of the Public Land Survey System (PLSS): consisting of the meridian, township, range, section, survey type, survey number, survey number suffix (aliquot part, lot, tract, metes & bounds, etc.), nominal location, and acreage depicted on official survey plats. LLD also contains geo-political data about each parcel of land: County, Congressional District, BLM District, BLM Resource Area, and Surface Management Agency.

Status is an alpha numeric file containing federal land and mineral ownership information, withdrawals, and classifications. This file contains title information concerning transfer of any or all rights to or from the U.S. and any restrictions of U.S. rights.

The (GCDB) consists of geographic coordinates for corners of the PLSS. It also includes attribute data such as reliability, computational parameters, and corner classification. GCDB has been compiled from BLM's Cadastral Survey plats and field notes, Geological Survey topographic maps, and private, state, and other agency survey data. It is a compilation of the latest survey data available in the public sector. Because of this, the GCDB reliability ranges from areas of very high reliability to areas of extreme uncertainty. Overall, it is the best automated collection of PLSS coordinate data available.

B. **Administrative/Statutory Requirements**

1. **Access**

LLD, Status, and GCDB data may be classified as Category 2 discretionary records (BLM Manual 1278, External Access to BLM Information) **WHEN THEY MEET THE BLM-ESTABLISHED ACCEPTABLE QUALITY LEVELS** (LLD - 99 percent, Status -

98 percent, and GCDB - 98 percent; the BLM Manual 1283, Data Administration). These data are not sensitive information that require Freedom of Information Act (FOIA) or Privacy Act review. All copies/outputs from these data files may be purchased at cost upon request by the public. The BLM cost recovery policy will apply. Ad-hoc queries may be performed by the BLM employees to aid in responding to public requests.

2. **Vital Records Status**

The data are Vital Records due to the costs associated with recollection for integration into ALMRS/Modernization (see the BLM Manual 1273, Vital Records). These data are backed up off-site for maximum security.

3. **BLM Information Access Center/Public Room Impacts**

There are limited research capabilities of LLD and Status to answer public room requests (e.g. mineral surveys,

homestead entry surveys, patentee name, patent number, lode name, etcetera). An unestimated workload will be generated affecting Automated Data Processing (ADP) and BLM Information Access Center/Public Room personnel for copies of these data by state, local, and other Federal agencies, and title companies, energy corporations, and other members of the public.

4. Data Sharing/Exchange

There is a high potential for exchanging/sharing these data with private entities, Federal and State governments. Data exchange agreements should be completed according to procedures contained in the BLM Manual 1278, External Access to BLM Information.

5. Cost Recovery

Current Bureau cost recovery rates should be applied to records from these data files.

6. Records Inventory and Disposition

The SC and SO records inventory and disposition schedules should be referenced for existing input records, project records, and automated outputs.

7. Records Maintenance

The BLM Manual 1270-1, Electronic Records Administration, outlines the BLM policy relating to data file maintenance. Daily backup tapes are made of these data files along with weekly saves and monthly off-site tapes. Hardware and software logs are maintained by the ADP System Managers.

C. Data Integrity

1. Data Stewards

State Data Stewards, with procedural guidance from State Data and Records Administrators, assure compliance with QA procedures and the official agency record action items. State Data Stewards assure complete collection and entry of these data to the BLM's acceptable quality levels.

2. Audit Trail

These are dynamic data files which are updated daily. All input/source documents are maintained in accordance with the General Records Schedule (GRS) and the BLM Combined Disposition Schedules. Printouts of these data may be produced for sale to external requesters. Tapes of these data require typed labels with the date of creation and the appropriate disclaimer (Refer to Manual Section 1278, .12, .13, and .14).

3. System Security

Access to the data files is limited to those people who need access and are approved by their supervisors and the data stewards. The computers that the data files reside on are in controlled access rooms. Personal computers containing this data have password and locked keyboard security. Regular backups are made of the data and stored offsite. When employees are no longer employed by the office, access permissions are deleted for those employees. Individual user identifications, once established, grant or limit access to only the level needed to perform the employee's work, i.e., read or write permissions. State Continuity of Operation Plans (COOP's) contain procedures to be followed for disaster recovery.

(See BLM Manual 1264, Security; and the Computer Security Act of 1987.)

