



— BUREAU OF —  
RECLAMATION

# Information Management Handbook

**Information Management Group**  
**Information Resources Office**

**U.S. Department of the Interior**

November 2023

(650) 08/11/2020

SUPERSEDES RCD 02-01 (12) 09/15/1995; RCD 05-02 (83) 08/17/1998; RCD 07-01 (137) 06/19/2001

(Minor revisions approved 01/17/2024)

## **Mission Statements**

The Department of the Interior (DOI) conserves and manages the Nation's natural resources and cultural heritage for the benefit and enjoyment of the American people, provides scientific and other information about natural resources and natural hazards to address societal challenges and create opportunities for the American people, and honors the Nation's trust responsibilities or special commitments to American Indians, Alaska Natives, and affiliated island communities to help them prosper.

The mission of the Bureau of Reclamation is to manage, develop, and protect water and related resources in an environmentally and economically sound manner in the interest of the American public.

# **Information Management Handbook**

**Information Management Group  
Information Resources Office**

(650) 08/11/2020

SUPERSEDES RCD 02-01 (12) 09/15/1995; RCD 05-02 (83) 08/17/1998; RCD 07-01 (137) 06/19/2001  
(Minor revisions approved 01/17/2024)

# Table of Contents

	Page
<b>Table of Contents</b> .....	<b>iii</b>
<b>Introduction</b> .....	<b>1</b>
A. Purpose .....	1
B. Scope .....	1
C. Overview and How to Use the IMH.....	1
D. Objectives .....	2
E. Laws and Authorities .....	2
<b>Responsibilities</b> .....	<b>4</b>
A. Information Management Group .....	4
B. Reclamation Offices .....	4
2. Managers and Supervisors.....	5
3. Employees .....	5
<b>Chapter 1 – Records Management</b> .....	<b>6</b>
Section 1 - Introduction .....	6
A. Purpose and Scope .....	6
B. Objectives .....	6
C. Records Management.....	6
D. Federal Records.....	7
E. Responsibilities .....	7
F. Penalties.....	9
G. Loss of Record .....	9
Section 2 – Records Identification.....	10
A. Identifying Federal Records.....	10
B. Classifying Records.....	10
C. Record Types.....	10
D. Non-Record Material.....	11
E. Personal Papers.....	11
F. Working Files and Similar Materials.....	11
G. Other Record Types .....	12
H. Emails, Litigation, and Freedom of Information Act (FOIA) .....	12
I. Audio and Video Recordings as Records.....	12
Section 3 –File Plan, General Files, and Case Files .....	13
A. File Plan .....	13
B. General Files.....	13
C. Case Files (Also known as Project Files).....	13
Section 4 – Lifecycle of a Record.....	14
A. Record Creation or Receipt .....	14
B. Organizing and Filing.....	14
C. Records Retention .....	14
D. Crosswalk to Prior Retention Schedules .....	15

E. Records Disposition.....	15
F. Disposition Authority.....	16
Section 5 - Record Transfers .....	16
A. Transfer of Records to the Federal Records Center via the Archives and Records Centers Information System (ARCIS) .....	16
B. Transfer to NARA.....	16
C. Other Agencies .....	17
Section 6 - Electronic Records .....	17
A. Electronic Records Management Systems.....	17
B. Electronic Records Management Controls.....	18
C. eMail Enterprise Records and Document Management System (eERDMS) .....	18
D. Enterprise Content System (ECS).....	18
E. Requirements to Meet OMB, NARA and DOI Objectives.....	18
Section 7 - Management of CUI and PII Records .....	19
Section 8 - Essential Records.....	19
Section 9 - Disaster Mitigation .....	19
Section 10 - Litigation.....	20
Section 11 - Records Management Reviews.....	21
Section 12 - Departing Employees .....	21
Section 13 - Records Management Training .....	22
<b>Chapter 2 – Drawing Management and Drafting and Modeling Standards... 23</b>	
Section 1 – Introduction and Overview.....	23
A. Scope and Purpose .....	23
B. Penalties .....	24
C. Loss of Records .....	24
D. Record Drawing.....	24
E. Non-Reclamation Design Partners .....	24
F. Media .....	24
G. Operation .....	25
H. Filing .....	25
I. Record Retention .....	25
Section 2 - Drawing Numbers.....	25
A. Assignment of Drawing Numbers.....	25
B. Working Files .....	26
C. Retired Drawings.....	26
D. Numbering System .....	26
E. Drawing Number Components .....	26
F. Temporary Drawing Numbers.....	28
Section 3 - Standard Drawings .....	28
A. Purpose .....	28
B. Revisions .....	28
Section 4 - Hardcopy and Legacy Drawings .....	28
A. Scanning Hardcopy Drawings.....	28
B. Status of Electronic and Hardcopy Drawing.....	29

C. Revising and Redrawing Legacy Drawings .....	29
Section 5 - Revision Status and Changes .....	30
A. Drawing Revisions .....	30
B. Converting Drawings without Native Format Drawing Files.....	31
C. Superseded and Voided Drawings .....	31
D. Voided Drawings .....	31
Section 6 - As-Built Drawing Process .....	32
A. As-Built Drawings .....	32
B. Requirements.....	32
Section 7 - Facility Operation and Maintenance Drawing Process.....	32
A. Purpose .....	32
B. Field Verifying.....	33
C. Revising Existing Drawings to Show Existing O&M Conditions .....	33
D. Developing New Drawings to Show Existing O&M Conditions .....	33
E. Creating New Drawings to Show Planned O&M Work .....	34
Section 8 - Distribution of Drawing Files.....	34
A. Purpose .....	34
B. Procedures for Distribution of Copies of Drawings.....	34
C. Distribution Outside of Reclamation .....	34
Section 9 - Drafting and Modeling Standards .....	35
A. General Drafting Requirements .....	35
B. Draft Stamp.....	37
C. Controlled Unclassified Information (CUI) Stamp.....	38
D. Signatures .....	38
E. Manufacturer/Contractor Drawings .....	38
F. 'For Information Only' and 'Existing Installation' Drawings .....	38
G. Scale of Drawing.....	39
H. Engineering Scale.....	39
I. Metric Scale.....	39
J. Cartographic Scale .....	40
K. Exaggerated Scale.....	40
L. No Scale .....	40
M. Annotations, Notations, and Dimensioning.....	40
N. Capitalization of Text.....	40
O. Leaders.....	41
P. Notes on Drawings.....	41
Q. Reference Drawing Notation .....	41
R. Dimensioning .....	41
S. Dimensioning in Metric (SI).....	42
T. Labeling of Views .....	42
U. Linework.....	43
V. Drawing Layout.....	43
W. Water Flow Direction.....	44
X. Plan and Profile Stationing .....	45
Y. Aerial Photographs.....	45

Z. Survey Information .....	45
AA. Drafting Symbols and Notations .....	45
Section 10 - Document Types and Phases .....	45
A. Current Document Types .....	45
B. Additional Document Types.....	46
C. Phases.....	47
Section 11 – Figures .....	48
Figure G1 – General Annotation and Lines.....	49
Figure G2 – Sheet Border .....	50
Figure G3 – Sheet Border Details.....	51
Figure G4 – View Title and Note Layout.....	52
Figure G5 – Title Block Stamp.....	53
Figure G6 – Commonly Used Symbols .....	54
Figure G7 – Hatch Patterns.....	55
<b>Chapter 3 – Audiovisual and Multimedia Management .....</b>	<b>56</b>
Section 1 - Introduction .....	56
A. Scope and Purpose .....	56
B. Audiovisual and Multimedia Objectives.....	56
C. Identifying Audiovisual Multimedia Record Types .....	57
D. Penalties.....	57
E. Loss of Records .....	57
Section 2 - Filing System and Finding Aids.....	57
A. File Plan .....	57
B. File Station.....	57
C. Finding Aids and Indexes.....	57
Section 3 - Record Number.....	58
A. Assignment of Audiovisual and Multimedia Record Numbers.....	58
B. Numbering Components.....	59
Section 4 - Captions and Metadata .....	62
A. Captioning .....	62
B. Metadata.....	63
Section 5 - Transferring Audiovisual and Multimedia Records.....	65
<b>Chapter 4 – Library Management.....</b>	<b>66</b>
Section 1 - Introduction .....	66
A. Purpose and Scope .....	66
B. Objectives .....	66
Section 2 – Responsibilities.....	66
A. Library Services.....	67
B. Library Operations .....	67
Section 3. Circulation Information and Responsibilities .....	68
A. Circulation .....	68
B. Interlibrary Loan.....	68
Section 4. Collection Management and Development.....	69
A. Original Cataloging.....	70
B. Inventory.....	70

Section 5. Journals, Publications and Publishing.....	70
A. Physical Journals and Publications.....	71
B. Interlibrary Loan for Journals and Publications.....	71
C. Purchasing Journals and Publications.....	71
Section 6. Copyright.....	71
A. Fair Use Doctrine.....	71
B. Digital Rights, Copyright, Trademark, Patent Laws.....	71
C. Librarian Resources for Copyright Issues.....	72
<b>Chapter 5 – Correspondence Management .....</b>	<b>73</b>
Section 1 – Introduction.....	73
Section 2 - Difference between Department and Reclamation Correspondence: .....	73
Section 3 - Additional Reclamation Requirements .....	74
A. Author’s Mail Code and the Departmental Records Schedule (DRS).....	74
B. Surnaming.....	74
C. Signatures.....	74
D. Actings.....	75
E. Accessible to Individuals with Disabilities.....	75
Section 4 – Distribution .....	75
Section 5 – Correspondence Samples.....	75
<b>Information Management Handbook Glossary .....</b>	<b>76</b>



# Introduction

## A. Purpose

The Bureau of Reclamation (Reclamation) Information Management Handbook (IMH) defines the responsibilities and requirements for records and non-records management, establishes the Drafting and Modeling Standards for all of Reclamation, and details the requirements for Reclamation correspondence. Records Management, Library Materials Management, Audiovisual and Multimedia Management, and Correspondence Management must comply with Federal Laws and Policies. Adhering to the IMH requirements ensures that Reclamation remains in compliance with these laws and policies.

## B. Scope

The IMH is incorporated into the Reclamation Manual (RM) pursuant to a deviation and reference in Directive and Standard (D&S) RCD 05-01 Information Management and is applicable to all Reclamation offices and employees.

The IMH deviation memo can be found at the following link to [IMH Deviation Memo and Amendment](#).

All information, records, and data received or created by officials and employees for use by Reclamation is the property of the Federal Government. Official information, records, and data created by Reclamation shall not be transferred to other entities. Only copies of records shall be provided.

## C. Overview and How to Use the IMH

The IMH is comprised of five chapters and a glossary:

Chapter 1 - Records Management.

Chapter 2 - Drawing Management and Drafting and Modeling Standards.

Chapter 3 - Audiovisual and Multimedia Management.

Chapter 4 - Library Management.

Chapter 5 - Correspondence Management.

Glossary

Links to Standard Operating Procedures (SOP), examples, and references have been provided, where applicable, in each chapter.

The IMH chapters are written as standalone chapters. This allows users to quickly identify which chapter is relevant to their subject matter. However, each chapter contains references to other chapters so that **specific** information that is applicable to all chapters is contained in only **one** location. For example, specific information related to records retention is located only in the Records chapter. The Drawings, Audiovisual and Multimedia, Library, and Correspondence chapters include a link to the appropriate section of the Records Chapter for records retention information.

## **D. Objectives**

1. Provide requirements, responsibilities, and procedures applicable to the IMH contents.
2. Provide requirements for the creation, use, and maintenance of records, information, and data regardless of medium.
3. Protect the legal and financial rights of the Federal Government, members of the public, and persons directly affected by Reclamation's activities.
4. Provide for the security of the records, information, and data.
5. Ensure accountability for administrative, legal, audit, and business needs.

## **E. Laws and Authorities**

1. Freedom of Information Act 1966
2. Privacy Act of 1974
3. Paperwork Reduction Act of 1980
4. National Archives and Records Administration Act of 1984 (P.L. 98-497)
5. Electronic Freedom of Information Act Amendments of 1996
6. Information Technology Management Reform Act of 1996  
Government Paperwork Elimination Act 1998
7. Government Performance and Results Act
8. E-Government Act of 2002
9. 44 USC Chapter 21 – National Archives and Records Administration

10. 44 USC Chapter 29 – Records Management by the Archivists of the United States and Administrator of General Services
11. 44 USC Chapter 31 – Records Management by Federal Agencies
12. 44 USC Chapter 33 – Disposal of Records
13. 44 USC Chapter 35 – Coordination of Federal Information Policy
14. 44 USC Chapter 36 – Management and Promotion of Electronic Government Services
15. 32 CFR Part 2002-Controlled Unclassified Information (CUI)
16. 36 CFR Sub-Chapter B – Part 1220 – 1238
17. 41 CFR Sub- Chapter C – Part 102 – 193
18. Office of Management and Budget Circular A-123
19. Office of Management and Budget Circular A-130 Appendix III – Management of Information Resources
20. Office of Management and Budget Circular M-19-21 Transition to Electronic Records Department of the Interior Departmental Manual (DM)
21. 370 DM 752 – Personnel Management – Discipline and Adverse Actions – Attachment Item No. 2 – Item No. 12 – Item No. 20
22. 380 DM 1 – Records Management Program and Responsibilities
23. 380 DM 2 – Adequacy of Documentation
24. 380 DM 3 – Files Management
25. 380 DM 6 – Vital Records Program
26. 382 DM 11 – Managing Records in Electronic Form
27. 384 DM 1 – Disposition
28. 384 DM 2 – Records Disposition Schedules
29. 384 DM 3 – Removal or Destruction of Official Records
30. 384 DM 4 – Transfer of Records
31. Reclamation Manual (RM)
32. RM D&S CMP 03-01 Bureau of Reclamation Web Management

33. RM D&S FAC 03-03 Design Activities
34. RM D&S FAC 09-01 Cost Estimating
35. RM D&S RCD 01-02 Privacy and Safeguarding Personally Identifiable Information (PII)
36. RM D&S RCD 05-01 Information Management
37. RM D&S SLE 02-01 Safety, Security, and Law Enforcement – Identifying and Safeguarding Controlled Unclassified Information (CUI), including all Appendices
38. RM D&S SLE 08-02 Continuity of Operations Plan (COOP)

## **Responsibilities**

Proper management of all information is the ultimate responsibility of each Reclamation employee. As representatives of the Federal Government, Reclamation employees are responsible for providing thorough and proper documentation of Reclamation’s activities in order to protect the legal and financial rights of the Federal Government, Reclamation employees and the public.

All employees are responsible for creating, managing, protecting, and disposing of records in their custody. There are legal consequences for destroying records without proper authority. When drafting acquisition requirements i.e., a Solicitation's Statement of Work, Statement of Objectives, or technical specifications, the program/requesting office is responsible for including any IMH requirements that are applicable to contract performance, deliverables, and/or contractor employees.

### **A. Information Management Group**

Program management of records and information is the responsibility of the Information Management Group (IMG). This group provides guidance and assistance, including the development and issuance of Reclamation-wide standards, requirements, and procedures.

### **B. Reclamation Offices**

Responsibility for implementation of these standards is at the directorate, regional, and office level. The designated Records and Information Management Officer (RIMO), and Regional, and Area Managers shall be responsible for ensuring, tracking, and monitoring compliance with the procedures outlined in the IMH.

#### **1. Records and Information Management Officer (RIMO)**

The RIMO is the region's primary point of contact and subject matter expert (SME) for issues related to records and information management. Detailed responsibilities for this position are described in Chapter 1 Records Management Section 1.E.2.a.

## **2. Managers and Supervisors**

Managers and Supervisors are responsible for ensuring all Reclamation records, regardless of medium, meet the criteria and requirements of records management as defined in the IMH.

## **3. Employees**

All employees who create records, regardless of medium, are responsible for meeting the criteria and requirements of records management as defined in the IMH.

It is the responsibility of every official and employee who provide services for Reclamation to:

- a. Create, maintain, use, and dispose of records, information, and data in accordance with applicable laws, regulations, policy, and requirements.
- b. Provide for the continued security and safety of records, information, and data designated Controlled Unclassified Information (CUI), Privacy Act (PA), Personally Identifiable Information (PII) or which meets other mandated requirements such as protecting and maintaining the safety of Reclamation facilities, its employees, and the public.
- c. Make the records, information, and data available for continuing operations during local, regional, or national emergencies or other similar situations, and as part of Continuity of Operations Plan (COOP) or Emergency Action Plans (EAPs).
- d. Store records, to the greatest extent practicable, in an approved electronic document management system.
- e. Support their regional RIMO in transferring all permanent records, information, and data to the National Archives and Records Administration (NARA) in accordance with approved retention schedules.

# Chapter 1 – Records Management

## Section 1 - Introduction

This chapter of the Information Management Handbook (IMH) defines the requirements, responsibilities, and procedures for records management within the Bureau of Reclamation (Reclamation).

### A. Purpose and Scope

The IMH is incorporated into the Reclamation Manual (RM) pursuant to a deviation and reference in Directive and Standard (D&S) RCD 05-01 Information Management and is applicable to all Reclamation offices and employees.

Reclamation is mandated by Federal law and the National Archives and Records Administration (NARA) to ensure that it creates and preserves records containing thorough and proper documentation of the organization, function, policies, decisions, procedures, and essential transactions of the agency.

The Archivist of the United States (Archivist), as head of NARA, provides direction, guidance, assistance, and oversight through issuance of records management regulations and standards applicable to all Federal agencies (see 36 CFR, Chapter 12, Subchapter B, Records Management).

The Office of Management and Budget (OMB), in cooperation with NARA, issued OMB Memorandum M-19-21. This memorandum was updated by OMB Memorandum M-23-07. Both memos specifically focus on records management and direct Federal agencies to transition recordkeeping to a fully electronic environment that complies with all records management laws and regulations. By June 30, 2024, NARA will no longer accept transfers of records in analog form and will only accept electronic records that include appropriate metadata. In alignment with this memorandum the Office of the Chief Information Officer (OCIO) developed a program to support this effort called the eMail Enterprise Records and Document Management System (eERDMS). Therefore, offices shall work towards full conversion of physical information collections to electronic.

### B. Objectives

The primary objective of records management within Reclamation is to ensure the capture, storage, retrieval, preservation, and disposal of records that serve as documentary evidence of the work and history of Reclamation. Properly managed files will prevent the loss of historical records, protect the legal and financial interests of Reclamation, its employees, and the people that we serve, and make filing simpler, logical, and efficient.

### C. Records Management

Records Management is the planning, controlling, directing, organizing, training, promoting, evaluating and other managerial activities related to records creation, maintenance and use, and disposition necessary to achieve thorough and proper documentation of the policies and

transactions of the Federal Government and effectively and economically manage agency operations.

## **D. Federal Records**

Per 44 USC 3301, the term ‘record’:

Includes all recorded information, regardless of form or characteristics, made or received by a Federal agency 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 United States Government or because of the informational value of data in them; and

The term ‘record’ does **not** include:

1. Library and museum material made or acquired and preserved solely for reference or exhibition purposes; or
2. Duplicate copies of records preserved only for convenience.

In the paragraph above the term “recorded information” includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

It is the determination of the Archivist whether recorded information, regardless of whether it exists in physical, digital, or electronic form, is a record as defined in subsection (a) shall be binding on all Federal agencies.

Records are either temporary (eventually destroyed due to limited value or use) or permanent (kept forever due to their historical or significant value). A record is temporary or permanent based on the retention code assigned to it. For more information about retention codes see Chapter 1 Records Management Section 4.C.

All information, records, and data received or created by officials and employees for use by Reclamation is the property of the Federal Government. Official information, records, and data created by Reclamation shall not be transferred to other entities. Only copies of records shall be provided.

