

Reclamation Manual

Directives and Standards

Subject: Information Management

Purpose: This Directive and Standard provides information for all Bureau of Reclamation officials, employees, contractors and other staff regarding the requirements to ensure the creation of adequate and accurate documentation of Reclamation's official business and to provide standards for how records are to be created, maintained, protected, used, and disposed of either by permanent preservation, transfer to inactive storage, or destruction. The benefits of this Directive and Standard are to ensure Reclamation's compliance with Federal laws.

Authority: Records Disposal Act of 1943; Federal Records Act of 1950; Freedom of Information Act (FOIA) of 1967 and 1974; Federal Records Act of 1976; Safety of Dams Act of 1978; Paperwork Reduction Act of 1980; Privacy Act (PA) of 1988; Government Paperwork Elimination Act of 1998; E-Gov Act of 2002; 44 U.S.C. Chapters 21, 29, 31, 33, and 35; 36 CFR, parts 1220 through 1238; Office of Management and Budget (OMB) Circular A-130; OMB M-06-15, M-06-16, and M-07-16; Departmental Manual (DM), Part 370, Chapters 380 through 385 and 752; and the Reclamation Manual Directive and Standard, *Managing Information, Records, and Data Designated FOR OFFICIAL USE ONLY (FOUO)*, IRM 02-02

Approving Official: Director, Chief Information Office

Contact: Information Management Division (84-21300)

1. **Information Management Program.** A Reclamation-wide program is essential for the creation and preservation of records and mandated by Federal law. All information received, created, or compiled by Reclamation officials, employees, contractors, and other staff (employees) is the property of the Federal Government and must be maintained in accordance with established standards. Official records shall not be transferred to a non-Federal entity. Reclamation will provide copies of pertinent records during program or construction management, at the time of transfer to operation and maintenance, or upon direct title transfer. If Reclamation has provided copies of the official records, the cost of additional copies will be paid by the requesting entity.
2. **Responsibilities.**
 - A. **Information Management Division.** Program management of records and information is the responsibility of the Information Management Division. The Division provides guidance and assistance, including the development and issuance of Reclamation-wide standards, to improve the management of all information and records regardless of media.

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- B. **Directors, Managers, and Supervisors.** Directors, managers, and supervisors are responsible for:
- (1) ensuring that all information, records, and data are being evaluated and handled in compliance with this Directive and Standard, and
 - (2) taking corrective actions if records management violations occur, including appropriate administrative or disciplinary action in accordance with 370 DM 752, Appendix B, Table of Offenses and Penalties, Items 2, 12, and 20.
- C. **Employees.** Employees are responsible for:
- (1) creating adequate and proper documentation of Reclamation's activities in order to protect the legal and financial rights of the Government and the public which Reclamation serves, including Native American entities;
 - (2) protecting all documentation created, maintained, or used during their employment to ensure Reclamation's information, records, and data are available in the future;
 - (3) protecting FOUO, PA, and Personally Identifiable Information records, data, and information; and
 - (4) knowing and understanding that criminal penalties are associated with the unlawful removal or destruction of Federal records as outlined in Paragraph 4, and recognizing that appropriate administration or disciplinary action may be taken if information is improperly managed, lost, or destroyed.
3. **Official Requirements.** Mandatory procedures for the creation, maintenance, use, and retention/disposition of all information regardless of media are contained in the Information Management Handbook which can be accessed by employees through Reclamation's Intranet web site for the Information Management Division. Volume I contains the creation, maintenance, and use procedures; Volume II contains the National Archives and Records Administration (NARA) approved retention and disposition instructions; Volume III contains drawings management procedures; Volume IV contains photographic media management procedures; and Volume V contains NARA-approved electronic systems retention schedules.
4. **Penalties.**
- A. There are criminal penalties associated with the unlawful destruction, damage, or alienation of Federal records (18 U.S.C.2071 and 36 CFR 1228.102). In addition, there are administrative and disciplinary actions associated with the loss, misuse, or damage to records included in 370 DM 752, Appendix B, Table of Offenses and Penalties; and those containing information exempt from disclosure under the FOIA (5 U.S.C. 552) and the PA (5 U.S.C. 552.a). Contact your local Records Officer for additional identification and handling requirements for Federal records.

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B. See below for a partial listing from 370 DM 752 – Discipline and Adverse Actions.

Nature of Offense (General Misconduct)	Penalty for First Offense	Penalty for Second Offense	Penalty for Third Offense	Remarks
<p>2. Improper or unauthorized release of sensitive and administratively-controlled information or employee records; failure to safeguard classified material.</p> <p>a. Information is not compromised and release is unintentional.</p> <p>b. Information is compromised and release is unintentional.</p> <p>c. Release of restricted information is deliberate.</p>	<p>Written Reprimand to 5-day suspension</p> <p>Written Reprimand to 30-day suspension</p> <p>30-day suspension to removal</p>	<p>5- to 30-day suspension</p> <p>30-day suspension to removal</p> <p>Removal</p>	<p>30-day suspension to removal</p> <p>Removal</p>	<p>Refer to 5 U.S.C. 552a and 43 CFR 2.52 for PA provisions regarding the misuse of personal information; also refer to 18 U.S.C. 798 and 18 U.S.C. 1905. Deliberate disclosures of PA information must be referred to Office of the Inspector General (OIG).</p>
<p>12. Loss, misuse of, damage to or failure to safeguard Government property, records, or information (e.g., willful or negligent damage to Government resources; carelessness in performance of duty resulting in waste of public funds).</p>	<p>Written Reprimand to 14-day suspension</p>	<p>14- to 30-day suspension</p>	<p>30-day suspension to removal</p>	<p>Refer to 5 CFR 2635.101(9). For misuse of Government vehicles, see item 5 under Violations of Statute. Referral to OIG may be appropriate.</p>

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<p>20. Prohibited/improper use of Government property (e.g., office equipment; supplies; facilities; credentials; records; communication resources; cellular phones; official time); misuse of the Internet/electronic mail; using the Internet/electronic mail for unauthorized purposes.</p>	<p>Written Reprimand to 14-day suspension</p> <p>More severe discipline (including removal) may be appropriate for first/second offense if misconduct involves using the Department's Internet/electronic mail system for prohibited reasons, including gambling, accessing/sending prohibited sexually-related material, or other egregious acts of misuse.</p>	<p>14- to 30-day suspension</p> <p>More severe discipline (including removal) may be appropriate for first/second offense if misconduct involves using the Department's Internet/electronic mail system for prohibited reasons, including gambling, accessing/sending prohibited sexually-related material, or other egregious acts of misuse.</p>	<p>30-day suspension to removal</p>	<p>Refer to 5 CFR 2635.704 and 705(a); 410 DM 2 (Limited Personal Use of Government Personal Property). Consider issue of employee notice regarding agency.</p>
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