4. Update Method

Data collection procedures are included in the Bureau-wide Application 2002 Data Element Dictionary, the LLD Handbook (1985) which includes data entry screens, the ALMRS Status Coding Handbook (Revised 5/16/91), and WO IM No. 91-3, Change 1, and Change 2, ALMRS Status Collection Data Standards for Withdrawal Actions. Update procedures for GCDB data are currently under development.

5. <u>Data Quality Assurance</u>

A statistical random sampling of LLD and Status (see Match/Merge User Guide for Maintenance of LLD and Status in Master Files) is conducted by Data Stewards and certified by State Data Administrators for determining the quality level of these data. The GCDB QA procedures are being developed. Once these data meet the AQL, random sampling must be completed at least annually to verify that these data are being maintained at the AQL of 99 percent, 98 percent, and 98 percent, respectively.

6. <u>Training</u>

Training ranging from informal briefings, prepared handbooks, and user guides to formal presentations was provided to the BLM and contractor staffs. Training will continue as required. Training will be provided by the Data Stewards to the BLM Information Access Center/Public Room staff on how to query these data for responses to public requests.

D. <u>Software Reliability</u>

See State-specific Official Agency Record Action Items and Approval Document.

E. <u>Hardware Reliability</u>

See State-specific Official Agency Record Action Items and Approval Document.

F. <u>References</u>

-BLM Manual 1261 Automation/Information Resources

Management/Modernization and Life Cycle Management

-BLM Manual 1270 - Records Administration

-BLM Manual 1270-1 - Electronic Records Administration

DELETE WO Instruction Memorandum No. 92-340 Records Transition Interim Guidance

-BLM Manual 1283 - Data Administration

-BLM Manual 1273 - Vital Records

-BLM Manual 1274 - Serialized Case File System, Revised 9/13/83

-BLM Manual 1275 - Land Status Records, Revised 4/13/84 and supplemental state-issued Instruction Memorandums

-Manual of Surveying Instructions, 1973

-Status Contracts

-ALMRS Status Coding Handbook, Revised 5/16/91 - used for abstracting status for automation

-User's Guide for V Forms--Legal Land Description, Revised 7/1/1985

-WO IM 93-160 - Annual Review of Cost Recovery Charging Rates

-WO Information Bulletin (IB) No. 92-204 - Cost Recovery Charging Rates of Automated Data Processing Requests

-WO IM No. 93-40 and Change 1 - Policy for Managing External Access to BLM Records

-WO IM No. 93-162 - Disclaimer Policy for External Release of Electronic Records

-ALMRS Data Collection/Validation Project Charter

-Match/Merge Handbook, Revised 2/2/93

-Match/Merge User Guide for Maintenance of LLD and Status in Master Files, 2/1/93

-Withdrawals Handbook, 5/16/91 - Standards for Withdrawal Data Collection in Status

-Data Element Dictionary (DED) (Application 2002)

-Edit 8 Handbook - SC DPS8000 Modified Text Editor used for update and maintenance of database

-Records Transition Project Charter

-BLM Public Land Survey System/Geographic Coordinate Data Base (PLSS/GCDB) Data Collection Project Charter, 7/29/91

-GCDB--Methods and Procedures, 2/1/89 (4 volumes)

-GCDB Quality Assurance Plan, January, 1991

-GCDB Measurement Management (GMM) System Addendum to Geographic Coordinate Data Base Quality Assurance Plan Draft, February, 1992

-GCDB Contract YA-652-CT9-440016, September, 1989 (lower 48 states, as appropriate)

-GCDB Solicitation N-G52-R2-0003, September, 1992 (lower 48 states, as appropriate)

-GCDB Contract YA-652-CT9-440017, September, 1989 (Alaska)

-GCDB Contract N-652-C3-0001, April, 1993

G. Official Agency Record Action Items and Approval Document

This document outlines the actions to be accomplished, serves as a record of completion, and certifies the data as an Official Agency Record.