## **E. Responsibilities**

Proper management of all information is the ultimate responsibility of each Reclamation employee. As representatives of the Federal Government, Reclamation employees are responsible for providing thorough and proper documentation of Reclamation’s activities in order to protect the legal and financial rights of the Government, Reclamation employees, and the public.

All employees are responsible for creating, managing, protecting, and disposing of records in their custody. There are legal consequences for destroying records without proper authority.

### **1. Information Management Group**

Program management of records and information is the responsibility of the Information Management Group (IMG). This group provides guidance and assistance, including the development and issuance of Reclamation-wide standards, requirements, and procedures.

### **2. Reclamation Offices**

Responsibility for implementation of these standards is at the directorate, regional, and office level. The designated Records and Information Management Officer (RIMO), and Regional, and Area Managers shall be responsible for ensuring, tracking, and monitoring compliance with the procedures outlined in the IMH.

#### **A. Records and Information Management Officer (RIMO)**

The RIMO is the region's primary point of contact and subject matter expert for issues related to records and information management. The RIMO shall:

- I. Provide necessary guidance related to records and information management to include files management; records lifecycle management; essential records management, disaster preparedness, mitigation, and recovery; and litigation holds.
- II. Schedule and plan review activities and conduct records management reviews to track and monitor compliance, provide feedback and corrective action plans, offer and facilitate necessary training, and foster and maintain relationships between employees and record management teams.
- III. Provide for the continued security and safety of records, information, and data designated Controlled Unclassified Information (CUI), Privacy Act (PA), Personally Identifiable Information (PII), or other mandated requirements that protect and maintain the safety of Reclamation facilities, its employees, and the public.
- IV. Make records, information, and data available for continuing operations during local, regional, or national emergencies or other similar situations as part of Continuity of Operations Plans (COOP) or Emergency Action Plans (EAP).
- V. Disposition all records in accordance with NARA-approved retention schedules.

### **3. Managers and Supervisors**

Managers and supervisors shall comply with recordkeeping requirements established by the Federal Records Act, NARA, Federal regulations, the Departmental Manual (DM), and other Federal requirements. Managers and supervisors shall:

- A. Support records management activities, including records management reviews and employee exit procedures.
- B. Be responsible for ensuring compliance with the procedures outlined in the IMH.



- C. Ensure employees and/or groups maintain a file plan detailing the location, the Departmental Records Schedule (DRS) code, and open and close dates of all hardcopy and electronic files for which the group is responsible.
- D. Ensure employees complete annual mandatory records management training and understand their records management responsibilities.
- E. Ensure that when drafting acquisition requirements i.e., a Solicitation's Statement of Work, Statement of Objectives, or technical specifications, the program/requesting office includes any IMH requirements that are applicable to contract performance, deliverables, and/or contractor employees.

#### **4. Employees**

As representatives of the Federal Government employees shall perform proper maintenance and disposition of records, information, and data. Employees shall be responsible for providing thorough and proper documentation of activities to protect the legal and financial rights of the government and the people Reclamation serves. Every official and employee who provides services for Reclamation shall:

- A. Create, maintain, use, and dispose of records, information, and data in accordance with applicable laws, regulations, policy, and requirements.
- B. Provide for the continued security and safety of records, information, and data designated CUI, PA, PII or which meets other mandated requirements such as protecting and maintaining the safety of Reclamation facilities, its employees, and the public.
- C. Make the records, information, and data available for continuing operations during local, regional, or national emergencies or other similar situations, and as part of COOP or EAPs.
- D. Store records, to the greatest extent practicable, in an approved electronic document management system.
- E. Support their regional RIMO in transferring all permanent records, information, and data to NARA in accordance with approved retention schedules.

#### **F. Penalties**

The negligent, willful, unlawful, or deceptive concealment, alienation, removal, mutilation, obliteration, or other activities which damage or render the records, information, or data unusable is punishable by fines and/or imprisonment. For more information about the penalties associated with records management see D&S RCD 05-01 Information Management.

#### **G. Loss of Record**

Reclamation is required, per NARA, 44 USC 3106, and 36 CFR Part 1230, "Unlawful or Accidental Removal, Defacing, Alteration, or Destruction of Records," to "notify the Archivist of any actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, erasure, or other destruction of records in the custody of the bureau."

In addition to reporting to NARA, the Reclamation Record Loss Form 7-2594, shall be used to provide documentation for recording and reporting an incident of loss, damage, misuse, or compromise of Reclamation's records, regardless of medium.

Detailed information about notifying NARA and Reclamation's requirements related to the loss of a record can be found at the IMH SOP for Loss of Record.

According to D&S SLE 02-01 Identifying and Safeguarding Controlled Unclassified Information (CUI) if an incident involves the loss, compromise, suspected compromise, or unauthorized disclosure of CUI it shall be reported immediately to your Supervisor and a Reclamation security officer.

The D&S can be found at SLE 02-01 Identifying and Safeguarding Controlled Unclassified Information (CUI).

According to D&S RCD 01-02 Privacy and Safeguarding Personally Identifiable Information (PII) all suspected or confirmed PII breaches, which includes loss of records, shall be immediately reported to the Associate Privacy Officer (APO) within ONE HOUR of discovery and include a completed DOI Privacy Breach Report, Appendix A which can be found in RCD 01-02.

The D&S can be found at RCD 01-02 Privacy and Safeguarding Personally Identifiable Information (PII).

## **Section 2 – Records Identification**

### **A. Identifying Federal Records**

Information in any format or media that is created or received while fulfilling duties as a Federal employee conducting official business that evidences Reclamation and Departmental functions, organization, and activities is a Federal record and shall be managed as such.

### **B. Classifying Records**

Classification is the process of applying the NARA-approved records schedule based on the line of business that generates the records. Records shall be categorized in systematic and consistent ways to facilitate capture, retrieval, maintenance, and disposition. Classification shall include determining the document or file naming convention, user permissions, and security restrictions. The Department's NARA-approved record schedules shall be used to classify all Reclamation records.

### **C. Record Types**

The DRS is media neutral. The retention period shall not be based on the physical medium in which information is stored in recoverable form. For example, a three-year record is maintained for three years regardless of medium, e.g., paper, electronic, map, or a digital recording. Click this link to access the DRS.

Record retention is divided into four categories:

### **1. Permanent Records**

Reclamation records that have been determined by the DRS to have sufficient value to warrant permanent retention.

### **2. Temporary Records**

Reclamation records that have been determined by the DRS to have a temporary retention.

### **3. Transitory Records**

Records not subject to a specific retention period. They are retained until no longer needed (usually fewer than 180 days). These records are unnecessary to meet legal or fiscal obligations; to initiate, sustain, evaluate, or to provide evidence of decision-making. Transitory records generally include messages received from agency distribution lists and messages coordinating schedules.

### **4. Intermediary Records**

Intermediary records are created or used in the process of creating a subsequent record. These include non-substantive working files and ad-hoc reports. When a temporary hardcopy record is scanned and entered in an approved electronic records repository the hardcopy becomes an intermediary record.

Employees shall contact their regional RIMO for assistance with transitory and intermediary records.

## **D. Non-Record Material**

Non-record material consists of drafts, periodicals, and copies of records. All copies of records shall be marked as reference. Copies of temporary, transitory, or intermediary records shall not be retained longer than the original record.

Records and non-records shall be filed separately. Non-record materials shall be destroyed when no longer needed. For examples of non-records, see 36 CFR 1222.14.

The IMH SOP for non-record materials can be found at Identifying Non-Records.

## **E. Personal Papers**

Personal papers (also called *personal files*) are documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the Government. For additional information see 36 CFR 1220.18.

## **F. Working Files and Similar Materials**

Working files and similar materials, such as preliminary drafts and rough notes, shall be maintained for purposes of thorough and proper documentation if:

1. They are circulated or made available to employees (other than the creator) for official purposes such as: approval, comment, action, recommendation, follow-up, or to communicate with Reclamation staff about Reclamation business.

2. They contain unique information, such as substantive annotations or comments which add to a proper understanding of Reclamation's formulation and execution of basic policies, decisions, actions, or responsibilities.

## **G. Other Record Types**

### **1. Social Media Records**

The use of social media websites, such as Facebook, Twitter, and Instagram, may result in the creation or receipt of records. When determining if a social media post and/or the public comments received for a posting is a record, review the Federal definition of a record as provided in 44 USC 3301.

### **2. Email Records**

Email records are documents created or received on an email system including notes, formal or substantive narrative documents, and any attachments, such as word processing or other electronic documents, that are transmitted by electronic message. Any email on any Department email system may become a record. All email records shall be managed according to USC, 36 CFR 1222 and 1230, the DM, and Reclamation records management requirements. Reclamation uses the eMail eArchive System (EES) component of eERDMS for capturing, classifying, and storing email. See Chapter 1 Records Management Section 6.C eMail Enterprise Records and Document Management System (eERDMS) for more information about EES.

## **H. Emails, Litigation, and Freedom of Information Act (FOIA)**

The Solicitor's Office uses a commercially available electronic software application to manage all litigations. When a litigation hold is entered into the system the information is automatically transferred to EES. The EES Administrator ensures that all information is transferred to EES correctly. All the email accounts associated with the litigation are placed in a 'Hold' status and shall not be deleted until the litigation is lifted by the Solicitor's Office.

Emails that are the subject of an active FOIA request or appeal shall not be deleted until either:

1. The message, including the transmission of metadata, receipt of information, and any attachments, has been preserved in an approved recordkeeping system.
2. OR the request or appeal has been completed.

This applies even if destruction of the message would otherwise be authorized by an approved records retention schedule.

## **I. Audio and Video Recordings as Records**

All recordings are records and shall be managed and maintained in compliance with Reclamation records management requirements.

Recordings of any meeting could create privacy concerns and increase the possibility of leaking proprietary information, especially if the meeting concerns personnel, contract, or acquisitions discussions. The use of audio and/or video recording devices could inhibit open and free discussion.

All meeting attendees shall exercise caution if any sensitive issues shall be discussed during meetings that are being recorded.

The meeting host shall ensure they have first asked meeting attendees for their consent prior to turning on the recording device. Once consent from all attendees is given turn on the recording device and ask everyone again. This will ensure consent is recorded and therefore documented.

## **Section 3 –File Plan, General Files, and Case Files**

### **A. File Plan**

Each office, workgroup, or file station that maintains records shall develop and maintain a current file plan for their records. The file plan shall include:

1. The record series.
2. File organization.
3. Active file locations.
4. File transfer instructions.
5. File retention and disposition instructions.
6. Other specific instructions that provide guidance for effective management of records, including essential records.

The file plan shall specify how records are to be organized once they have been created or received, provide a “roadmap” to the records created and maintained by an organization, and facilitate dispositioning of the records.

For more information see the IMH SOP Inventory, File Plan, and Case Files File Plan.

### **B. General Files**

Records produced under administrative functions that do not have information specific to a particular Project, contract, property transaction, or event, shall be classified individually and as such shall be General Files.

### **C. Case Files (Also known as Project Files)**

All records within a case file shall inherit the longest retention of the case file.

See the IMH SOP Inventory, File Plan, and Case Files File Plan.

## Section 4 – Lifecycle of a Record

The records lifecycle process describes management of records from their creation through their maintenance, use, and disposition. All records shall meet the requirements of lifecycle management.

### A. Record Creation or Receipt

Upon creation or receipt of some information (a document, map, drawing, etc.), the creator or recipient must determine if it exists in connection with the transaction of public business as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government. If it does, it is a record, and the first step in the lifecycle of a record has occurred.

### B. Organizing and Filing

Organizing and filing requirements apply to both paper and electronic records; facilitate the proper use and storage of information; and ensure that records are accessible when needed, functionally organized for employees, and assigned appropriate retention.

Each office in Reclamation generates records particular to their projects and programs, and while all offices shall adhere to consistent records management, filing and file plans may vary from office to office.

### C. Records Retention

All Reclamation employees shall organize, maintain, and assign retention for all records according to the DRS. This includes other NARA-approved records schedules relevant to the Department of the Interior.

The DRS is organized into four main categories:

1. Administrative
2. Mission
3. Policy
4. Legal

Each category includes an additional sub-category, and the Mission category includes two sub-categories.

Each DRS entry is represented as a retention code of three or four numbers, separated by periods, e.g., 1.1.01 or 2.2.4.23. The first number in the retention code corresponds to the category: 1 for Administrative, 2 for Mission, etc. The second number corresponds to a subcategory within the main category. For Administrative, Policy, and Legal, the third number corresponds to the retention for that category and subcategory. For Mission, the third number represents an additional subcategory, and it is the fourth number that corresponds to the retention.

The retention code 1.1.01, for example, corresponds in the DRS to:

1 – Administrative category

1 – Administration subcategory

01 – Short-term, temporary retention of 3 years

The retention code of 2.2.4.23, for example, corresponds in the DRS to:

2 – Mission category

2 – Natural Resources Planning and Development subcategory

4 – Water subcategory

23 – Permanent retention

A retention schedule, such as the DRS, provides instructions for the disposition, e.g., destruction, transfer to a records center, etc., of records that have met their retention. NARA is responsible for approving retention schedules and the associated agency or department disposition authority.

In addition to the DRS, some disposition authorities are available through the General Records Schedule (GRS). Additional information about transitory and intermediary records is available in Chapter 1 Records Management Section 2.C.3., but the disposition authorities related to those types of records can be found in GRS 5.2: Transitory and Intermediary Records.

Employees shall contact their regional RIMO for questions related to records schedules.

More information can be found at the DRS and the GRS.

#### **D. Crosswalk to Prior Retention Schedules**

To assist employees familiar with the prior codes and retention periods a crosswalk has been developed that includes high-level subject, DRS code, prior retention code, prior retention length, DRS category, and DRS retention length: Subject Index and DRS IMH Crosswalk.

#### **E. Records Disposition**

Reclamation employees shall adhere to the objectives of an effective records disposition program, which are:

1. Preservation of records and information of continuing value.
2. Disposal of records having temporary value due to changing conditions.
3. The economic management of records with long-term temporary or permanent value.

Reclamation shall only dispose of records that have 1) met their retention, 2) been reviewed by a program, technical, or subject matter expert in the office of primary responsibility, and 3) concurrence of disposal has been authorized.

For more information on how to properly disposition records, see the IMH SOP Disposition Instructions for Temporary Electronic Records Located in the Enterprise Content System.

For records stored at the FRC that have met retention requirements the FRC will send a Notice of Eligibility for Disposal Form to the Reclamation Records Officer in order to obtain Reclamation's approval for final destruction. Upon receipt of this form the program, technical, or subject matter expert in the office of primary responsibility shall be consulted and provide concurrence of disposal.

## **F. Disposition Authority**

Records, regardless of medium, shall be disposed of only in accordance with a NARA-approved records retention schedule. Disposition Authority is the formal permission granting an agency the right to destroy records or to transfer them to the archives. The DRS provides information on the length of time to keep records and the instructions for their disposition. Additional information regarding this process can be found at the NARA webpage for Records Control Schedules (RCS).

### **1. Freeze or Hold**

Disposal shall not take place if records are responsive to a pending FOIA request, a pending FOIA appeal, or if records are under a freeze or legal hold. They may be disposed only after the hold/freeze has been lifted. Records may be retained for longer periods with appropriate justification such as ongoing audits, litigation, protracted claims, etc. RIMOs shall inform NARA of such exceptions in writing.

For holds related to litigation see Chapter 1 Records Management Section 10 Litigation.

## **Section 5 - Record Transfers**

Records designated for long-term temporary or permanent retention shall be transferred to the FRC or NARA in accordance with the transfer instructions.

### **A. Transfer of Records to the Federal Records Center via the Archives and Records Centers Information System (ARCIS)**

Records transferred to the FRC remain in the legal custody of Reclamation and may be recalled from the FRC. Records transfers to and from the FRC shall be requested online through the current, approved archive and records system utilized by the FRC. Details are found in the IMH SOP for Transfer of Records to the Federal Records Centers via Archives and Records Centers Information System.

The FRCs require agencies to use specific materials and processes for preparing records transfers. Detailed information can be found at NARA's FRC Toolkit.

### **B. Transfer to NARA**

Records transferred to NARA become the legal property of NARA. Offers of direct accessions to NARA shall be performed using the current, approved archive and records system utilized by NARA.



## **C. Other Agencies**

Only copies of records, information, and data shall be transferred to other Federal agencies or external entities outside of Reclamation.

## **Section 6 - Electronic Records**

An electronic record is any information that is recorded in a form that only a computer or other electronic device can process, and which satisfies the definition of a federal record (see 44 USC 3301).

Electronic records may include data files and databases; drawings; machine-readable indices; word processing files; electronic spreadsheets; web records; records generated from Voice Over Internet Protocol (VOIP), tablet, cell phones, and other electronic systems or devices; electronic mail and electronic messages, as well as other text or numeric information requiring the use of a computer or other electronic device to create, retrieve, analyze, transmit, or delete records.

### **A. Electronic Records Management Systems**

Recordkeeping systems, whether electronic or paper-based, shall provide the required information when needed, and retain the records for the required length of time.

It is prohibited to store electronic records outside an approved electronic recordkeeping system.

Electronic Records Management systems shall provide the following required functionality:

1. All electronic records management systems shall meet the requirements in 36 CFR 1236, and be consistent with the DOI Departmental Manual, and the Reclamation Directives and Standards, including this IMH.
2. Declare records. (Assign unique identifiers to records.)
3. Capture records. (Import records from other sources, manually enter records into the system, or link records to other systems.)
4. Organize records. (Associate records with an approved records schedule and disposition instructions.)
5. Maintain records security. (Prevent unauthorized access, modification, or deletion of declared records, and ensure that appropriate audit trails are in place to track use of the records.)
6. Manage access and retrieval. (Establish the appropriate rights for users to access the records and facilitate the search and retrieval of records.)
7. Preserve records. (Ensure that all records in the system are retrievable and usable for as long as needed to conduct agency business and to meet NARA-approved retention schedules.)

8. Carry out disposition. (Identify and transfer permanent records to NARA based on approved records schedules. Identify and delete temporary records that are eligible for disposal. Halt the disposition of records through the application of records holds or freezes when required.)

## **B. Electronic Records Management Controls**

Electronic records shall be managed in accordance with 36 CFR 1236. Records management controls are needed to ensure that Federal records in electronic information systems provide thorough and proper documentation of agency business for as long as the information is needed.

## **C. eMail Enterprise Records and Document Management System (eERDMS)**

The eERDMS program resides in a Software as a Solution (SaaS), Federal Information Security Management Act (FISMA) Moderate environment containing multiple component systems. These component systems were selected to support the centralization of Departmental records, standardization for investigatory matters, integration of web-based forms, automation of faxes, and support for the citizen, while limiting Departmental risk and maximizing technological advances through the participation in IT transformation.

### **1. eMail eArchive System (EES)**

The eMail eArchive System (EES) is a component of eERDMS and a certified Department of Defense (DOD) 5015.2 records management module. EES captures all inbound and outbound Departmental emails in support of records management initiatives. All email content stored in EES is classified according to the DRS. To conduct a search of the email system, review the IMH SOP for a Records Search in EES.

## **D. Enterprise Content System (ECS)**

The ECS component of eERDMS shall be used to manage record content in support of Reclamation's mission, organization, and activities. For details on how to use the ECS system review the IMH SOP ECS User Instructions.

## **E. Requirements to Meet OMB, NARA and DOI Objectives**

For offices to meet the OMB Memorandum M-19-21, DOI Records Management Program Strategic Plan, NARA's 2018-2022 Strategic Plan and local electronic records management goals, it is necessary to focus on converting physical collections of information and records to electronic formats. Offices shall work towards full conversion of physical information collections to electronic.

### **1. Digitizing Equipment**

Digitizing equipment, such as scanners, copiers, film readers, or other capture equipment, shall produce electronic files that meet NARA's format specifications. This information can be found at their Tables of File Formats webpage.

### **2. Digitizing Standards**

Digitizing standards shall meet NARA's formats and metadata requirements. These can be found at the NARA Technical Guidelines for Digitizing Archival Materials.

Reclamation has established recommendations for file naming conventions, scanning standards (including global presets), and Adobe Preset Standards. These can be found at the IMH SOP Converting Records into Electronic Content.

## **Section 7 - Management of CUI and PII Records**

Detailed information about the special requirements for the dissemination and protection of records that are identified as CUI can be found at D&S SLE 02-01 Identifying and Safeguarding Controlled Unclassified Information (CUI).

The Privacy Act of 1974 (PA) establishes special requirements for the creation, maintenance, dissemination, and protection of records that contain PII. Detailed information can be found at D&S RCD 01-02 Privacy and Safeguarding Personally Identifiable Information (PII).

## **Section 8 - Essential Records**

Essential records shall be identified and marked appropriately within the current, approved electronic records management system. Detailed information about essential records can be found at D&S EMG 04-01 Continuity of Operations Plan (COOP). In addition, NARA maintains information about essential records. The NARA Essential Records Guide can be found at NARA Essential Records Guide.

Reclamation shall adhere to the requirements of SLE 08-02 and the NARA Essential Records Guide for Essential Records management.

## **Section 9 - Disaster Mitigation**

This section, in combination with the COOP and field or area office local guidance, sometimes known as a Records Disaster Mitigation and Recovery Plan, provides direction to ensure successful disaster recovery. Disasters like fire, flood, and earthquake can happen quickly with little or no warning, but employees are reminded to help protect records from long-term “creeping disasters” as well. Creeping disasters include destruction or decay of records due to air pollution, dust, light, temperature variations, humidity, insects, small animals, and even mishandling of records. Proper records management, including transfer of records to a long-term storage facility like the FRC, can help prevent or mitigate many creeping disasters.

Reclamation shall adhere to the requirements of the NARA Essential Records Guide for disaster mitigation and recovery.

The best practice for any type of disaster mitigation is to import records into the current, approved electronic records management system.

## Section 10 - Litigation

Reclamation has a duty, under the Federal Rules of Civil Procedure (FRCP), to search for and preserve potentially relevant information during litigation. These responsibilities arise not only when litigation is filed but exist as soon as litigation is reasonably anticipated. Notification of legal holds come from the Office of the Solicitor (SOL). The FRCP makes clear that litigation holds, and discovery obligations apply to all forms of information and the media this information is stored upon, including electronically stored information (ESI) and all associated metadata.

1. The types of information that shall be preserved consist of all "documents, data, and tangible things" in the possession, custody, or control of Reclamation that contain information that is or may be relevant to the subject matter of the rulemaking. "Documents, data, and tangible things" include paper documents, ESI, and other materials, such as maps, drawings, videos, calendars, charts, and similar items.
2. ESI can include but is not limited to email (including attachments); instant messages; electronic calendars, task lists, and other organizational aids; word processing documents; spreadsheets; databases; audio and video recordings; voicemail; and Short Message Service (SMS) text messages.
3. ESI can be stored in numerous locations, including, but not limited to, personal computers or laptops; network systems and servers; removable storage media (such as flash drives, diskettes, tapes, and CD-ROMS); personal digital assistants; and cell phones.
4. Home computers, cell phones, and other personal (non-government) devices used for work may also contain potentially relevant information that shall be identified and preserved.
5. Departing employees' hard drive and network files shall be identified and preserved.
6. Preservation of information shall be carried out by individuals within Reclamation. Therefore, it is essential that a copy of the litigation hold reaches every employee likely to have potentially relevant information.
7. Employees shall take "reasonable steps" to preserve the information. Reasonable steps, at a minimum, include 1) ensuring that information is not purged pursuant to a records disposition schedule or 2) inadvertently destroyed. This requirement applies to records maintained in off-site storage facilities.
8. Reclamation (each office and employee) shall respond within the specified timeframe and manage the preservation of information that may be relevant to the pending or foreseeable litigation, until such time as the litigation hold is released.
9. Reclamation shall maintain up-to-date retention policies and procedures and take appropriate steps to prevent alteration, mutilation, or destruction of the potentially relevant information.

10. An agency-wide release from case-specific litigation hold responsibilities and release from litigation obligation shall come from the Solicitor, Department of Justice, or a Federal court official overseeing the litigation.
11. The IMG's litigation point of contact shall ensure all regional RIMOs and affected employees are notified of the release.
12. Violating a litigation hold directive by failing to take steps to preserve potentially relevant information could expose an employee to penalties and/or disciplinary actions. This may include dismissal, as well as personal liability for civil and/or criminal sanctions by the courts or law enforcement authorities.

## **Section 11 - Records Management Reviews**

Reclamation shall conduct Records Management Reviews (RMR) to measure the effectiveness of records management programs and practices and to ensure that they comply with NARA regulations as specified in 36 CFR 1220.34(j).

The purpose of the RMR is to

1. Inspect records management practices at the office level, including file stations, central files, and electronic storage locations.
2. Confirm that activities are consistent with statutory requirements and regulations.
3. Identify areas in need of improvement.
4. Define objectives and responsibilities; and
5. Provide guidance for records lifecycle management.

RIMOs shall submit annual RMR schedules to the Reclamation Records Officer for approval no later than October 31, after the beginning of a new fiscal year.

RIMOs shall upload reports of completed RMRs with Corrective Action Plans, if applicable, to ECS no later than 60 days past the completion of the RMR, or no later than the end of the fiscal year, whichever comes first. Details are provided in the IMH SOP Records Management Reviews.

## **Section 12 - Departing Employees**

Reclamation shall implement the requirements of 44 USC 31 and NARA Regulations 36 CFR 1220 and 1222 related to the transition of Federal records from departing employees. Failure to adhere to these requirements may result in penalties as defined in 18 USC 2071 applying to the unlawful destruction or other disposition of Federal records.

Departing employees shall refer to the IMH SOP for Departing Employees in addition to the responsibilities described in Chapter 1 Records Management Section 1.E.4.

## **Section 13 - Records Management Training**

Employees are Federally mandated to complete annual records management training. Failure to complete this training by the designated due date shall result in the loss of an employee's computer access.

Training materials related to records management can be found in the current, approved Departmental training system. Employees will be notified via email when training is assigned.

# Chapter 2 – Drawing Management and Drafting and Modeling Standards

## Section 1 – Introduction and Overview

### A. Scope and Purpose

This chapter of the Information Management Handbook (IMH) defines the requirements, responsibilities, and procedures for drawing management and drafting and modeling standards for all drawing records within the Bureau of Reclamation (Reclamation).

The IMH is incorporated into the Reclamation Manual (RM) pursuant to a deviation and reference in Directive and Standard (D&S) RCD 05-01 Information Management and is applicable to all Reclamation offices and employees.

For the purpose of this chapter drawings only include graphical depictions of sites, features, objects, or concepts conveying engineering, scientific or other technical information in the Feasibility, Design, or Operation and Maintenance(O&M) phases of a project.

For the purposes of this chapter, models are limited to models created in Autodesk software for the purpose of modeling land, structures, components. Models are typically used for the creation of drawings. All drawings created or accepted by officials and employees for Reclamation are the property of the Federal Government. This chapter of the IMH contains standards for the creation, maintenance, and retention of Reclamation drawings.

All drawings created by Reclamation shall be created in or imported into the Electronic Drawing Repository and Automated Workflow Solution (eDRAWS) as native format drawing files prior to the Technical (Tech) and Admin Approval workflow states. All drawings created by non-Reclamation design partners shall be imported into eDRAWS as native format drawing files prior to the Admin Approval (Acceptance) workflow state. The eDRAWS workflow is the only authorized method for drawing approval or acceptance.

All drawings, models, and data are records, regardless of phase, status, or retention and shall be managed according to records requirements as defined in Chapter 1 Records Management.

eDRAWS is the only approved method for storage, maintenance, archival, and disposition of all drawing records. Details can be found in the eDRAWS Mandatory Use Memo, the IMH SOP for the eDRAWS Approval Workflow, and the IMH SOP eDRAWS Training and Support Documentation.

This chapter also provides the procedures for preparing electronic models, such as 3D models, point cloud data, and photogrammetry, drawing files, figures, maps, and associated Computer-Aided Design (CAD) and Building Information Modeling (BIM) products within Reclamation (see Chapter 2 Drawings Management Section 9). These drafting standards are for standardizing the preparation of models and drawings, simplifying various details of work, and securing the greatest possible

uniformity in appearance, size, and style consistent with the subjects and purpose involved, regardless of software used. All work shall be done in conformity with these standards. For work not specifically addressed in these standards, refer to the most current version of the United States National CAD Standard (NCS).

## **B. Penalties**

Penalties associated with the unlawful destruction, damage, or alienation of Federal records (18 USC 6451, 2071, and 35 CFR 1228.102). Penalties are described in full in D&S RCD 05-01 Information Management.

## **C. Loss of Records**

Lost record requirements are described in full in Chapter 1 Records Management Section 1.G.

## **D. Record Drawing**

The Reclamation record drawing is the electronically signed PDF rendition generated by eDRAWS following completion of the approval workflow. For drawings created prior to implementation of eDRAWS, the record drawing is the scan of the hardcopy drawing (PDF or other approved raster format), or the hardcopy drawing itself, in cases where the hardcopy has not yet been scanned and imported into eDRAWS.

## **E. Non-Reclamation Design Partners**

Unless specifically authorized by contract language, no drawings prepared for Reclamation by any outside organization(s) shall contain any copyright symbols, insignia, or designations. The contract solicitation or interagency agreement shall contain language requiring the drawings to be provided to Reclamation in native drawing file format. Each drawing(s) will be assigned a unique Reclamation drawing number. Once imported into eDRAWS, a Reclamation authorized Admin Approver shall accept the drawings from the non-Reclamation design partner(s) to complete the workflow process. In this case, acceptance by Reclamation does not imply technical approval of the drawings. See Chapter 2 Drawing Management Section 9.E. for the drafting requirements for non-Reclamation designed drawings.

## **F. Media**

### **1. Electronic Drawings**

All drawings are to be stored electronically in eDRAWS as a digital image (PDF or other approved raster format) of the original signed drawing, along with the native format drawing file (AutoCAD, Revit, Inventor, or other drawing file type) when available. The native format drawing file and associated reference and supporting files shall be stored in eDRAWS but do not constitute the record drawing.

### **2. Native Format Drawing Files with Missing Drawing Files**

In the case that the record drawing does not exist in either hardcopy or electronic format, but a native format drawing file (AutoCAD, Revit, Inventor, or other drawing file type) exists for the drawing, the native format drawing file shall be stored in eDRAWS with its associated reference and supporting files. The native format drawing file does not constitute the record drawing.



### **3. Hardcopy Drawings**

All hardcopy drawings shall be scanned (PDF or other approved raster format) and imported into eDRAWS to constitute the record drawing. Hardcopy drawings are any drawings produced or stored in non-electronic formats, such as paper or similar sheet medium, aperture card, microfilm, or any other media. The hardcopy may be retained as a reference copy, in which case it shall be marked 'Reference Only'. Hardcopy drawings that are awaiting scanning shall be filed per the requirements outlined in Chapter 2 Drawing Management Section 1.D. Hardcopies that are no longer needed shall be routed for permanent disposition. See Chapter 2 Drawing Management Section 4.A.1. for scanning procedures and requirements.

### **G. Operation**

Operational activities provided by Records Drawing Managers (regardless of organizational location) shall be centralized and closely coordinated with the engineering and drafting staff. For the most effective operation all drawings must be numbered, indexed, filed, and managed by Records Drawing Managers regardless of format or media.

### **H. Filing**

#### **1. Record Drawings**

All current revisions of drawings, including superseded and voided drawings, shall be stored in electronic format in the eDRAWS Official Record Scope. Hardcopy drawings that have not been imported into eDRAWS will be filed by project number, station number, and sequence number in ascending order until they are scanned, and the electronic drawing is imported.

Native format drawings and record drawing file names shall consist of the drawing number along with the document type identifier, sheet number, and the file type extension. See Chapter 2 Drawings Management Section 2 for more information on the drawing number and its components. For example, a PDF scan of drawing 485-D-1234, should have a filename like 485-D-1234-RD-1.pdf.

### **I. Record Retention**

All drawings, regardless of eDRAWS workflow state, are records. For record retention information see Chapter 1 Records Management Section 4.C.

## **Section 2 - Drawing Numbers**

### **A. Assignment of Drawing Numbers**

All drawings created by or for Reclamation shall be assigned a drawing number. The eDRAWS system automatically generates all drawing numbers, temporary and permanent, for new drawings which conform to the requirements of the Reclamation numbering system described below. All drawings started in the eDRAWS system receive temporary drawing numbers, see Chapter 2 Drawings Management Section 2.F. Permanent drawing numbers are assigned prior to entering the approval workflow. No two drawings shall use the same sequence number within the same Project Number/Station Number combination. Permanent sequence numbers shall only be assigned by the eDRAWS system.

## **1. Figures and Sketches**

Graphical depictions for use in preliminary or appraisal phases of a project are considered figures or sketches. Figures and sketches managed in eDRAWS will be stored in the Work-In-Progress Scope and shall not be assigned a permanent drawing number. If management deems a figure is crucial, the figure may be given a permanent drawing number and stored in the Official Records Scope after the figure has gone through the approval signature process.

Designs and other graphical depictions created at the feasibility phase are considered design drawings, not figures or sketches.

Details can be found in D&Ss FAC 03-03 Design Activities and FAC 09-01 Cost Estimating.

## **B. Working Files**

Working files consist of new drawings and revisions of drawings that have not completed the approval process. The native format drawing file for new drawings shall be imported into the eDRAWS Work-In-Progress Scope prior to the Tech Approval and Admin Approval states. Prior to a drawing record number being assigned through eDRAWS, all new drawings are assigned a temporary sequence number that begins with “T” by eDRAWS, and the filename shall consist of the Project, Station, temporary sequence number, document type identifier, and sheet number. Working files for revising drawings are given the same drawing number and filename as the file that is being revised and are stored in the Work-In-Progress Scope until the revision is completed.

## **C. Retired Drawings**

A ‘Retired’ drawing in eDRAWS is any unlinked previous revision(s) of a record drawing. The decision to retire a drawing shall be made by the office Records Drawing Manager or the individual who is responsible for the drawing record. The action of retiring a drawing shall be performed by the relevant eDRAWS Super Drawing Manager. Voided and Superseded drawings shall not be retired. Details are provided in the IMH SOP Retiring Drawings in eDRAWS.

## **D. Numbering System**

### **1. Drawing Number Format**

The drawing number consists of the Project Number, Station Number, and Sequence Number separated by dashes. All previous numbering schemes are obsolete.

{Project Number}- {Station Number}- {Sequence Number}

For example, a drawing produced by the California-Great Basin Regional Office (station 208) for a Klamath Project feature (Project Number 12) would have a drawing number 12-208-60048.

## **E. Drawing Number Components**

The following are components tracked in the drawing management system as the drawing number or as supplemental information to the drawing number. Project Number, Station Number, and Sequence Number are the components of the drawing number, while Document Type is supplemental information kept with the drawing number in the drawing management system. The

combination of all the components is used for uniqueness checking within the drawing management system.

### **1. Project Number**

The Project Number (1 to 5 digits) corresponds to the Project that the drawing is created for and is assigned to facilitate management of all related drawings and records for that Project. Project number is not the same as Funding project number.

See the Master Project Table (MPT) for a listing of Reclamation Features and their related Projects and Project Numbers. A new Project Number or Feature can be added to the MPT with the appropriate documentation.

The table can be found at [Master Project Table \(MPT\)](#) and details for Projects, Project Numbers, and Features can be found at the following IMH SOPs:

Using the Master Project Table (MPT) and Verifying Project Numbers.

Requesting New Project Number or Feature in MPT.

### **2. Station Number**

The Station Number, a three-digit number or the letter 'D,' indicates the originating office and/or office of record.

The table can be found at IMG's Master Station Table (MST).

### **3. Sequence Number**

The sequence number is a unique number assigned to each drawing related to a Project and Station to assist in the identification and retrieval of a specific drawing. The permanent sequence number for new drawings is automatically generated by eDRAWS, beginning with 60000. Each Project and Station combination has its own Sequence Number series beginning at 60000. For example, 214-D-60000-RD-1, 214-208-60000-RD-1, and 485-208-60000-RD-1 would be separate and unique drawings. Alphabetic characters shall not be used in the sequence number for new drawings once the permanent sequence number is assigned.

### **4. Document Type**

This is not a part of the drawing number but is maintained in the drawing management system with the drawing number. Document type affects the signature workflow in eDRAWS and helps to mark the design phase of the drawing and/or the source or type of drawing. The default document type is 'RD – Reclamation Drawing' unless otherwise selected. See Chapter 2 Drawing Management and Drafting and Modeling Standards Section 10. for a list of available Document Types and their definitions and effects on the signature workflow. Document type may be changed as needed over the life of the drawing; changing the document type shall require a revision to the drawing.”

### **5. Sheet Number**

This is not a part of the drawing number but is maintained in the drawing management system with the drawing number to specify the position of the drawing in a series of drawings (sheet 1, 2, 3, etc.).

Non-series drawings shall be considered sheet 1. Sheet number shall be written as SHEET 1, SHEET 2, SHEET 3, etc. No two sheets in a series will have the same drawing sequence number.

## **F. Temporary Drawing Numbers**

All new drawings entered into eDRAWS are automatically assigned temporary drawing numbers. The temporary drawing number conforms to the numbering system described in Chapter 2 Drawings Management and Drafting and Modeling Standards Section 2. except the sequence number is a unique number that begins with “T” e.g., “T1234”. Drawings with temporary numbers shall not be signed in any manner. Drawings with temporary numbers shall not be used as a record drawing.

Drawings with temporary drawing numbers can be assigned permanent numbers in eDRAWS prior to entering an approval state or will be automatically assigned a permanent drawing number when sent for approval in eDRAWS. Not all drawings assigned permanent numbers will be approved, signed and/or moved to the Official Records Scope.

## **Section 3 - Standard Drawings**

### **A. Purpose**

Standard Drawings represent Reclamation’s standard details of design and construction and cover a magnitude of details and typical materials required for project specifications.

#### **1. Numbering**

Standard Drawings are applicable across all Reclamation projects and are designated Project Number 40. Typically, Reclamation Standard Drawings are assigned Station “D”, however, there are cases where a Standard Drawing is specific to a region or office and can be assigned a station number accordingly.

### **B. Revisions**

Standard Drawings are used in multiple specifications and may be revised by the originating office. As-built revisions shall not be made to Standard Drawings.

## **Section 4 - Hardcopy and Legacy Drawings**

### **A. Scanning Hardcopy Drawings**

Scanning is the process by which hardcopy drawings are converted to electronic format for management in eDRAWS. The availability of the information contained in drawings is critical to Reclamation’s mission. Therefore, the information must be maintained in an accessible and stable medium. Digitizing standards shall meet NARA’s formats and metadata requirements. These can be found at NARA Technical Guidelines for Digitizing Archival Materials.

#### **1. Scanning Standards**

Standardization of methods, procedures, techniques, and formats is mandatory in this program. This is necessary to achieve compatibility and interchange of drawing information throughout

Reclamation. While methods may vary somewhat depending on local application the following shall be adhered to:

#### **a. Scanning**

Hardcopy drawings scanned and loaded into eDRAWS shall adhere to the following standards as deemed appropriate for the type of drawing to be scanned. NOTE: Where needed for clarity, higher resolutions will be used to adequately preserve integrity of the drawing. All scanning shall be performed in compliance with NARA.

1. Bitonal – 200-400 ppi, PDF (preferred) or uncompressed TIF
2. Grey Scale – 8 bit, 200-400 ppi, PDF (preferred) or uncompressed TIF
3. Color – 24-bit RGB (Red, Green, Blue), 200-400 ppi, PDF (preferred) or uncompressed TIF

For more details see the IMH SOP Scanning, Revising, and Redrawing Legacy Drawings.