Recommend for Approval:

Bureau Records Administrator

Bureau Data Administrator

Concurrence:

Chief, Division of

Information Resources Management

Assistant Director, Management Services

Assistant Director,

Lands and Renewable Resources

Assistant Director,

Energy and Mineral Resources

Approved:

Director, Bureau of Land Management

Official Agency Record Action Items and Approval Document

Legal Land Description (LLD)

OFFICIAL RECORDS REQUIREMENTS	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM-PLETED
ADMINISTRATIVE/ STATUTORY			
Access	These data may be designated Category 2 - Discretionary Automated Records (WO IM No. 93-40 & Change 1) **WHEN IT MEETS BUREAU-ESTABLISHED AQL'S** (LLD - 99%); (BLM Manual 1283) at the discretion of the State Director.	Data Steward, State Director, Records Adminis-trator, Data Adminis-trator, and State Director	
Vital Records Status	Add these data to the State's Vital Records Inventory (BLM Manual 1273).	State Data Steward and State Records Manager	
BLM Information Access Center/Public Room Impacts	Notice of Availability of these data must be posted in the BLM Information Access Center/Public Room when this data is moved to Category 2 at the SO.	State Records Administrator	
	Data Sharing Agreements (the BLM Manual	State Data Steward, State Data and	See Data Sharing

	1278, External Access to BLM Information).	Records Adminis-trators	Agree-ments.
Data Sharing/Exchange			
Cost Recovery	Current Cost Recovery applies to these Category 2 automated records.	BLM Information Access Center/ Public Room Personnel and State Records Administrators	Rates reviewed annually.
Records Maintenance and Use	Daily backup tapes along with weekly saves and monthly off-site tapes. Hardware and software logs are maintained. (See BLM Manual 1270-1.)	State Data Steward	See ADP logs.
Disposition	These data are transitional components of ALMRS. They will be integrated into ALMRS/Modernization. The designation of the data in this stand-alone data file as "official agency records" will not have the effect of replacing any existing records.	N/A	N/A
Records Inventory	Add these data to the state records inventory and disposition schedule.	State Data Stewards and State Records Manager	See State records inventory and disposi- tion schedule.

Official Agency Record Action Items and Approval Document

for

Legal Land Description (LLD) (Cont'd.)

OFFICIAL RECORD REQUIREMENT	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM-PLETED
DATA INTEGRITY			
Data Stewards	Data Stewards designated and identified in the State Data Quality Assurance Plans.	State Data Adminis-trator, State Director	See State Data QA Plan.
Audit Trail	Daily backup tapes, weekly saves, and monthly off-site tape storage. Backup/archived tapes of these data will require typed labels with the date of creation and appropriate disclaimer (WO IM No. 93-162). See LLD Handbook (includes Data Entry Screens and instructions).	State Data Steward and ADP System Manager	See ADP logs and project files.
	Access is controlled through password procedures and	State Data Stewards,	

System Security	guidance contained in BLM Manual 1264 and the Computer Security Act of 1987.	ADP Systems Manager and ADP Security Officer	See ADP logs.
Update Method	See LLD Handbook.	State Data Steward	See project files.
Data Quality Assurance	AQL for specific projects to be determined prior to using these data if Bureau-established AQL is not met. Random sampling is on-going.	State Data Steward and State Data Administrator	See State Data QA Plan.
Training	Training ranging from informal briefings, prepared handbooks, and user guides to formal presentations was provided to BLM and contractor staffs. Training will continue as required. Training will be provided by the Data Stewards to the BLM Information Access Center/Public Room staff on how to query these data for responses to the public.	State Data Stewards	See project files.

Official Agency Record Action Items and Approval Document

for

Legal Land Description (Cont'd.)

OFFICIAL RECORD REQUIREMENT	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM-PLETED
SOFTWARE RELIABILITY			
Installation Version	See SC and State ADP logs.	ADP System Managers	See SC and State ADP logs.
Installation Procedures	See SC and State ADP logs.	ADP System Managers	See SC and State ADP logs.
Testing New Versions	See SC and State ADP logs.	Data Stewards and ADP System Managers	See SC and State ADP logs.
Modification/Revision	See SC and State ADP logs.	Data Stewards, System Managers	See SC and State ADP logs.
HARDWARE RELIABILITY			
Personal Computers	If applicable, logs will be maintained to document computer functions and maintenance	State Data Steward	See State ADP logs.

Mini or Mainframe Computer	Logs are maintained to document computer functions and maintenance. LLD is on the SC Honeywell DPS8000 and the SO Honeywell DPS6+.	Data Stewards, ADP System Managers	See State ADP logs.