#### **B. Status of Electronic and Hardcopy Drawing**

Once a hardcopy drawing has been scanned to an acceptable electronic format drawing and imported into eDRAWS the electronic drawing is considered the record. The hardcopy may be retained as a reference copy, in which case it shall be marked ‘Reference Only.’ See the IMH SOP for Importing Scanned Drawings into eDRAWS.

#### **C. Revising and Redrawing Legacy Drawings**

Revision of a legacy drawing shall be based on whether 30 percent or less of the drawing requires modification **or** whether the drawing is of a non-standard size.

When drawing modifications do not exceed 30 percent and the drawing is standard size, the drawing shall be revised to closely match the legacy standards of the drawing. The revised drawing may use the original hardcopy scan as a base for the revision, i.e., the drawing does not completely need to be redrawn.

When drawing modifications exceed 30 percent it is recommended that the drawing shall be redrawn to meet current Reclamation drafting standards.

If the drawing is of non-standard size, the drawing shall either be redrawn to meet current Reclamation drafting standards or electronically, uniformly scaled to fit in a 22 x 34 space.

The use of overlays is obsolete and shall not be used.

For more information see the IMH SOP Scanning, Revising, and Redrawing Legacy Drawings.

#### **1. Legacy Drawings of Non-Standard Size**

##### **a. Oversize Drawings**

Any drawing that has a width or length greater than the standard ANSI D-size drawing described in Chapter 2 Drawings Management and Drafting and Modeling Standards Section 9.A.3 is oversize.

Oversize drawings shall be redrawn using the current Reclamation drafting standards, sheet size, and title block, or the drawing may be electronically, uniformly scaled to fit the ANSI D-size drawing sheet. Redrawn oversize drawings may be separated into two or more drawings.

### **b. Undersize Drawings**

Legacy drawings with widths and lengths smaller than a standard ANSI D-size drawing are undersize. These drawings shall be redrawn using current Reclamation drafting standards, sheet size, and title block, or the drawing may be electronically, uniformly scaled to fit the ANSI D-size drawing sheet.

### **2. Legacy Drawings with Closed Project Number**

Legacy drawings from closed Project Numbers that are to be revised shall be superseded by a new drawing in the corresponding open Project Number. The superseding drawing shall be drawn to current standards.

## **Section 5 - Revision Status and Changes**

### **A. Drawing Revisions**

Revisions shall only be made to finished drawings that have completed all signature requirements. Drawing revisions shall be created using the native format drawing file, if available. If the record drawing is not in eDRAWS and is available, the hardcopy shall be scanned and imported with the electronic drawing file prior to starting the revision. eDRAWS automatically increments revision numbers and maintains previous revisions. See the IMH SOP for Drawing Revisions.

Drawings are the responsibility of the office identified by the station number. Revisions to a drawing created by one office shall not be made by another office without written approval from the originating office. When responsibility for a drawing is assumed by a station other than the original, it is recommended that the original drawing be designated “superseded” and a “supersedes” drawing be created. See Chapter 2 Drawings Management and Drafting and Modeling Standards Section 5.C. for more information on superseding drawings.

### **1. Revision Numbers and Markings**

Revision numbers are incremented by 1 from the previous revision, with the initial version of a drawing considered to be revision 0. If the revision number for the current revision of a drawing is not clear, or otherwise does not follow the above-described numbering, the directorate, regional, or office Records Drawing Manager will assign a revision number based on the history of the file. See the IMH SOP for Determining the Revision Number for a Drawing.

Revision blocks shall show the date, station, name, and professional designation of the person technically approving the revision, and a brief description of the drawing revisions. The technical approval process shall be completed in eDRAWS. Revision blocks from previous revisions may be removed for space limitations provided a minimum of the two most recent revision blocks are shown on the drawing. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G3.

Revision clouds can be used to highlight changes when necessary for clarity. Revision clouds from prior revisions shall not be displayed on the current revision. See the IMH SOP Use of Revision Clouds.

## **B. Converting Drawings without Native Format Drawing Files**

Drawings that do not have native format drawing files shall be converted to or inserted into a native drawing file format when revised prior to the eDRAWS approval process. See Chapter 2 Drawings Management and Drafting and Modeling Standards Section 4.A. for scanning and revising hardcopy drawing requirements. See the IMH SOP for Scanning, Revising, and Redrawing Legacy Drawings.

## **C. Superseded and Voided Drawings**

### **1. Superseded Drawings**

When a drawing is no longer valid, and its function has been replaced by another drawing, it is superseded. The replacement drawing supersedes the original drawing.

When a drawing is created or revised that supersedes other drawing(s) or parts of other drawings, both the superseding and superseded drawings shall be marked to reflect the change. The effective date of both the superseding and superseded drawings shall be the same. See the IMH SOP for Superseded Drawings.

These requirements do not apply to standard drawings (Project number 40). See Chapter 2 Drawings Management and Drafting and Modeling Standards Section 3 for information on standard drawings.

#### **a. Superseding Drawing**

A drawing that supersedes other drawing(s) must include a notation that identifies the drawing number(s) of the superseded drawing(s) and effective date. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G5.

The ‘Supersedes’ notation shall remain on all future revisions of the drawing.

### **2. Superseded Drawing**

The superseded drawing must include a notation that identifies the drawing number(s) of the superseding drawing(s) and the effective date. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G5.

Superseded drawings remain record drawings and no further revisions shall be made to the superseded drawing. Drawings superseded in part remain record drawings and no further revisions shall be made to the superseded part of the drawing. See Chapter 2 Drawings Management and Drafting and Modeling Standards Section 4.A. for scanning and revising hardcopy drawing requirements.

## **D. Voided Drawings**

If a drawing is cancelled or considered obsolete it shall be voided. A voided drawing is no longer valid, and its function is no longer needed. The record drawing and native file format must be marked as ‘VOIDED’ and include the effective date. See Chapter 2 Drawings Management and

Modeling and Drafting Standards Figure G5. Voided drawings remain record drawings and no further revisions shall be made to the voided drawing. See the IMH SOP for Voided Drawings.

## **Section 6 - As-Built Drawing Process**

### **A. As-Built Drawings**

An as-built drawing is a specific type of revision to a drawing. The as-built process follows the revision process in Chapter 2 Drawings Management and Drafting and Modeling Standards Section 5.A with additional stipulations. See the IMH SOP for the As-built Drawing Process.

### **B. Requirements**

All drawings in a contract package that contains technical information shall have an as-built revision block added once the project has been completed. When no revision needs to be made to the drawing the drawing shall be marked with 'As-built No Changes' and will proceed through the eDRAWS revision process.

Location and vicinity drawings do not require as-built revisions.

Drawings marked with the "For Information Only" designation shall not be revised to reflect as-built conditions. If a revision is required for a "For Information Only" drawing the changes must be made as a normal revision to the record drawing. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G5.

Standard drawings shall not be revised to reflect as-built conditions.

## **Section 7 - Facility Operation and Maintenance Drawing Process**

### **A. Purpose**

This section covers the maintenance, creation, and updating of drawings that document facilities that are in Operation and Maintenance (O&M) status. It provides a process to ensure current facility features are accurately represented on record drawings in a timely manner.

The Area Manager/Facility Manager shall maintain a documented O&M Drawing Management Plan for each process outlined. The plan shall include:

1. Designated time frames for completion of drawings, including the required approval signatures.
2. Procedural outline of each process.
3. List of personnel designated to approve drawings in eDRAWS including Region and title block signatures.



## **B. Field Verifying**

All drawings used for the operation and maintenance of a facility shall be field verified to ensure the most current equipment or system configuration is accurately shown.

The Area Manager/Facility Manager shall assign the appropriate personnel to perform field verifications. The personnel shall have the required knowledge within the discipline to which the drawing pertains.

The Area Manager/Facility Manager shall define how the changes will be documented during field verification. The process shall include the name of the personnel conducting the field verification and the date verified.

## **C. Revising Existing Drawings to Show Existing O&M Conditions**

“Field Verified” shall be included in the revision block. Include a brief description of the scope, date, and extent of the verification. The name and office of the field verifier shall be included in the revision block description.

“Field Verified – No Changes” shall be included in the revision block when no changes were identified. This will notify personnel of the last time the drawing was field verified. The name and office of the field verifier shall be included in the revision block description.

Area Manager/Facility Manager shall assign the appropriate personnel to sign the revision block. The signer shall have the required knowledge within the discipline to which the drawing pertains and be able to confirm that the revised drawing accurately reflects the field-verified conditions.

Engineering qualifications or a Professional Engineer (PE) registration are not required for the person signing the revision block.

Revisions of drawings in O&M status does not require written permission from the originating office to show existing O&M conditions.

## **D. Developing New Drawings to Show Existing O&M Conditions**

The Area Manager/Facility Manager shall assign the appropriate personnel to develop and sign new O&M drawings. The personnel shall have the required knowledge within the discipline to which the drawing pertains.

Existing O&M drawings that are superseded by new O&M drawings shall not be revised. New O&M drawings that supersede existing drawings shall reference back to the superseded drawing in accordance with Chapter 2 Drawings Management and Drafting and Modeling Standards Section 5.C.

New O&M drawings documenting existing conditions do not require an engineer or a PE registration for the Tech Approver signature. At a minimum, the Tech Approver shall have the required knowledge within the discipline to which the drawing pertains. The determination of the Tech Approver is the responsibility of the Area Manager/Facility Manager.

New O&M drawings documenting existing conditions require the Area Manager/Facility Manager or designee for the Admin Approver signature.

### **E. Creating New Drawings to Show Planned O&M Work**

The Area Manager/Facility Manager, or their designee, who have the required knowledge within the discipline, shall determine if the proposed scope of work will result in a change to the design intent, or has the potential to affect the life, health, property or welfare of their employees or the public.

If it is determined the proposed scope of work will result in a change in the design intent, or has the potential to affect the life, health, property or welfare of their employees or the public, then the process shall follow the Design Activities Process as outlined in D&S FAC 03-03 Design Activities.

New O&M drawings that show planned O&M work do not require an engineer or PE registration for the Tech Approver signature. At a minimum, the Tech Approver shall have the required knowledge within the discipline to which the drawing pertains. The determination of the Tech Approver is the responsibility of the Area Manager/Facility Manager.

New O&M drawings documenting planned O&M work require the Area Manager/Facility Manager or designee for the Admin Approver signature.

## **Section 8 - Distribution of Drawing Files**

### **A. Purpose**

This section covers distribution of drawing files by Reclamation. A review/decision process is required for drawing files to be distributed during design, solicitation, construction, and post-construction prior to transfer to O&M status (pre-bid, bid, post-award, and completion phases).

### **B. Procedures for Distribution of Copies of Drawings**

#### **1. General**

Regardless of recipient the Design Office or group shall comply with all requirements of D&S SLE 02-01 Identifying and Safeguarding Controlled Unclassified Information (CUI), and specific contracts or service agreements. In addition, the following requirements apply:

#### **a. Distribution within Reclamation**

The eDRAWS system shall be utilized for distribution of drawing files within Reclamation during all phases. Record drawings and native format drawing files currently in eDRAWS are available to other Reclamation offices. Drawings not currently in eDRAWS shall be loaded into the system for distribution within Reclamation.

#### **C. Distribution Outside of Reclamation**

Distribution of copies of drawings outside of Reclamation shall be managed by the Reclamation Design Office or group.

Distribution of copies of record drawings and/or native format drawing files shall be determined by the combination of:

1. SLE 02-01 requirements.
2. The design process phase.
3. The type of relationship the receiving party has with Reclamation: external clients (design partners and regulatory agencies), or non-Reclamation organizations (bidders or contractors). When drafting acquisition requirements i.e., a Solicitation's Statement of Work, Statement of Objectives, or technical specifications, the program/requesting office is responsible for including any IMH requirements that are applicable to contract performance, deliverables, and/or contractor employees.

Details of the specific procedures for each type of receiving party during each phase can be found in the IMH SOP for Distribution of Drawings.

Distribution of copies of drawings outside of Reclamation to non-Reclamation organizations without a contract or agreement (typically bidders during the pre-bid and bid phases) shall be limited to record drawings only.

## **Section 9 - Drafting and Modeling Standards**

### **A. General Drafting Requirements**

A drawing or a map is a means of conveying and recording information, therefore the information shall not only be correct, but arranged and referenced making the drawing or map easily and clearly interpreted. Construction drawings shall be completed in a manner so that the use of scales or reference to the specifications is not needed to determine sizes or dimensions. Finished drawings shall be prepared so that native format drawing files, drawing records (PDF), and reductions to smaller scales are clear and legible. Drafting and modeling standards for accuracy, style, size, line thickness, layer (color), and position of all notations shall meet the requirements of the IMH.

Reclamation has created a Customization Package that contains a compressed file for AutoCAD-based applications containing symbols, menu, programs, and documentation based on Reclamation Standards and the United States National CAD Standards (NCS). The name of the compressed file is BR Package.

#### **1. Use of Software Design and Modeling Templates**

Reclamation has created and maintains Autodesk software specific template files, such as AutoCAD, Civil 3D, Revit, and Inventor. Each template file complies with the standards set forth in this section. Reclamation template files are required for creating drawings and models. New drawings and models created in eDRAWS automatically use the current templates.

Proper installation and configuration of the AutoCAD software will place the BR Package on the user's hard drive at C:\Autodesk. It can also be found on the internal Reclamation Autodesk Steering Committee (RASC) website. See the BR Package.

## **2. Simplicity**

All unnecessary work, such as the duplication of views and notes, unnecessary details and excessive decoration in borders, lettering, north arrows, meridians, and other features, shall be avoided. Simplicity shall be practiced in every detail and notes shall be limited to those required for accurate interpretation.

## **3. Drawing Size**

Specification and construction drawings shall conform to ANSI D (34"x22" landscape).

Figures shall conform to ANSI A (8.5"x11", 11"x8.5"), ANSI B (17"x11" landscape), or ANSI D (34"x22" landscape).

## **4. Sheet Border**

The standard sheet border information includes the title block and signature information, the drawing file information, and may include the optional drawing information. The most current sheet border shall be used; it can be obtained from the templates in eDRAWS or the BR Package. See Chapter 2 Drawings Management and Drafting and Modeling Standards Section 9.A.1. for details.

### **a. Title Block Components**

The standard title block shall be used on all specification, construction, O&M, standard design and feasibility design drawings.

All title block attribute values shall be entered in eDRAWS. eDRAWS will auto-populate the title block when the drawing is opened in Autodesk software. eDRAWS uses the MPT to populate the Project Name, Division, and Feature title block fields. See Chapter 2 Drawings Management and Drafting and Modeling Standards Section 2.E.1. for more information about the MPT.

See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G3 for standard title block and the placement of fields. The fields shall be completed as follows:

**US DEPARTMENT OF THE INTERIOR** – default entry, cannot be changed

**BUREAU OF RECLAMATION** – default entry, cannot be changed

**Project Name** – Required field, populated from the MPT. Cannot be changed. See Chapter 2 Drawings Management and Drafting and Modeling Standards Section 2.D. for information about new Project Numbers.

**Division** – Required field, populated from the MPT. Entry may be blank.

**Feature** – Required field, Official Title Name of the Feature - populated from the MPT. Examples include Hoover Dam, Alva B. Adams Tunnel, Lake Nighthorse Reservoir, and Glen Canyon Powerplant.

**Sub-feature** – Not Required. Name or equipment. The sub-feature is based on the Feature and helps identify drawing scope in relationship to the Feature. This is a free form field that

is populated by the user. Examples of Sub-Features include Spillway, Modification, Electrical Installation, Utilities.

**Contents** – Required field. This is a free form field that is populated by the user. Drawing Content typically is the subject matter of the drawing. Examples of Contents include Control Panel, Concrete Outline, Location Map, and Site Plan.

**Details** – Not required. This is a free form field that is populated by the user. Drawing Details are typically details relating to the Drawing Content. Details are recommended to help distinguish drawing subject matter and enhance search-ability. Examples of Details include Wiring Diagram, Plans and Sections and Details, Plan and Profile.

**Station Name (City, ST)** - Populated based on the Station Number selection. Selection is based on the location of the originating office, or the station number assigned to the office.

**YYYY-MM-DD** - The drawing date is the date the final approver signature is applied.

**Drawing number** - Populated by eDRAWS. When the drawing number changes from temporary to permanent eDRAWS will automatically update the drawing number in the title block.

**Sheet number** - If a drawing is part of a series of two or more drawings the user shall update the sheet number in eDRAWS for each drawing in the series. Sheet number shall be written as Sheet 1, Sheet 2, Sheet 3, etc.

### **5. Drawing File Information**

Located in the lower left corner of a drawing and contains the names and version of the software used to create the drawing, the drawing file name, and 'Last Saved Date,' and the 'Last Saved By' user.

### **6. Optional Drawing Information**

Specification or Solicitation Number is optional and is not part of the drawing. The specification/solicitation number shall be entered below the title block at the bottom of the sheet. The Solicitation Number and the Specification Number properties in eDRAWS are not pushed to the title block. The best practice recommendation is to add this number to a copy of the record drawing PDF.

Page Number is optional and is not part of the drawing. This number is the associated specification or solicitation page/plate number. If entered, shall be in the top right corner of the drawing above the title block. This attribute is entered in the drawing by the user. The best practice recommendation is to add this number to a copy of the record drawing PDF.

See the IMH SOP Adding Specification or Solicitation Number and Page Number to PDF.

## **B. Draft Stamp**

The "For Internal Use Only – Draft – Not For Distribution" stamp shall cover the title block while drawing is in draft form. Drawings will have the Draft stamp on to indicate the drawing is not

signed. The drawing is for internal use only and shall not be distributed for any official use, for example specification package for construction or operation and maintenance. The Draft stamp shall be turned off/removed prior to signature.

### **C. Controlled Unclassified Information (CUI) Stamp**

Only drawings that are designated CUI in accordance with SLE 02-01 Identifying and Safeguarding Controlled Unclassified Information (CUI) shall be marked with the “Controlled” stamp.

### **D. Signatures**

Design signature requirements and responsibilities shall comply with FAC 03-03 Design Activities and HRM 05-01 Professional Registration for Engineers, Land Surveyors, Landscape Architects, and Architects. O&M signature requirements and responsibilities shall comply with Chapter 2 Drawings Management and Drafting and Modeling Standards Section 7.

The names of the designer/geologist/surveyor, drafter, and checker - for Reclamation-designed drawings – are required fields. These are free form fields that shall be populated in eDRAWS by the user.

The names of the Tech Approver and Admin Approver/Peer Reviewer are populated by eDRAWS during the approval process. The professional designation of the Tech Approver and Peer Reviewer are inserted by eDRAWS immediately following the typed name on the respective lines. eDRAWS will insert the Peer Reviewer or Admin Approver’s title below the signature line. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G3 for signature examples.

### **E. Manufacturer/Contractor Drawings**

Drawings Designed by Others - A new drawing prepared by a non-Reclamation entity such as a contractor or manufacturer, as part of a Reclamation contract, shall be loaded in eDRAWS and assigned a permanent drawing number with the ‘MF’ document type by Reclamation staff.

The drawing shall be digitally signed as “accepted” by a Reclamation official with Admin Approval privileges in eDRAWS according to FAC 03-03 Design Activities. See the IMH SOP for Manufacturer-Contractor Drawings.

### **F. ‘For Information Only’ and ‘Existing Installation’ Drawings**

These are copies of record drawings that have appeared in previous Reclamation specifications and contracts and are used for information purposes only in current specification or contracts. They shall be marked ‘For Information Only’ or ‘Existing Installation’. The marking is not part of the record drawing. The record drawing shall not to be modified. The best practice recommendation is to add this notation to a copy of the record drawing PDF. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G5.

Drawings marked “For Information Only” show existing features about which knowledge is required to perform work in the current specification or contract.

Drawings marked “Existing Installation” show exiting conditions of installations to be modified under the current specification or contract. See the IMH SOP Managing ‘For Information Only’ Drawings.

## **G. Scale of Drawing**

Scale of drawings will vary with the size and character of the feature or degree of detail to be shown. Graphic scales are not to be shown on drawings of equipment that is shop fabricated.

Scales shall be selected with care in order to obtain drawings of approximately uniform size which convey the information in a clear and unmistakable manner.

Graphic scales shall be shown on all general and structural drawings and on any drawings where considered necessary as an aid to personnel in the field. The graphic scale shall be shown under each view and detail title, or near the lower right corner of the drawing if there is a single view on the drawing that does not have a view title. When it is necessary to use more than one scale on a drawing show a graphic scale under each view and detail title. Drawing views or details with no identifiable scale shall be labeled "NOT TO SCALE" in place of the scale in the view/detail title.

See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G4 for scales. The standard scales are contained in the BR Package.

### **1. Architectural Scale**

The standard architectural scales are generally used for drawings of buildings and other large structures that can be represented on a standard size sheet, frequently to a scale of 1/4-inch equals 1-foot. The scales are divided into major units, from 3 to 3/32 inch each representing 1 foot and subdivided to represent inches and fractions thereof.

## **H. Engineering Scale**

The standard engineering scales are generally used for maps, general plans, profiles and layouts of dams and appurtenant structures, as well as for scientific drawings, graphs, and charts.

The scales are available with divisions of 10, 20, 30, 40, 50, 60 or 80 parts to the inch, and, for example, can be used to represent scales of 1-inch equals 50 or 500-feet. These scales can also be used to draw stress diagrams to scales of 1-inch equals 20-pounds, 1-inch equals 4,000-pounds, etc.

Scales that cannot be measured using an engineering scale shall be avoided, e.g., 1"=15', 1"=25", etc. For this reason, the use of scale divisions 30 and 50 is discouraged for D size drawings as they may be printed half size.

## **I. Metric Scale**

Bar scales that show the length measurements in millimeters will not require unit identification: for example, for the 1:100 scale ratio, 1mm (measured) represents 100 mm (actual). For larger scale ratios, it may be desirable to use an alternative unit: for example, the 1:5 000 000 bar scale may be expressed in meters or kilometers e.g., 1mm represents 5000m or 1mm represents 5km. When millimeter is not the basic unit, add the unit symbol after the numerical unit on the right-hand end of the bar scale.

Refer to Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G4 for the format of bar scales for the scale ratios between 2:1 and 1:5 000 000 and for placement of metric scales on design drawings.

## **J. Cartographic Scale**

The standard cartographic scales are generally used for intermediate and small-scale maps which portray large map areas. While not defined in the NCS, the scales are visually similar.

The scale can be used to represent scales of 1-inch equals 1-mile, 5-miles, 6-miles, 8-miles, or 16-miles.

## **K. Exaggerated Scale**

In cases where it is necessary to show the vertical scale differently from the horizontal scale of the view, the elevations shall be clearly shown along the left side of the exaggerated view, or two separate scale bars shall be shown with “HORIZONTAL” AND “VERTICAL” specified.

## **L. No Scale**

Drawings that are drawn schematically, in 3-D, or with no identifiable scale shall be labeled “NOT TO SCALE” in place of the scale in the view title.

## **M. Annotations, Notations, and Dimensioning**

Lettering shall be in accordance with Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G1.

### **1. Fonts**

Text on all drawings shall be the standard Verdana TrueType font style.

The minimum text size (height) shall be BR-1 (1/16 in). The minimum text height for dimensions, notes, callouts, table/schedule text, and general text is BR-4 (1/8 in). Title and subtitles shall be plotted equivalent to BR-6 (3/16 in) and BR-4 (1/8 in), respectively. The text shall be vertical – non-italic, non-oblique.

Any “special case” lettering scale shall be plain, simple, free from adornment, and readily legible.

## **N. Capitalization of Text**

In order to avoid confusion in the capitalization on drawings and to ensure uniform practice, all upper-case characters shall be avoided except as described below.

### **1. Notation within a Drawing View**

- a. The first letter starting the notation or sentence shall be capitalized.
- b. Notation shall be lowercase, unless traditionally shown otherwise or a proper noun.

### **2. Titles of Drawing Views**

- a. All text shall be upper-case.

### **3. Notation within the Title Block**

- a. All text shall be upper-case.

### **4. Notes**

- a. All notes shall be consistent with basic English grammar.



- b. The first letter starting the note and all sentences shall be capitalized.
- c. All other text shall be lower case unless traditionally shown otherwise or included in the Abbreviations list.

Details are found in the IMH SOP for Abbreviations.

## **O. Leaders**

Leaders shall be used to indicate a part or portion to which a number, note or other reference applies. Leaders will be straight lines. Avoid use of splines and curves as leaders. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G1.

## **P. Notes on Drawings**

Notes shall be placed on the right-hand side of the drawing adjacent to the title block. If space does not permit placement of notes to the left of the title block, they may be placed where space permits. All notes shall refer only to the matter to which a drawing relates, i.e., design, construction, and materials, and shall not provide information normally contained in the project specifications. Where necessary for clarity notes concerning assembly or erection methods may be included.

In the case of two or more drawings pertaining to a given feature, the notes on the drawings shall be carefully compared to avoid inconsistencies. Notes shall use directive statements such as “Slope all piping 2%” instead of “All piping shall be sloped 2%”.

Legends and Explanations are Notes and shall follow these standards.

## **Q. Reference Drawing Notation**

Reference drawings shall be listed in the lower right corner of the drawing to the left of the title block. The drawing number shall be listed first, followed by the description of the reference drawing, typically the content and/or detail lines from the title block.

All drawings for the specific drawings set shall be listed on the first sheet. Any standard drawings that will be used should also be listed.

See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G4.

## **R. Dimensioning**

Foot and inch marks shall be shown on all drawings using imperial units.

Dimensions shall be clear and readable. Avoid crossing dimension lines with other dimensions and annotation leaders.

Dimension values shall always be placed above the dimension line, preferably midway between the dimension terminators. The dimension line shall never be broken to insert the dimension, with the exception of angular dimensioning. It is preferred that dimensions always be placed outside the view, preferably located at the top and/or the right side of the plans. Dimensions shall apply to one view only i.e., no shared dimensions between views. The dimension shall be placed on the view that shows its true length.

Exploded dimensions or dimensions where the dimension text has been edited are strongly discouraged except for the following:

1. Where software limitations prevent users from providing the appropriate dimensioning.
2. Where the dimension is intended to be an approximation and is notated as such.
3. Where a dimension is displayed as a mathematical formula.

An exploded dimension in a 3D model for the sole purpose of displaying a value different from the actual measured value is strictly prohibited.

See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G6.

#### **a. Decimals**

Decimal foot dimensioning shall be used for dimensioning earthwork. Engineering dimensioning shall be used for machined parts. Decimal values shall always have a leading zero before the decimal point when values are less than 1. Decimals of a foot shall be used where dimensions are being set by surveying equipment, such as beam spacing, foundation locations, and structure widths.

#### **b. Fractions**

All fractions on the drawing shall be inline (not stacked). Fractional inch dimensioning shall be used for architectural and structural dimensions. Architectural construction dimensions are shown in feet and inches.

#### **c. Elevations**

Elevations shall be indicated with no more than two decimals, e.g., El. 241.56 or El. 123.00.

### **S. Dimensioning in Metric (SI)**

#### **1. Millimeters**

The preferred unit of measure for most metric drafting work where the scale is less than 1:200 is millimeters. The dimension is provided as a whole number, i.e., 350. Also, a note shall be added to the drawing stating “All dimensions and/or dimensions shown in callouts/notes are in millimeters unless otherwise noted.” Unit notations are unnecessary.

#### **2. Meters**

For site plans or other drawings rendered to scales over 1:200 the unit of measure is typically meters. Where greater accuracy is required show dimensions to three decimal places. A note shall be added to the drawing stating “All dimensions and/or dimensions shown in callouts/notes are in meters unless otherwise noted.” When meter measurements are included on the same sheet as millimeter measurements, the meter dimension is provided as a real number taken to three places past the decimal point. Unit notations are unnecessary.

### **T. Labeling of Views**

Views and cutting planes shown on drawings shall be labeled to clearly identify how the view was developed. Sections shall be labeled alphabetically excluding the letters I, O, and Q. If the alphabet is exhausted, additional sections shall be indicated by double letters such as AA, AB, etc. Details shall be labeled by numbers increasing sequentially from 1.

The term “Figure” or “View of” shall not be used on any drawings.

See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G3.

## **U. Linework**

Standard line styles and thicknesses are shown on Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G1. They can also be found in the BR Folder on the internal RASC website. See the BR Package.

### **1. Centerline**

Center lines BR-CL are used to indicate the travel of a center. Center lines shall cross without voids. Short center lines may be unbroken if there is no confusion with other lines.

### **2. Break Lines**

Break lines BR-BK are used to indicate that only a portion of a drawing or a partial view is being shown.

### **3. Phantom Lines**

Phantom lines BR-PHM shall be used to indicate the alternate position of parts, repeated detail, or the relative position of an absent part.

### **4. Hidden Lines**

Hidden lines BR-HID are used to show the hidden features of a part or object. Relevancies for clarity must be considered. Crossing and stacked hidden lines shall be avoided.

### **5. Existing Features**

Existing feature lines (BR-CONT and thickness BR-3) are used for all lines on the drawing representing objects or structures that already exist and will impact the design. Existing feature lines are typically shown screened.

### **6. Primary Features**

Primary features (BR-CONT and thickness BR-4) represent all new work in the design documents.

### **7. New work versus existing conditions**

New work shall be easily distinguishable from other information shown on the drawings. Show new work at 100 percent (unscreened), and show existing conditions, including text, screened at a percentage between 20 percent and 60 percent. This screening is performed so that the new work will stand out from the existing conditions. Survey drawings shall be shown at 100 percent (unscreened) to be screened later if incorporated into design drawings.

## **V. Drawing Layout**

Drawings shall be prepared in accordance with the following principles where applicable.

## **1. General Maps**

General maps, vicinity maps, aerial photographs, and all similar maps shall be oriented with North to the top of the page. If North cannot be shown toward the top it shall be toward the left side of the map. See Chapter 2 Drawings Management and Drafting and Modeling Standards Figure G2 for standard north arrow.

The long dimension of the map shall be from left to right (landscape), rather than from top to bottom (portrait). All legal subdivisions or coordinate lines shall be referred to fixed and readily identifiable points, such as section or quarter section corners.

## **2. Location Maps**

Location maps that are included in project planning reports, environmental statements, design data, or specifications shall clearly identify the location of the project. Suggested additional information may include the county or counties in which the feature is located, township and range lines, and when necessary for clarity, a highway direction arrow showing mileage from the closest key town to the nearest important town or city if outside the map area. Location maps typically show a view of the state or states where project is located, a view of the vicinity of the project and a more detailed view of the location of the project. Orient the drawing so that North is pointing to the top of the sheet in all views.

### **a. General Plan or Layout Drawings**

Views shall be oriented on the sheet so that elevations and features are aligned whenever possible. When detailing is being added, details shall appear on the sheet based on their orientation on the feature. For instance, the top view of a detail shall be oriented above the front view of the same detail. If a detail is taken from a large-scale plan or elevation, the orientation shall remain the same as the view from which the cut was taken. If this is not possible, a note stating that the orientation was changed shall be added, e.g., "VIEW ROTATED 90 DEGREES." When two or more plans of the same structure or the plans of two or more different structures are put on the same drawing the orientation of all must conform to one another and to their relative positions on the ground.

## **W. Water Flow Direction**

Detail maps, plans, and layout drawings for dams, reservoirs, and most other major structures shall be oriented so that the streamflow direction is from bottom to top or from left to right on the drawing. Powerplant structures and irrigation drains are the exception.

Streamflow direction for powerplant structures, irrigation drains, water transmission pipelines, canals and water conveyance structures shall be from top to bottom or from left to right on the drawing.

A streamflow arrow shall be shown indicating the direction of flow. A North arrow shall be included wherever applicable.

### **1. Elevations, Vertical, and Horizontal Sections**

All sections and elevations paralleling the direction of streamflow shall be drawn with the direction of flow from left to right. Except for plant structures, vertical sections, and elevations normal to the directions of flow of a stream or canal shall be looking downstream, unless such arrangement would fail to show the feature intended by the section.

## **X. Plan and Profile Stationing**

Stationing shall increase from left to right on plan and profile drawings. For irrigation canals the stationing shall increase downstream, and for drainage canals the stationing shall increase upstream. Railroads and highways shall follow the stationing of existing railroads or highways into which they tie. If they do not tie into any existing railroad or highway, stationing shall be adopted to suit local conditions. In all cases, the abbreviation for the word “station” shall be eliminated. At the left end of the profile, the word “STATION” shall be used once.

## **Y. Aerial Photographs**

When quality aerial photography is available for canal, pipeline or roadway alignments, the regular plan and profile used in specifications shall include the aerial view as part of the drawing.

## **Z. Survey Information**

Drawings that contain surveyed information shall have a survey block that includes, at a minimum, the following information: Horizontal and Vertical datum, Control Points, Coordinates System, and the Surveyed By name(s) and date of survey. See the IMH SOP for Displaying Land Survey Information on Drawings.

Reclamation Field Codes are a part of the BR Package.

## **AA. Drafting Symbols and Notations**

All standard drafting symbols and notation can be seen on Chapter 2 Drawings Management Figures G1-G7. Additional symbols can be found in the BR Package on the internal RASC website. See the BR Package. Substitutes shall not be used.

For electrical symbols not found in the reference above use IEEE 315 and NEMA standards.

For welding symbols not found in the reference above use American Welding Society standards.

For all other symbols not found in the reference above use symbols found in the NCS or those commonly used in industry practice. Symbols shall be clear, unambiguous, and easily identifiable.

# **Section 10 - Document Types and Phases**

## **A. Current Document Types**

These document types are used for new drawings to help label the type of drawing, as well as to determine the appropriate approval workflow in eDRAWS.

### **1. RD – Reclamation Drawing**

Document type used for drawings created by Reclamation for Reclamation Projects, Features, or Structures. Drawings with this Document type are routed through the standard signature workflow and require both the Tech Approval and Admin Approval role in eDRAWS for the initial version of the drawing.

## **2. MF – Manufacturer or Contractor Drawing**

Document type used for drawings created by Non-Reclamation Design Partners for Reclamation Projects, Features, or Structures. Drawings with this Document type are routed through a signature workflow that only requires the Admin Approval role in eDRAWS for the initial version of the drawing.

## **3. OA – Other Agency Drawing**

Document type used for drawings created by Reclamation for non-Reclamation projects. Drawings with this Document type are routed through the standard signature workflow and require both the Tech Approval and Admin Approval role in eDRAWS for the initial version of the drawing.

## **4. FE – Feasibility Drawing**

Document type used for drawings created by Reclamation for Reclamation Projects, Features, or Structures as Feasibility drawings. Drawings with this Document type are routed through a signature workflow that only requires the Tech Approval role in eDRAWS for the initial version of the drawing.

## **5. FS – Figure or Sketch**

Document type used for non-drawing Figures or Sketches to be stored in eDRAWS. These may be engineering figures or sketches at the Preliminary or Appraisal level. Figures and Sketches shall not be assigned a permanent drawing number and shall reside in the Work In Progress Scope in the eDRAWS system. These figures shall not transition to the Official Records Scope. See the IMH SOP for Preliminary and Appraisal Level Drawing Records.

## **6. IM – Image**

Document type used for images (aerial photos, ortho-photos, or other reference images) stored in eDRAWS. See the IMH SOP Images in eDRAWS Best Practices.

## **B. Additional Document Types**

### **1. DU – Duplicate**

The ‘Duplicate’ document type is specific to the eDRAWS system and is used by Records Drawing Managers to distinguish between different legacy drawings with the same drawing number. This document type shall not be used for new drawings. See the IMH SOP Managing Legacy Drawings.

### **2. Legacy Document Types**

Legacy document types shall not be used for new drawings. These document types apply to legacy drawings for indexing, identification purposes, and/or search-ability. These document types may be part of the legacy drawing number and are stored in eDRAWS. These document types include:

BM – Bill of Materials

DS – Data Sheets

EP – 6 EPA Superfund Site

LA – Land Area

NP – Nameplate

OE – Observations, Explorations, and Planning

OD – Operational Drawing

PT – Plane Table

RK – Reinforcement

SL – Structure List

WL – Water Line

### **C. Phases**

Phases (Project) - For this document, Project Phases relate to the Cost Estimate Levels in D&S FAC 03-03 Design Activities and D&S FAC 09-01 Cost Estimating, and consist of the following:

#### **1. Preliminary (Planning)**

Very early in the planning process, prior to appraisal level and do not meet the requirements of the appraisal phase.

#### **2. Appraisal (Planning)**

Planning level phase used to determine whether more detailed investigations are justified. Consists of simple sketches or rough general designs from available site-specific design data. Intended to be used as an aid in selecting the most economical plan by comparing alternatives.

#### **3. Feasibility (Planning)**

Planning level phase based on information obtained during investigations for pre-authorization activity. This phase provides sufficient information to permit the preparation of preliminary layouts and designs. Used to assist in the selection of a preferred plan, to determine the economic feasibility of a project, and to support seeking construction authorization from the Congress.

#### **4. Design (Construction)**

Construction level phase following the feasibility study after authorization and appropriation of funds for construction.

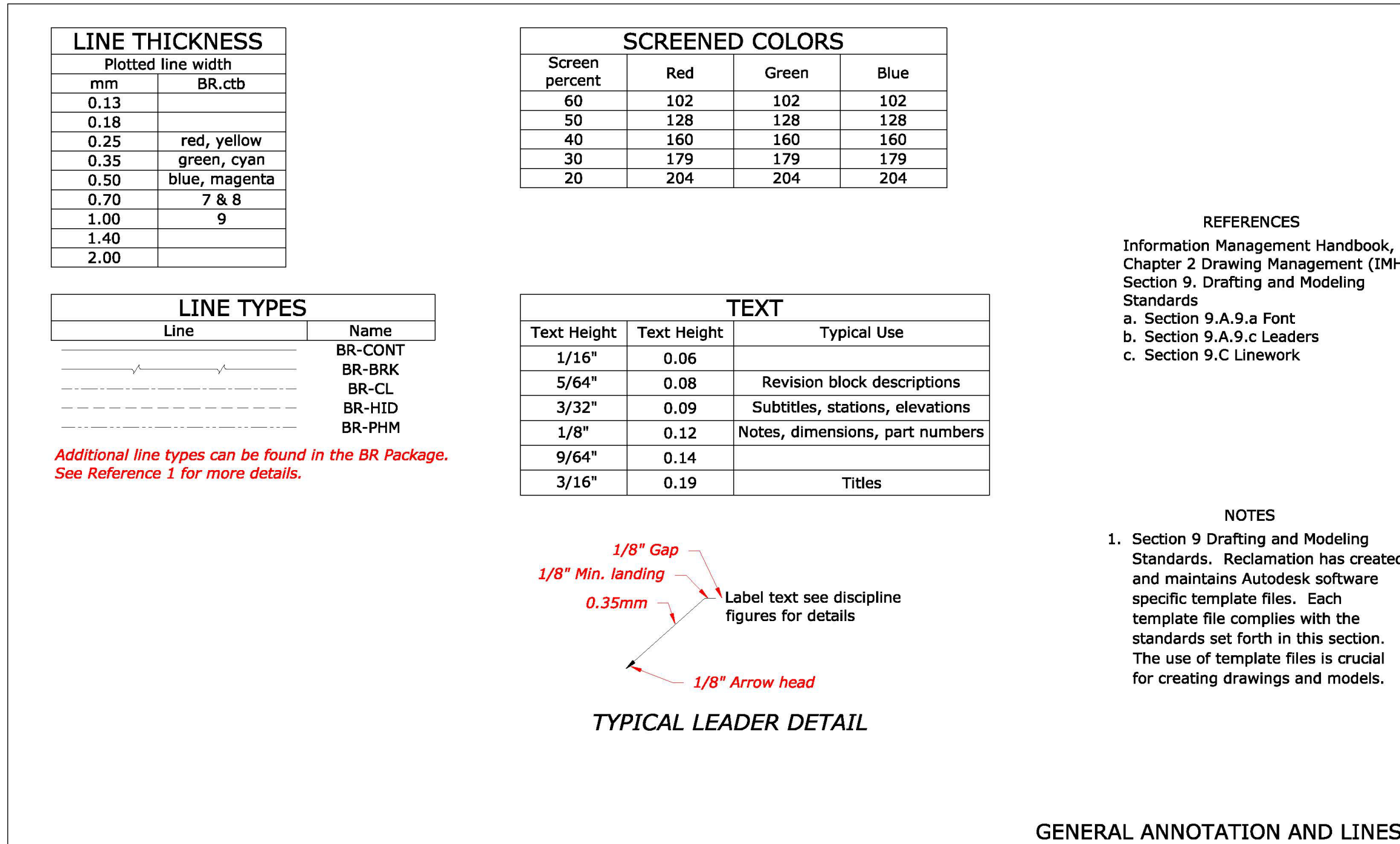
#### **5. Operation and Maintenance (Operations)**

Post construction phase.