Recommend for Approval:

State Data Steward Date

Concurrence:

Information System Manager Date

State Data Administrator Date

State Records Administrator Date

Approved:

State Director Date

Official Agency Record Action Items and Approval Document

for

Status

OFFICIAL RECORDS REQUIREMENTS	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM-PLETED
ADMINISTRATIVE/ STATUTORY			
Access	These data may be designated Category 2 - Discretionary Automated Records (WO IM No. 93-40 & Change 1) **WHEN IT MEETS BUREAU-ESTABLISHED AQL'S** (Status - 98%); (BLM Manual 1283) at the discretion of the State Director.	Data Steward, State Director, Records Adminis- trator, Data Adminis- trator, and State Director	
Vital Records Status	Add these data to the State's Vital Records Inventory (BLM Manual 1273).	State Data Steward and State Records Manager	
BLM Information Access Center/Public Room Impacts	Notice of Availability of these data must be posted in the BLM Information Access Center/Public Room when this data is moved to Category 2 at the SO.	State Records Administrator	
		State Data	

Data Sharing/Exchange	Data Sharing Agreements (the BLM Manual 1278, External Access to BLM Information).	Steward, State Data and Records Adminis- trators	See Data Sharing Agree- ments.
Cost Recovery	Current Cost Recovery applies to these Category 2 automated records.	Public Room Personnel and State Records Administrators	Rates reviewed annually.
Records Maintenance and Use	Daily backup tapes along with weekly saves and monthly off-site tapes. Hardware and software logs are maintained. (See BLM Manual 1270-1.)	State Data Steward	See ADP logs.
Disposition	These data are transitional components of ALMRS. They will be integrated into ALMRS/Modernization. The designation of the data in this stand-alone data file as "official agency records" will not have the effect of replacing any existing records.	N/A	N/A
Records Inventory	Add these data to the state records inventory and disposition schedule.	State Data Stewards and State Records Manager	See State records inventory and disposi- tion schedule.

Official Agency Record Action Items and Approval Document

for

Status (Cont'd.)

OFFICIAL RECORD REQUIREMENT	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM- PLETED
DATA INTEGRITY			
Data Stewards	Data Stewards designated and identified in the State Data Quality Assurance Plans.	State Data Adminis- trator, State Director	See State Data QA Plan.
Audit Trail	Daily backup tapes, weekly saves, and monthly off-site tape storage. Backup/archived tapes of these data will require typed labels with the date of creation and appropriate disclaimer (WO IM No. 93-162). See ALMRS Status Coding Handbook.	State Data Steward and ADP System Manager	See ADP logs and project files.
	Access is controlled through password procedures and	State Data Stewards,	

System Security	guidance contained in BLM Manual 1264 and the Computer Security Act of 1987.	ADP Systems Manager and ADP Security Officer	See ADP logs.
Update Method	See LLD Handbook.	State Data Steward	See project files.
Data Quality Assurance	AQL for specific projects to be determined prior to using these data if Bureau-established AQL is not met. Random sampling is on-going.	State Data Steward and State Data Administrator	See State Data QA Plan.
Training	Training ranging from informal briefings, prepared handbooks, and user guides to formal presentations was provided to BLM and contractor staffs. Training will continue as required. Training will be provided by the Data Stewards to the BLM Information Access Center/Public Room staff on how to query these data for responses to the public.	State Data Stewards	See project files.

Official Agency Record Action Items and Approval Document

for

Status (Cont'd.)

OFFICIAL RECORD REQUIREMENT	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM-PLETED
SOFTWARE RELIABILITY			
Installation Version	See SC and State ADP logs.	ADP System Managers	See SC and State ADP logs.
Installation Procedures	See SC and State ADP logs.	ADP System Managers	See SC and State ADP logs.
Testing New Versions	See SC and State ADP logs.	Data Stewards, ADP System Managers	See SC and State ADP logs.
Modification/Revision	See SC and State ADP logs.	Data Stewards, System Managers	See SC and State ADP logs.
HARDWARE RELIABILITY			
Personal Computers	If applicable, logs will be maintained to document computer functions and maintenance	State Data Steward.	See State ADP logs.
Mini or Mainframe	Logs are maintained to document computer		

Computer	functions and maintenance. Status is on the SC Honeywell DPS8000 and the SO Honeywell DPS6+.	Data Stewards, ADP System Managers	See State ADP logs.