## Section 11 – Figures



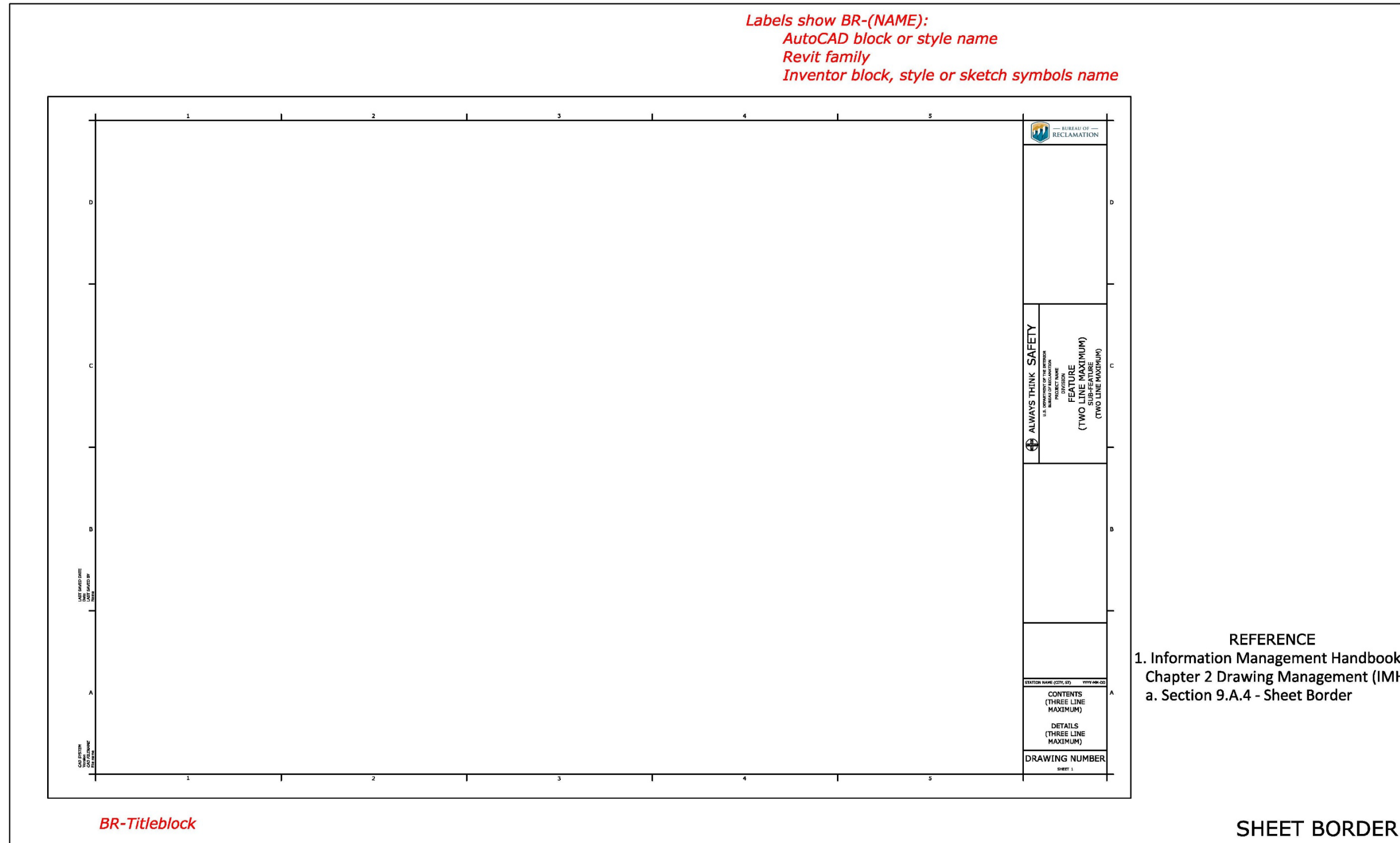
**Figure G1 – General Annotation and Lines**



2020-06-29

Figure G1

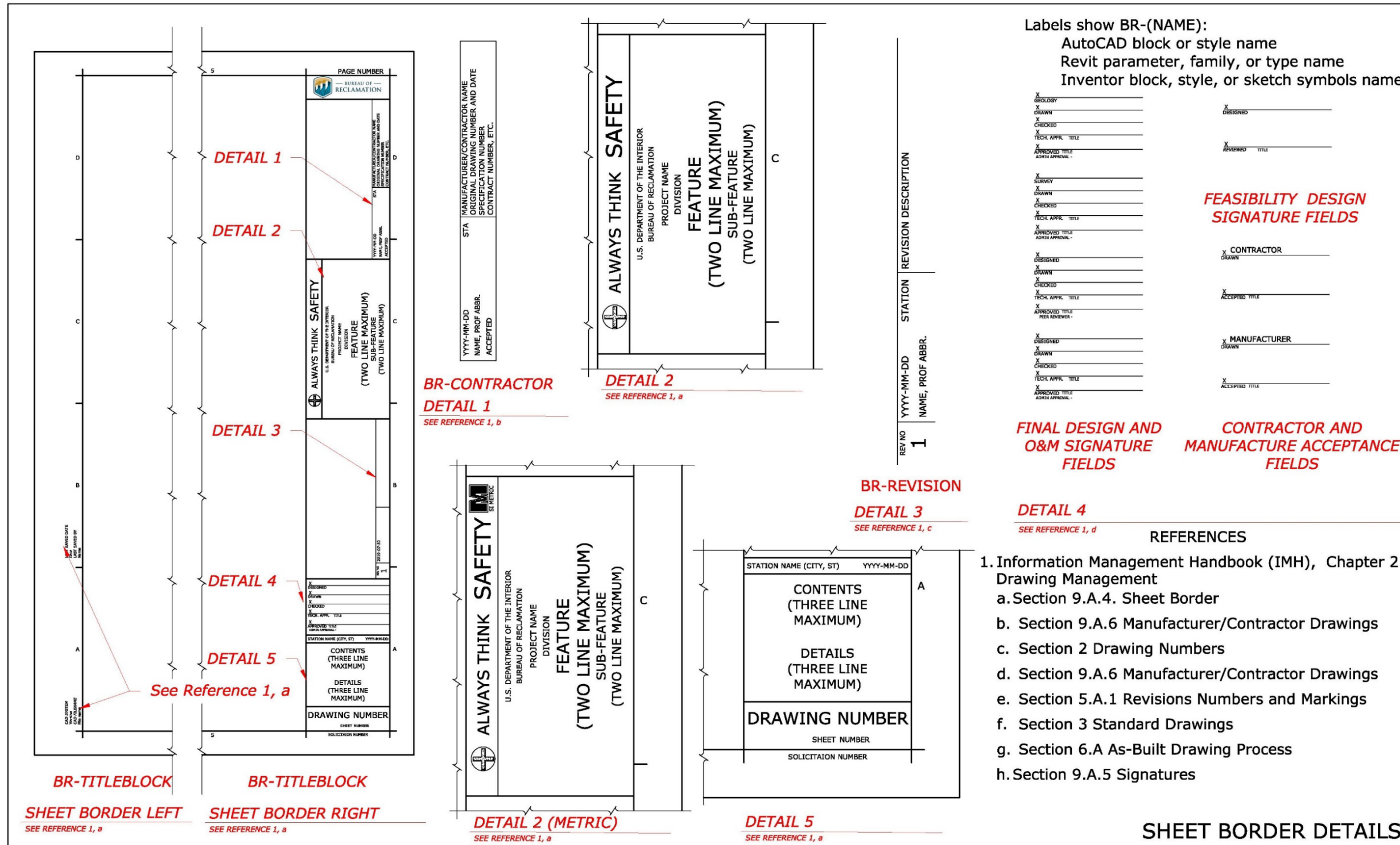
**Figure G2 – Sheet Border**



2020-06-29

Figure G2

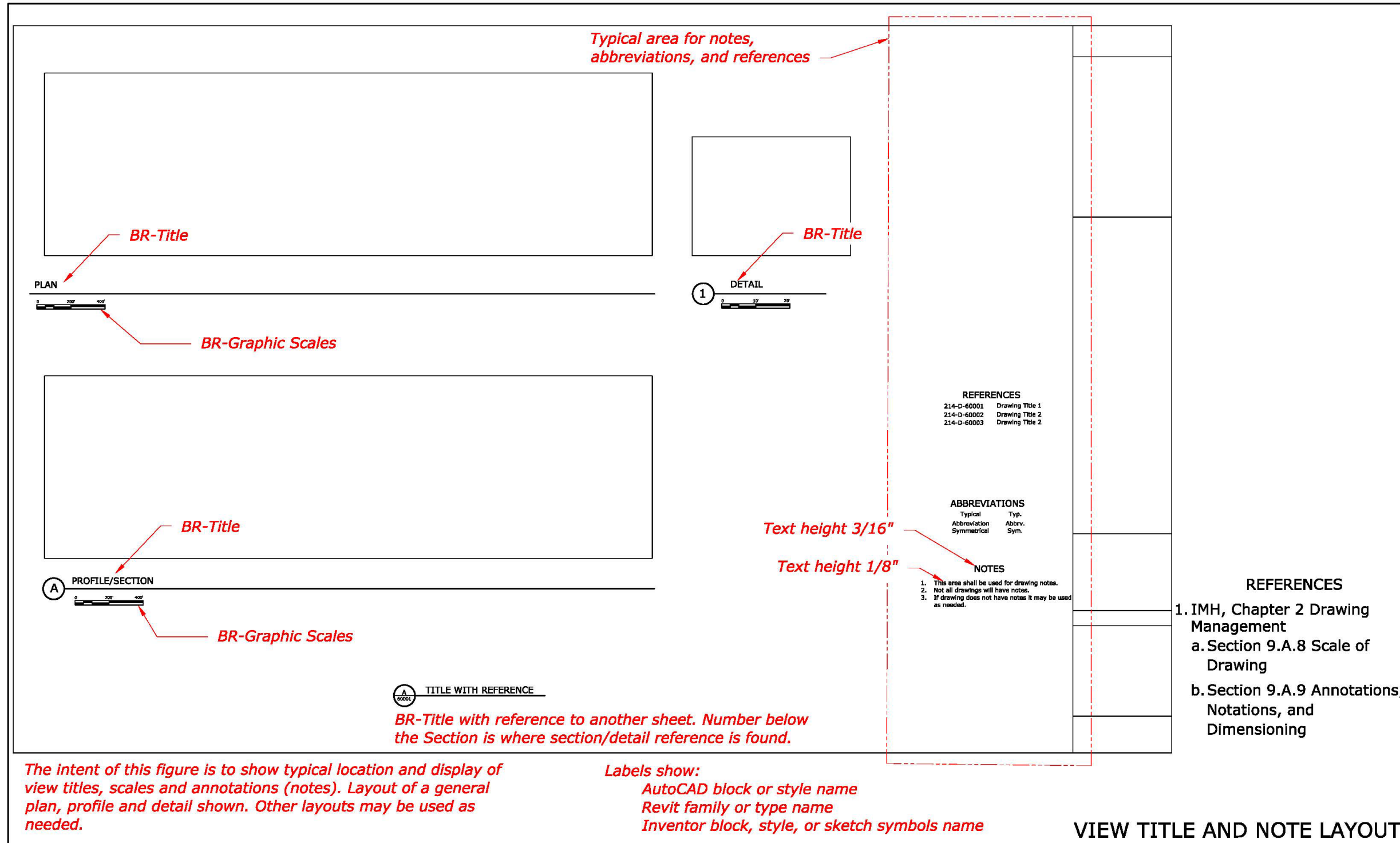
Figure G3 – Sheet Border Details



2020-06-29

Figure G3

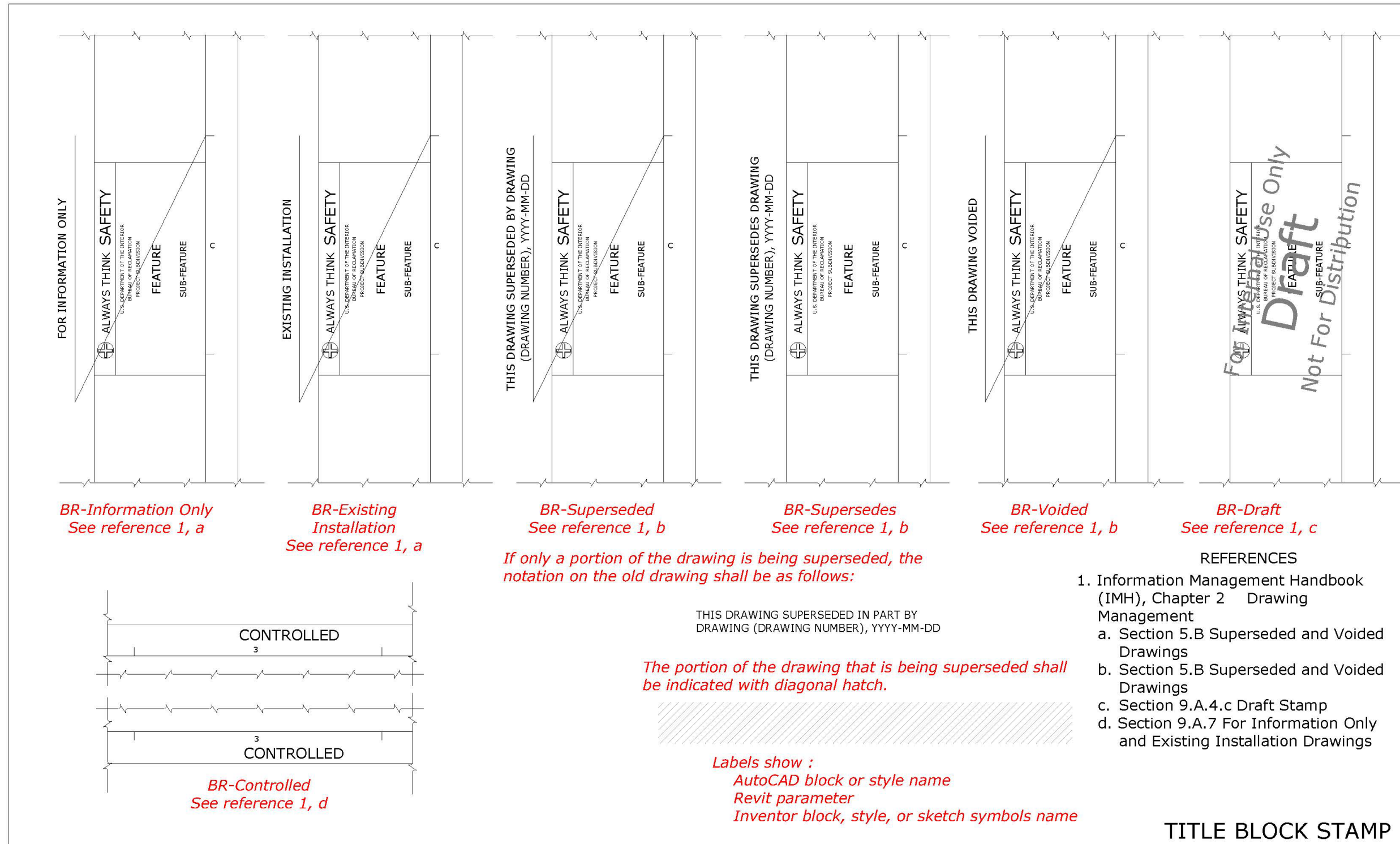
**Figure G4 – View Title and Note Layout**