Recommend for Approval:

State Data Steward Date

Concurrence:

Information System Manager Date

State Data Administrator Date

State Records Administrator Date

Approved:

State Director Date

Official Agency Record Action Items and Approval Document

for

Geographic Coordinate Data Base (GCDB)

(By Specific Geographic Area)

OFFICIAL RECORDS REQUIREMENTS	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM- PLETED
ADMINISTRATIVE/ STATUTORY			
Access	These data may be designated Category 2 - Discretionary Automated Records (WO IM No. 93-40 & Change 1) **WHEN IT MEETS BUREAU-ESTABLISHED AQL'S** (GCDB - 98%); (BLM Manual 1283) at the discretion of the State Director.	Data Steward, State Director, Records Adminis- trator, Data Adminis- trator, and State Director	
Vital Records Status	Add these data to the State's Vital Records Inventory (BLM Manual 1273).	State Data Steward and State Records Manager	
BLM Information Access Center/Public Room Impacts	Notice of Availability of these data must be posted in the BLM Information Access Center/Public Room when this data is moved to Category 2 at the SO.	State Records Administrator	

Data Sharing/Exchange	Data Sharing Agreements (IM No. 93-40 & Change 1).	State Data Steward, State Data and Records Adminis- trators	See Data Sharing Agree- ments.
Cost Recovery	Current Cost Recovery applies to these Category 2 automated records.	Public Room Personnel and State Records Adminis-trators	Rates reviewed annually.
Records Maintenance and Use	Daily backup tapes along with weekly saves and monthly off-site tapes. Hardware and software logs are maintained. (See BLM Manual 1270-1.)	State Data Steward	See ADP logs.
Disposition	These data are transitional components of ALMRS. They will be integrated into ALMRS/Modernization. The designation of the data in this stand-alone data file as "official agency records" will not have the effect of replacing any existing records.	N/A	N/A
Records Inventory	Add these data to the state records inventory and disposition schedule.	State Data Stewards and State Records Manager	See State records inventory and disposi- tion schedule.

Official Agency Record Action Items and Approval Document

for

Geographic Coordinate Data Base (GCDB) (Cont'd.)

OFFICIAL RECORD REQUIREMENT	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM- PLETED
DATA INTEGRITY			
Data Stewards	Data Stewards designated and identified in the State Data Quality Assurance Plans.	State Data Adminis- trator, State Director	See State Data QA Plan.
Audit Trail	Daily backup tapes, weekly saves, and monthly off-site tape storage. Backup/archived tapes of these data will require typed labels with the date of creation and appropriate disclaimer (WO IM No. 93-162). See GCDB--Methods and Procedures.	State Data Steward and ADP System Manager	See ADP logs and project files.

System Security	Access is controlled through password procedures and guidance contained in BLM Manual 1264 and the Computer Security Act of 1987.	State Data Stewards, ADP Systems Manager and ADP Security Officer	See ADP logs.
Update Method	GCDB procedures are being developed.	State Data Steward	See project files.
Data Quality Assurance	AQL for specific projects to be determined prior to using these data if Bureau-established AQL is not met. Random sampling is on-going.	State Data Steward and State Data Administrator	See State Data QA Plan.
Training	Training ranging from informal briefings, prepared handbooks, and user guides to formal presentations was provided to BLM and contractor staffs. Training will continue as required. Training will be provided by the Data Stewards to the BLM Information Access Center/Public Room staff on how to query these data for responses to the public.	State Data Stewards	See project files.

Official Agency Record Action Items and Approval Document

for

Geographic Coordinate Data Base (GCDB) (Cont'd.)

OFFICIAL RECORD REQUIREMENT	DOCUMENT, DECISION OR REFERENCE	COMPLETED BY:	DATE COM-PLETED
SOFTWARE RELIABILITY			
Installation Version	See SC and State ADP logs.	ADP System Managers	See SC and State ADP logs.
Installation Procedures	See SC and State ADP logs.	ADP System Managers	See SC and State ADP logs.
Testing New Versions	See SC and State ADP logs.	Data Stewards, ADP System Managers	See SC and State ADP logs.
Modification/Revision	See SC and State ADP logs.	Data Stewards, ADP System Managers	See SC and State ADP logs.
HARDWARE RELIABILITY			
Personal Computers	GCDB is on personal computers in some states. Logs will be maintained to document	State Data Steward.	See State

	computer functions and maintenance		ADP logs.
Mini or Mainframe Computer	Logs are maintained to document computer functions and maintenance. GCDB is on the SO Prime A and Personal Computers.	Data Stewards, ADP System Managers	See State ADP logs.

Recommend for

Approval:

State Data Steward Date

Concurrence:

Information System Manager Date

State Data Administrator Date

State Records Administrator Date

Approved:

State Director Date