2020-06-29

Figure G4

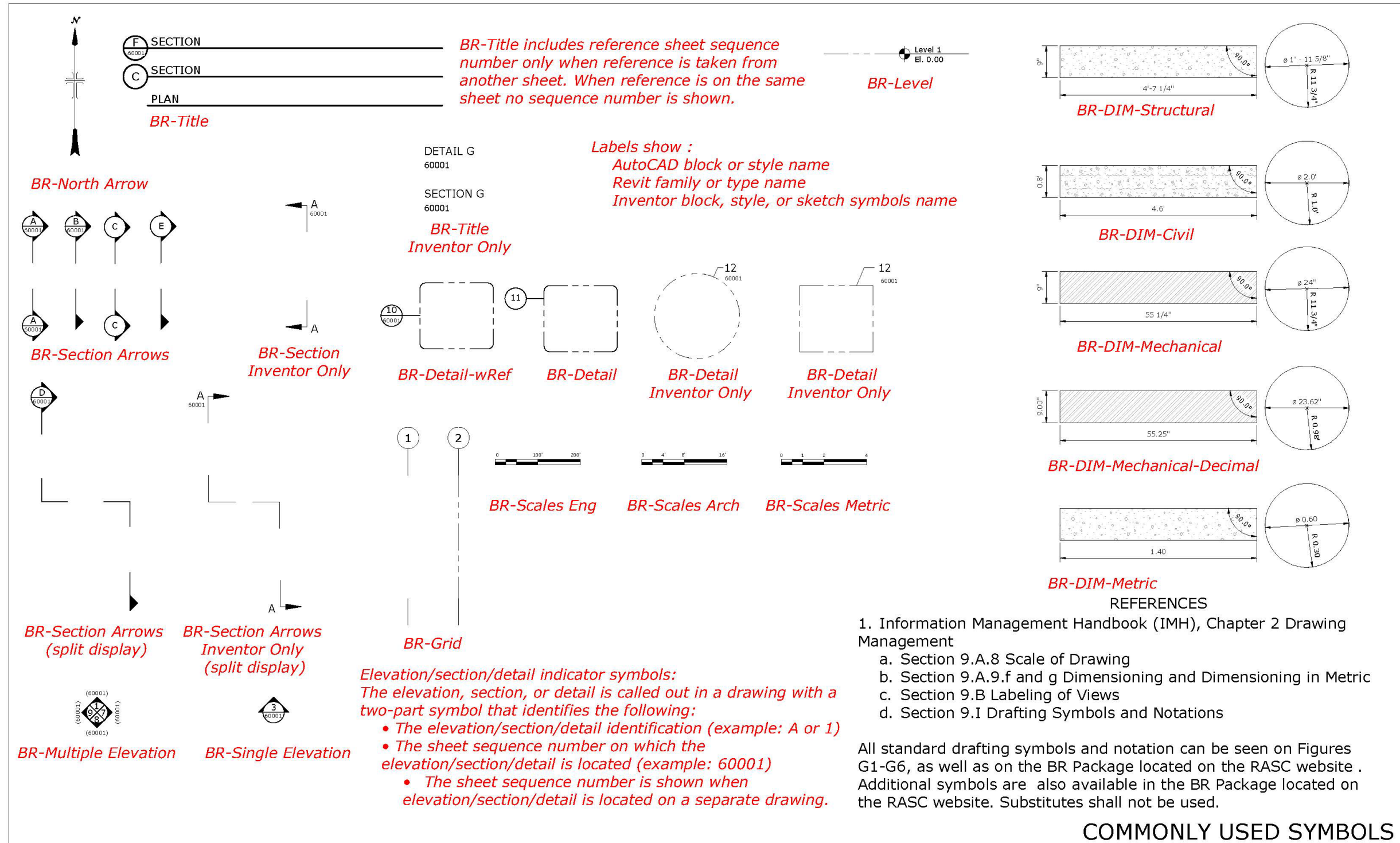
Figure G5 – Title Block Stamp



2020-06-29

Figure G5

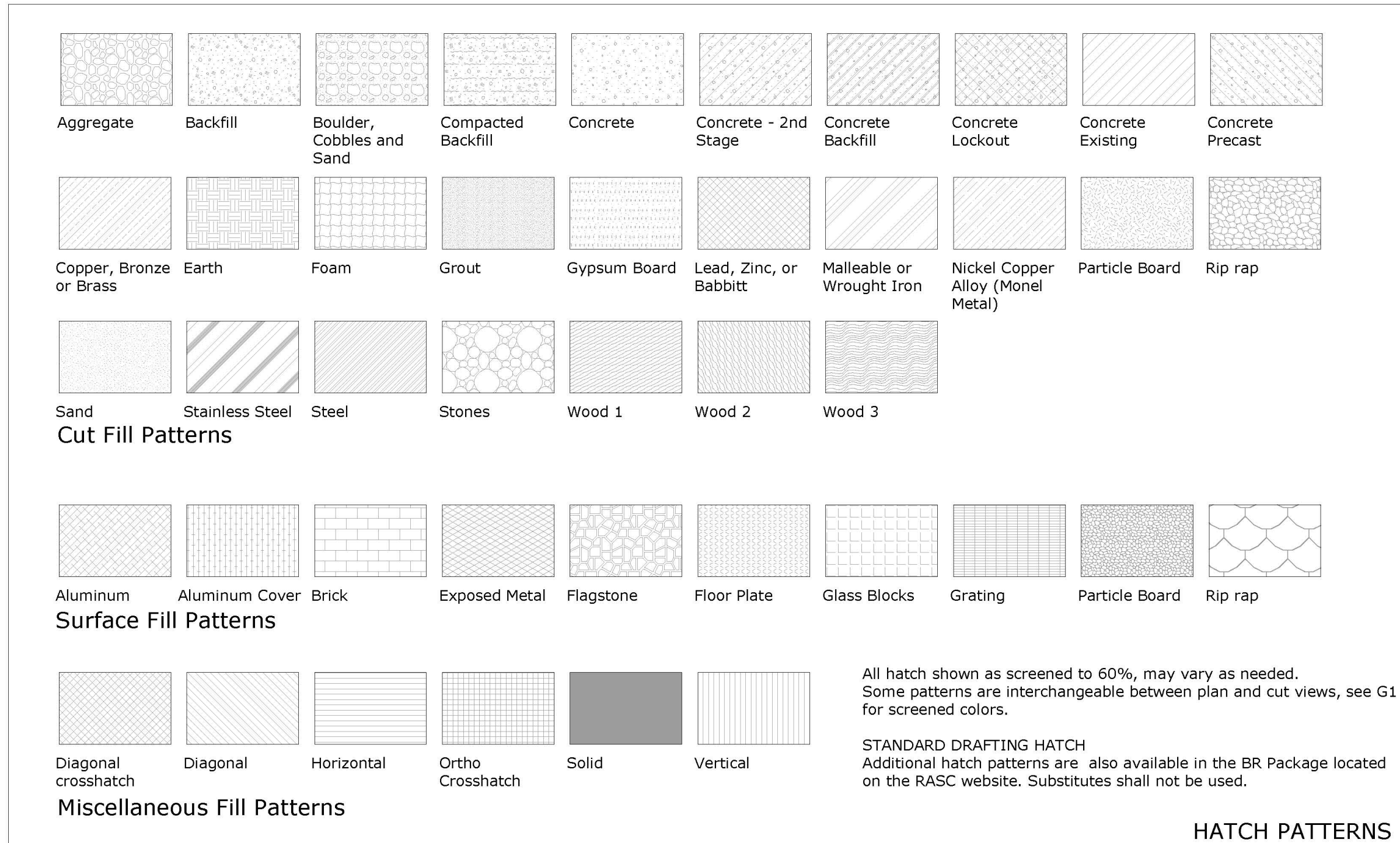
**Figure G6 – Commonly Used Symbols**



2020-06-29

Figure G6

**Figure G7 – Hatch Patterns**



2020-06-29

Figure G7

# Chapter 3 – Audiovisual and Multimedia Management

## Section 1 - Introduction

### A. Scope and Purpose

This section of the Information Management Handbook (IMH) defines the requirements for all employees who manage, create, and maintain audiovisual and multimedia records. Examples include digital and analog still photography, film and video, audio recordings, illustrations, animation, records created from unmanned aircraft systems (UAS), and/or other digital and analog media for the Bureau of Reclamation (Reclamation). The requirements shall ensure that Reclamation complies with Federal law relating to the creation and disposition of records and information which supports its mission.

The IMH is incorporated into the Reclamation Manual (RM) pursuant to a deviation and reference in Directive and Standard (D&S) RCD 05-01 Information Management and is applicable to all Reclamation offices and employees.

An Audiovisual and Multimedia Management Program is mandated by law and essential for the creation and preservation of records necessary to document Reclamation's mission-related activities and protect the legal and financial rights of the government and of persons directly affected by the agency's actions.

Audiovisual and multimedia files created by Reclamation employees in an official capacity are records regardless of their format or the device with which they were captured.

Audiovisual and multimedia are subject to D&S SLE 02-01 Identifying and Safeguarding Controlled Unclassified Information (CUI), and any sensitive data must be protected accordingly. For more information, refer to Chapter 1 Records Management Section 7.

### B. Audiovisual and Multimedia Objectives

Audiovisual and multimedia files that are determined to be permanent or temporary records shall be assigned a record number, captioned, and filed. Transitory records shall be managed according to records management requirements defined in Chapter 1 Records Management Section 2.C.3. Retention and disposition of records are documented in Chapter 1 Records Management Section 4.C.

In June 2019 the Office of Management and Budget (OMB), in cooperation with the National Archives and Records Administration (NARA), issued OMB Memorandum M-19-21. This memorandum specifically focuses on records management and directs Federal agencies to transition



recordkeeping to a fully electronic environment that complies with all records management laws and regulations. By 2022, NARA will no longer accept transfers of records in analog form and will only accept electronic records that include appropriate metadata. Therefore, offices shall work towards full conversion of physical information collections to electronic. For more information on Digitizing Equipment and Digitizing Standards please see Chapter 1 Records Management Section 6.E. Requirements to Meet OMB, NARA and DOI Objectives.

Until analog media is converted to a digital format the analog record shall be preserved as the record. For details on handling analog records see the IMH SOP for Managing Analog Audiovisual and Multimedia Records.

### **C. Identifying Audiovisual Multimedia Record Types**

See Chapter 1 Records Management, Section 2 Records Identification.

### **D. Penalties**

There are criminal penalties associated with the unlawful destruction, damage, or alienation of Federal records (18 USC 6451, 2071, and 35 CFR 1228.102). Penalties are described in full in D&S RCD 05-01 Information Management.

### **E. Loss of Records**

Lost record requirements are described in full in Chapter 1 Records Management Section 1.G.

## **Section 2 - Filing System and Finding Aids**

All Reclamation employees shall follow the requirements for file planning. Captioning and metadata information can be found in Section 4 of this chapter, while protocols for transferring audiovisual and multimedia records are defined in Chapter 1 Records Management Section 5. Additional information can be found in the IMH SOP for File Planning for Audiovisual and Multimedia Records.

### **A. File Plan**

Each office, workgroup, or file station that maintain audiovisual and/or multimedia records shall develop and maintain a current file plan for their records. For details on file plan development and maintenance see Chapter 1 Records Management Section 3.A.

### **B. File Station**

Existing file stations shall be utilized within offices and/or work groups to store all audiovisual and multimedia records in a central location in accordance with NARA standards for digital filing and analog filing.

### **C. Finding Aids and Indexes**

Detailed finding aids and indexes shall be associated with all audiovisual and multimedia records. Audiovisual and multimedia finding aids and indexes shall include the following items:

1. Record number.
2. Detailed caption.
3. Date.
4. Media creator e.g., photographer name.
5. Retention schedule. For more information about retention schedules see IMH Chapter 1 Records Management Section 4.C.

## Section 3 - Record Number

### A. Assignment of Audiovisual and Multimedia Record Numbers

All audiovisual and multimedia designated as records, whether temporary or permanent, shall be assigned a record number according to Reclamation’s naming requirements described in this chapter. These record numbers serve as unique codes to identify or retrieve specific audiovisual and multimedia records. The record number shall consist of a letter prefix designating the Media Class, the Project Number, Station Number, and Sequence Number, separated by dashes. There shall be no dash between the Media Class and Project Number. The record number shall be used as the electronic file name e.g., B222-100- 9919.TIFF.

**Sample Record Number: B222-100-9919**

Record Number Component	Example
Media Class Designator	B (Bitmap Digital)
Project Number	222 (Columbia Basin Project)
File Station	100 (Columbia-Pacific Northwest)
Sequential Record Number	9919

All previous numbering schemes are obsolete. To understand previous numbering schemes when using or processing older records, refer to the IMH SOP for Managing Analog Audiovisual and Multimedia Records.

All duplicates (additional prints, copies, proxies, file shares, etc.) made from the original media shall bear the same record number as the original and shall be designated as duplicates. To ensure that records and record numbers are not duplicated, finding aids and indexes are required as outlined in Chapter 3 Audiovisual and Multimedia Management Filing Systems and Finding Aids Section 2.C.

## B. Numbering Components

### 1. Media Classes

Audiovisual and multimedia objects are divided into classes for convenience of identification and filing. These designations are prefixes to the Project Number.

<b>Media Class Designator</b>	<b>Designator Description</b>
P	Photos – Black & White. Black and white photo negatives. One print can be included as a visual reference for the negative.
C	Photos – Color Transparency. Color transparency (aka color positive film) photo originals as the record material. Transparencies include 35mm slides as well as other large formats and are commonly used directly in presentations and for publication. One print may be included as a visual reference for transparency.
CN	Photos – Color Negatives. Color negative photos. One print can be included as a visual reference for the negative
B	Photos – Bitmap Digital (Raster Graphic). Original bitmap photo files (digital photos) as recorded by a digital camera as the record material. The only manipulation of the image in this class is similar corrections done while processing photographs in a photo lab or darkroom: cropping, color correction, and/or brightness and contrast. Minimal facial blemishes may be removed providing the correction does not change what the individual's face would look like with their usually clear skin. Otherwise, the image is an exact reproduction of the scene recorded.
BE	Photos – Edited Bitmap Digital (Raster Graphic). Edited bitmap photo files that have been altered from the original record as the record material. This includes significantly altered digital photos, HDR photos (a series of photos taken at differing exposures that are combined to achieve an image with High Dynamic Range in exposure and color), panoramas (multiple photos stitched together to create a continuous image), aerial ortho-mosaics (multiple aerial photos stitched together to create continuous image, sometimes with text overlays for identification). All original artwork or interpretive graphic displays fall under IL – Illustration.
M	Motion Picture Film. Physical motion picture film reels, such as 35mm, 16mm, or 8mm. Reels that have the original edited master of a motion picture production are considered the record. Unedited b-roll film also fits within this media class or unedited b-roll on a physical film reel such as 35mm, 16mm, or 8mm.
V	Video Productions (finished production). Completed professional video productions at the highest quality render. The original edited master is the official record. Any

<b>Media Class Designator</b>	<b>Designator Description</b>
	additional duplicates such as VHS and 8mm tapes or lower quality computer renders shall be numbered the same as the original and designated as duplicates.
VT	Video Tape (original capture). Video tapes on which footage was originally captured. These are not final products, but rather raw footage captured on video tape formats such as HDV, Betacam, 1/2", 3/4", SVHS, etc.
UHD	Digital Video, Ultra High Definition (original capture) - Ultra High-Definition video files that were natively captured in a digital form at or 2K, 2.7k, 4k, 8k, etc. The originally captured file is the record. If a significant length of the clip is of no value, a shortened and rewrapped clip may be the official record to save digital storage space. If a series of video clips have significant lengths of the clip that are of no value, such as in underwater or aerial videography, a highlight reel may be edited together and rendered out as a re-wrapped file as the official record.
HD	Digital Video, High Definition (original capture). High-Definition video files that were natively captured in digital form at 720, 1080. The originally captured file is the record. If a significant length of the clip is of no value, a shortened and re-wrapped clip may be the record to save digital storage space. If a series of video clips have significant lengths of the clip that are of no value, such as in underwater or aerial videography, a highlight reel may be edited together and rendered out as a re-wrapped file as the official record.
SD	Digital Video, Standard Definition (original capture). The originally captured file is the record and is usually 720 x 480 and 4:3 aspect ratio. If a significant length of the clip is of no value, a shortened and rewrapped clip may be the record to save digital storage space. If a series of video clips have significant lengths of the clip that are of no value, such as in underwater or aerial videography, a highlight reel may be edited together and rendered out as a rewrapped file as the official record.
VR	Virtual Reality Video (finished productions). The original edited master at the highest quality render is the official record. Due to the large volume of raw data that must be captured to create a VR production, it is not a requirement to classify the original files as records.
G	Graphic Animation (final render). Completed animated motion graphic renders such as animated logos or components of graphics packages, animated 3D models of dams, animated illustrations such as Otto the Otter talking and walking. The highest quality render is the official record. Animated graphics exported with alpha channels are included in this prefix. The final high quality rendered file as the record.

<b>Media Class Designator</b>	<b>Designator Description</b>
A	Audio File (original capture). Original audio recordings such as oral histories, interviews, scientific audio recordings, etc. The native audio file as the record. They can be captured digitally or on analog audio tape formats.
AP	Audio Production (finished production). Completed professional audio productions such as Public Service Announcements and podcasts. The final high quality rendered production as the record. They can be captured digitally or on analog audio tape formats.
IL	Illustrations (digital and analog). Illustrations such as artistic drawings, original artwork, vector art, brochures, posters, signage, interpretive panels, photos with interpretive overlays such as illustration mockups, text, location callouts, etc. The final high quality rendered file is the record, such as an EPS or PDF. This media class applies to both digital and analog media.
AV	Slideshows/Presentations/PowerPoint. Slide shows such as PowerPoints or transparent projections. For digital presentations, a PDF of the presentation is the official record. For analog slideshows, the entire set of projections as the record.

**2. Project Number**

Employees shall use the Master Project Table (MPT) to identify the Project Number for which the audiovisual and/or multimedia records represent. The MPT is a comprehensive compilation of regions, states, programs, projects, divisions, units, and features, and it is used for identifying proposed or constructed Reclamation storage and irrigation projects or programs; Native American Reservations/Tribes; other federal, state, or local project work; and major investigations or studies. These Project Numbers are used for marking, linking, filing, and tracking records, drawings, photographs, and other documentation, in hard copy and electronic formats.

**3. Station Number**

Employees shall use the Master Station Table (MST) to identify the number assigned to the office where the image was created and filed. The Station Number indicates the originating office and/or office of record and may indicate the physical location where the record is held.

**4. Sequence Number**

The final number denotes the unique record within the previously assigned parameters. Sequence numbers shall be sequentially assigned to avoid duplication of record numbers. A separate sequence of numbers is maintained for each class, project, and station. Examples: B4-100-1, B4-117-1, P4-100-1, CN4-100-1, B45-300-21372, CN33-117-1

## Section 4 - Captions and Metadata

All audiovisual and multimedia files shall contain the minimally required caption and metadata elements set forth in this section. Applying captions and metadata elements to audiovisual and other multimedia records is required as a sound basis to support the index and finding aids. Audiovisual and multimedia records do not contain textual data as a standard product of their creation, like a letter or a memorandum. Creating captions and properly applying metadata to these records increase their search and retrieval abilities.

### A. Captioning

Captioning of non-textual media provides the capability to perform keyword searches. All audiovisual and multimedia records shall contain a descriptive caption to expedite record search and retrieval through finding aids. Captions shall be recorded in the following order in the metadata of the record and shall include:

1. Bureau of Reclamation (author).
2. Project Name (Headline) – must be the official name as defined in the Master Project Table (MPT).
3. Feature Name (Sublocation) - The MPT shall be used to the greatest extent possible to obtain the official name of the Feature.
4. The state and/or other applicable location information such as city, county, rivers, mountains, etc.
5. A complete description of the subject, including names of all individuals captured in the view.
6. The purpose of the record.
7. The date the record was captured.
8. The content creator, e.g., photographer name.

Keywords shall be included within the caption to improve searchability. All newly captured or created audiovisual and multimedia records shall be indexed according to the record management requirement in Section 4 to uniformly assign record numbers, search, and retrieve records. For guidance on locating and identifying captions for physical media see the IMH SOP for Managing Analog Audiovisual and Multimedia Records.

EXAMPLES of digital media captions:

1. *Bureau of Reclamation's Green Mountain Dam is on the Western Slope, 13 miles southeast of Kremmling, CO on the Blue River, a tributary of the Colorado River. This dam provides replacement storage for water diverted by the Colorado-Big Thompson Project to the eastern slope. The Green Mountain reservoir has a total capacity of 154,600 acre-feet. 2018-07-06 Bureau of Reclamation Photo by John Doe.*

2. Yakima Project, Cle Elum Dam, WA

*Reclamation has begun constructing the secant pile vault in preparation for the belix juvenile downstream passage structure at Cle Elum Dam on the Cle Elum River. This fish passage structure is being constructed as part of the Yakima River Basin Water Enhancement Project's (YRBWEP) third phase, known as the Yakima Basin Integrated Plan (YBIP). YBIP is a long-term, collaborative effort between federal and state agencies, tribes, irrigation districts, NGOs, and other local entities to restore aquatic functions and provide a reliable water supply for current and future climate conditions. Anadromous fish; construction; excavation; innovation; design. 4/26/2017 Bureau of Reclamation Photo by Jane Doe.*

**B. Metadata**

Metadata are elements of information that answer the questions ‘who, what, when, where, why, and how’. Metadata shall be entered into the specific fields assigned for Reclamation use. Additional information can be found in the IMH SOP Metadata for Audiovisual and Multimedia.

Metadata fields for video recordings are not yet widely standardized. For updated guidance on assigning metadata to video clips see the IMH SOP for Assigning Video Metadata Standards to Video Records.

The table below denotes the required metadata fields for Reclamation use and offers an example of metadata information.

<b>Field</b>	<b>Reclamation Use</b>	<b>Example</b>
Author (or Creator)	Contains the name of the person who created the audiovisual multimedia file, such as the photographer, videographer, or illustrator	John Doe
Project Name (or Headline)	Contains the official Project Name as defined in the Master Project Table	Columbia Basin Project, Third Powerplant
Description (or Caption)	A textual description (caption) of the image describing the who, what, when, where, and why of the audiovisual multimedia record.	Grand Coulee Dam Third Powerplant construction in Coulee Dam, Washington. General view of construction area showing excavation in tailrace and powerplant areas, batch plant, and whirly trestle erection. Spec. Number DC-6790. Contr. Vinnell-Dravo-Lockheed-Mannix. 9/22/1970 Bureau of Reclamation Photo by John Doe.
Description Writer	The name of the person who wrote the description of the image.	Jane Doe
Date Created	Designates the date and optionally the time the content of the image was created rather than the date of the creation of the digital representation. For	9/22/1970

<b>Field</b>	<b>Reclamation Use</b>	<b>Example</b>
	example, if the camera is set up with the correct date and time, this field will automatically be populated correctly. But when scanning physical media, this field will be automatically populated with the date the image was scanned and must therefore be manually changed to the date the photograph was captured.	
Feature (Sublocation)	Exact name of the feature shown in the image, such as the specific dam, powerplant, river, reservoir, canal, mountain, building, etc. The MPT shall be used to the greatest extent possible to obtain the official name.	Grand Coulee Dam Third Powerplant
City	Name of the city of the location shown in the image	Coulee Dam
State	Name of the state of the location shown in the image	WA
Country	Full name of the country of the location shown in the image.	United States of America
Title (Record Number)	Contains the official record number.	P1222-142-9800
Classification Code (Instructions)	Contains the Departmental Records Schedule retention code for the record. For more information about retention schedules see Chapter 1 Records Management Section 4.C.	2.4.2.12
Copyright Notice	Contains any necessary copyright notice for claiming the intellectual property for this photograph and shall identify the current owner of the copyright. All Reclamation photos shall list the following as the copyright notice: U.S. Department of the Interior, Bureau of Reclamation	U.S. Department of the Interior, Bureau of Reclamation
Copyright Status	Denotes whether the audiovisual multimedia record is copyrighted or public domain. All federal audiovisual multimedia records are public domain.	Public Domain
Latitude	Contains the latitude of the location where the audiovisual multimedia record was created. This field will be automatically populated by smart devices but will require manual entry for other devices. This field is not required for records that do not contain location information, such as some illustrations.	47.956069
Longitude	Contains the longitude of the location where the audiovisual multimedia record was created. This field will be automatically populated by smart devices but will require manual entry for other devices. This field is not required for records that do not contain location information, such as some illustrations.	-118.981235



### **1. Captured Metadata**

When capturing audiovisual media through devices such as audio recorders, video cameras, and still cameras, valuable information is recorded in different metadata fields depending on the capture device. This information includes metadata such as capture date, time, camera model, and capture settings like ISO, shutter speed, aperture, focal length, and more. Smart devices may also capture latitude, longitude, and other GPS information. Metadata is an integral part of the record and shall not be deleted or altered.

It is imperative that the recording device be set up to record the correct information. Before using audiovisual and multimedia devices, the date and time shall be set up correctly in the device's settings. Depending on the type of device, the following additional settings may also be set up to automatically capture metadata required by Reclamation. Author name (who captured the record), copyright (public domain), and copyright notice (U.S. Department of the Interior, Bureau of Reclamation). All equipment should be assessed to see if global presets can be established to meet required file formats and quality. If global presets can be established, they are to be implemented.

All audiovisual multimedia files shall be captured and maintained in compliance with NARA's Digital File Formats.

### **2. Manually Entered Metadata**

After the media has been captured and transferred from the recording device, specialized software shall be used to populate the remaining required metadata fields such as caption, author, copyright notice, etc. During this process the media itself must not be altered or recompressed nor the originally recorded metadata deleted or altered in any way. This process also applies to audiovisual and multimedia that have been rendered out from software, including video productions, audio productions, and illustrations.

## **Section 5 - Transferring Audiovisual and Multimedia Records**

All audiovisual and multimedia records shall be managed according to Chapter 1 Records Management Section 5.

# Chapter 4 – Library Management

## Section 1 - Introduction

This chapter of the Information Management Handbook (IMH) defines the requirements, practices, and procedures for managing library functions within the Bureau of Reclamation (Reclamation) to enable employee access to all library content from any Reclamation office. The Reclamation Library Council (RLC) is chartered and sponsored by the Information Resources Business Advisory Council (IRBAC), the manager of the Information Management Group (IMG), and the Director of the Information Resources Office (IRO).

### A. Purpose and Scope

The IMH is incorporated into the Reclamation Manual pursuant to a deviation and reference in Directive and Standard RCD 05-01 Information Management and is applicable to all Reclamation offices and employees.

Materials retained in Reclamation libraries are not official records as designated in 36 CFR, Subchapter B, part 1220.14 (non-record materials) and 44 USC 3301.

### B. Objectives

Reclamation libraries strive to acquire, organize, centralize, and disseminate intellectual resources, physically or virtually, to support Reclamation's mission and its employees. The libraries provide specialized technical resources that pertain to subject groups, such as, engineering, environmental, mechanical, structural, chemical, industrial, operational, electrical, civil, materials, construction, and water resources.

## Section 2 – Responsibilities

The RLC shall be responsible for providing recommendations for the development of requirements, business practices, and standard operating procedures (SOP) for Reclamation library services and operations.

Library staff shall use state of the art technology and techniques to support the requirements of Reclamation and library patrons. The Reclamation Integrated Library System (ILS) contains a relational database for use by library staff and patrons with access to a library's collection and all relevant sources pertaining to Reclamation's mission. See the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section 'Overview: The Integrated Library System (ILS)' for more information.

Library materials are government property; all Reclamation employees, including library staff and patrons, shall adhere to the requirements for the proper use and care of the government library

materials in their possession. The misuse, destruction, or loss of government library materials may result in financial consequences. See the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section 'Lost or Missing Library Material' for more information.

Official records are not to be stored in a library. See Chapter 1 for the definition of official records.

### **A. Library Services**

Library services shall include the following:

1. Consistent, practical communication with patrons and employees.
2. Assistance with research requests.
3. Formal standardized business practices.
4. Provide access to journals.
5. Awareness tools and outreach activities regarding library resources and capabilities.

### **B. Library Operations**

Library operations shall include the following functions:

1. Cataloging library material.
2. Performing ready and complex reference searches.
3. Processing interlibrary loans for borrowing and lending.
4. Tracking and reporting circulation.
5. Assisting employees with publishing journal articles externally.
6. Managing collections.
7. Conducting inventories.
8. Providing copyright references.

Providing periodic reports on circulation characteristics.

## Section 3. Circulation Information and Responsibilities

### A. Circulation

Circulation is the process that provides management and communication between the patron and library in the following functional areas: checkouts, check-ins, renewals, holds, and overdue notices. Patrons are accountable for items checked out through the library and shall return all materials when leaving Reclamation. A library staff member shall check to see if the patron module of the ILS has library materials checked out and, if appropriate, sign the applicable forms if available.

Reclamation patrons who check out material, whether analog or digital, are personally financially responsible for the government property within their control. Materials not returned to the library shall be reported as missing property and the Reclamation Form 7-778 Report of Survey shall be completed. Employees found liable for missing or damaged material shall receive a bill of collection from their Property Office. See the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section ‘Circulation Information and Responsibilities’ for more information.

The circulation functions shall include loan periods, media type, patron type, collection type, item barcode, and patron.

1. Only the following patrons have access to Reclamation’s libraries:
  - a. Bureau of Reclamation employees.
  - b. Department of the Interior employees.
  - c. Other Federal agency employees.
  - d. Temporary employees, water districts, and authorized engineers working on Reclamation projects.
  - e. Members of the public may only access Reclamation materials via inter-library loan (ILL).
    - i. A FOIA request shall be submitted if requesting a Reclamation publication.
2. The check-out period for publications is 1 month.
  - a. Checkouts may be renewed up to 1 year maximum only for Reclamation employees.
3. Overdue notices shall be sent out monthly, via email, to patrons.

### B. Interlibrary Loan

To obtain materials that are not in a Reclamation collection the Interlibrary Loan (ILL) program with other libraries across the United States is available. ILL is a resource sharing service that provides library material via lending and borrowing within a worldwide online catalog database. External

patrons to Reclamation shall request an interlibrary loan from their local library to receive Reclamation library material.

If an ILL request for a publication raises any question of a potential security risk regarding dam or facility information, specifications, or drawings, the library staff shall direct the requestor to complete a Freedom of Information Act (FOIA) request.

Any materials shipped shall have a trackable delivery notification.

Patrons who check out material, whether analog or digital, are personally financially responsible for the government property within their control, including library materials. See the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section 'Interlibrary Loan (ILL)' for more information.

## **Section 4. Collection Management and Development**

Library collections shall be managed consistently throughout Reclamation and include the content necessary to support its mission. Reclamation library staff shall ensure that no record materials are included in a library.

Collection development shall be in response to the needs of Reclamation's program areas and employees. Therefore:

1. Acquisition of new library materials may be made when a patron requests a publication.
2. Acquisitions via donation shall be assessed.
3. Acquisition of scientific resources shall include review by a subject matter expert when purchasing or updating collection material.
4. Reclamation publications that are non-records and published for public use shall be maintained in the Reclamation Library and the OCLC catalog for widespread discovery and access.

See the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section 'Collection Management and Development' for more information.

Non-record materials are defined in 36 CFR Subchapter B, Part 1220.18 as the following:

“... Federally owned informational materials that do not meet the statutory definition of records (44 USC 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.”

Records are defined in Chapter 1 Records Management Section 1.D.

## **A. Original Cataloging**

Cataloging is the process by which librarians create bibliographic records to describe the physical and electronic resources in a library collection. Records may describe books, DVDs, CD-ROMs, maps, websites, microfilms, or any other type of material held in the library collection. Bibliographic records allow users to search for materials in a library collection through various access points, such as title, author, or subject. “Original” cataloging is the creation of a bibliographic record when a record must be created from scratch; it is done when no previously created record is available for “copy” cataloging.

1. The RLC shall develop standard cataloging practices and procedures to be applied uniformly across Reclamation.
2. Library standards developed through the Online Computer Library Center (OCLC) shall be used uniformly across Reclamation.
3. All electronic documents, such as non-records, ebooks, and reference materials, etc., within the library collections, shall be housed in one location for ease of access.
4. A set file naming convention shall be used. See the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section ‘Original Cataloging’ for more information.
5. Library of Congress subject headings shall be used when cataloging.

For more details see the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section ‘Original Cataloging’ for more information.

## **B. Inventory**

An inventory of the library’s physical collection shall be performed once every three years to ensure accuracy and accountability.

Library staff shall submit a five-year inventory schedule each year to the Manager, IMG, no later than October 31, after the beginning of a new fiscal year.

Library material determined to be surplus shall be processed, donated, or excessed through the Property Office.

See the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section ‘Inventory’ for more information.

## **Section 5. Journals, Publications and Publishing**

All Reclamation employees have access to a variety of journal resources. If you are unable to access any of these sites, please email [Library@usbr.gov](mailto:Library@usbr.gov).

## **A. Physical Journals and Publications**

The Online Public Access Catalog (OPAC) identifies physical journals available in library collections located in the Denver and Sacramento Regional Libraries. The catalog will show you the title, volume, and years available. If you would like to obtain a PDF scanned copy of an article, please send an email to [Library@usbr.gov](mailto:Library@usbr.gov).

## **B. Interlibrary Loan for Journals and Publications**

If you need an article located in another library, please email [Library@usbr.gov](mailto:Library@usbr.gov). Additional information can be found in the IMH Reclamation Library Staff SOP. Navigate to the Table of Contents and select the section 'Interlibrary Loan' for more information.

## **C. Purchasing Journals and Publications**

Reclamation libraries with the ability to purchase journals require approval. For details contact [Library@usbr.gov](mailto:Library@usbr.gov).

# **Section 6. Copyright**

Copyright provides protection for an individual who displays original content in a variety of formats. All Reclamation employees and contractors are required to follow copyright laws. Reclamation library staff shall guide employees to the references listed below to help with their research needs.

For all other Copyright questions, contact the Solicitor's Office at Office of the Solicitor | U.S. Department of the Interior ([doi.gov](http://doi.gov)) or the Department of the Interior Library on copyright related reference questions.

## **A. Fair Use Doctrine**

This framework provides permission to make copies available for research and educational use without express written permission from the publishers. Additional information can be found at the U.S. Copyright Office Fair Use Index. The American Library Association's Fair Use Evaluator tool is a useful resource to help guide your Fair Use case. Visit Fair Use Evaluator ([librarycopyright.net](http://librarycopyright.net)) to start your evaluation.

If you need to obtain permission to reuse a Copyrighted work, please visit the Copyright Clearance Center at [CCC](http://CCC) | Copyright licensing, content & software solutions.

## **B. Digital Rights, Copyright, Trademark, Patent Laws**

All DOI and bureau Internet Web sites comply with existing laws and directives that address the digital, copyright, trademark, and patent rights of the public. Employees shall be aware of digital content and how it is distributed and maintained locally. For more information visit Notices - Bureau of Reclamation ([usbr.gov](http://usbr.gov)).

### **C. Librarian Resources for Copyright Issues**

Copyright issues can be complex. The following resources are available to guide librarians when navigating copyright issues.

- General Information - Copyright for Libraries - LibGuides at American Library Association (ala.org)
- Handbook for Federal Librarianship (loc.gov)



# Chapter 5 – Correspondence Management

## Section 1 – Introduction

All correspondence from bureaus within the Department of the Interior (DOI) shall follow the guidelines outlined in the DOI Secretarial Correspondence Handbook (382 DM5) (Handbook). The Handbook takes precedence over all other supplements and references and can be found at Secretarial Correspondence Handbook (382 DM5).

This chapter of the Information Management Handbook (IMH) provides additional requirements when preparing Bureau of Reclamation correspondence for items not covered in the Handbook.

The IMH is incorporated into the Reclamation Manual (RM) pursuant to a deviation and reference in Directive and Standard (D&S) RCD 05-01 Information Management and is applicable to all Reclamation offices and employees.

The requirements and procedures for identification and safeguarding sensitive but unclassified information can be found in D&S SLE 02-01 Identifying and Safeguarding Controlled Unclassified Information (CUI).

The Privacy Act of 1974 (PA) establishes special requirements for the creation, maintenance, dissemination, and protection of records that contain Personally Identifiable Information (PII). Detailed information can be found at D&S RCD 01-02 Privacy and Safeguarding Personally Identifiable Information (PII).

The Reclamation Administrative Professional Advisory Council (RAPAC) shall update the IMH Correspondence Management chapter as needed.

## Section 2 - Difference between Department and Reclamation Correspondence:

Departmental correspondence is correspondence requiring a signature by the Secretary, Deputy Secretary, an Assistant Secretary, or any Department employee.

Reclamation correspondence is correspondence requiring a signature by a Reclamation employee.

## **Section 3 - Additional Reclamation Requirements**

### **A. Author's Mail Code and the Departmental Records Schedule (DRS)**

Correspondence to be signed in the Department shall not include the author's mail code or the DRS code.

Correspondence within Reclamation shall include the author's mail code and the DRS code.

The DRS shall be used to determine the record retention for all correspondence. This code shall be assigned by the author and shall be typed immediately under the author's mail code.

Click this link to access the DRS.

The author's mail code shall be placed flush with the left margin on the line immediately following the notation "In Reply Refer To:" This shall be located approximately five lines from the top of the document with a 1-inch margin.

### **B. Surnaming**

Surnaming is the process used for review and signature of correspondence. It allows the author, appropriate staff, and signatory official to have input by either concurring with or suggesting changes to the content of correspondence before it is signed.

The Data Tracking System (DTS) shall be used to surname all correspondence except for any correspondence containing Controlled Unclassified Information (CUI) or Personally Identifiable Information (PII).

### **C. Signatures**

All Reclamation offices shall use DTS for all documents requiring a signature.

The use of electronic signature, via the PIV card, is encouraged whenever possible. When an electronic signature is used, there is no need to date stamp the top of the document, as the date is included in the signature. Only date stamp the top of the letter or memo when a "wet" signature is used.

Correspondence to be signed in Washington, D.C. shall be sent through DTS and routed through the appropriate liaison after being surnamed through the originating office. Correspondence addressed to another department/agency, bureau, or bureau director at a level equivalent to the Commissioner shall be signed by the Commissioner and be routed through the Assistant Secretary-Water and Science (AS-WS) via the Washington liaison. As AS-WS clearance is required for:

1. Correspondence signed by the Secretary, Deputy Secretary, or Assistant Secretary,
2. Material to be published in the *Federal Register*,

3. Letters to the Secretary or his/her immediate office requesting concurrence or approval of enclosures,
4. Letters to the Legislative Counsel commenting on bills,
5. Correspondence to Governors signed by the Commissioner, or
6. Correspondence with the White House.

#### **D. Actings**

In some situations, there may be legal considerations that prohibit a delegated official from signing “For” the signatory official i.e., when the signature authority cannot be delegated. Therefore, correspondence shall be signed by the signatory official or a designated acting official.

**For:** No official acting designation has been made.

**Acting For:** The signatory official is away from the office.

**Acting:** An acting has been designated for 30 days or more.

#### **E. Accessible to Individuals with Disabilities**

All correspondence shall be Section 508 compliant. The Federal Relay System Text Telephone shall be included on all external (nonfederal government entities) correspondence in the following format:

If you are deaf, hard of hearing or have a speech disability, please dial 7-1-1 to access telecommunications relay services.

### **Section 4 – Distribution**

Distribution copies within Reclamation shall be sent via electronic mail, encrypted if containing CUI and/or PII. Distribution of external correspondence containing CUI and/or PII shall be encrypted if sent electronically or placed in a single envelope and sufficiently sealed to prevent opening and to show evidence of tampering and shall be mailed by the U.S. Postal Service First Class Mail with tracking capability or an accountable commercial delivery service (SLE 02-01, 7D 1-b and c).

### **Section 5 – Correspondence Samples**

Different types of correspondence samples are available for viewing.

# Information Management Handbook Glossary

**ACCESSION.** 1. The physical transfer of records to a Federal Records Center or the physical and legal custody transfer of permanent records from an agency to the National Archives and Records Administration. 2. The records so transferred.

**ACCRETION.** Records adding to, or extending, a series or system of permanent records previously accessioned by the National Archives.

**ACTIVE RECORDS.** See CURRENT RECORDS.

**ADMINISTRATIVE RECORD.** 1. Records relating to budget, personnel, supply, and similar housekeeping, or facilitative functions common to most Agencies in contrast to Program records. 2. Records relating to legal matters involving administrative law. Records that document the rights and obligations of those parties involved in issues of law regarding agency activities. Files can consist of docket cards, logs, and other records used to control, track, and monitor the status of cases; duplicate or supporting administrative record materials.

**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.

**ALIENATION.** Unlawfully transferring records or losing custody of them to an unauthorized organization or person.

**APERTURE CARD.** A card with a hole, or aperture, usually containing one frame of a 35-mm microfilm. Generally used for engineering drawings, maps, and charts.

**APPRAISAL.** The process of determining the value and thus the final disposition of records, making them either temporary or permanent. See also EVALUATION.

**APPRAISAL DRAWINGS.** Simple sketches or rough general designs that use the available site-specific design data for an appraisal report. These are considered figures or sketches and not drawing Records.

**ARCHITECTURAL AND ENGINEERING RECORDS.** Drawings and related records depicting the concepts and precise measurements needed to plan and build static structures, such as buildings, bridges, and canals, as well as those needed to complete other public works projects and produce such objects as machines. Includes design and construction drawings and related records. Also includes computer-aided design (CAD) system records that relate to architecture and engineering and need to be managed like other electronic records.

**ARCHIVES.** The noncurrent records of an organization preserved because of their continuing or enduring value.

**ARCHIVIST.** A person responsible for, or engaged in, one or more of the functions related to the appraisal, preservation, and management of government records.

**AS-BUILT DRAWING.** An as-built drawing is a specific revision to a contract drawing that documents actual details of constructed features after completion of a construction project.

**AUDIOVISUAL AND MULTIMEDIA RECORDS.** Records in pictorial or audio form, regardless of format. Includes film or digital photographs, still photographs (or still pictures), prints, negatives, transparencies, slideshows, presentations, graphic arts (posters and original art), motion pictures, video recordings, audio (or sound) recordings, digital image files, and related records and computer files associated with audiovisual products.

**AUDIT.** An examination of documents, procedures, or a program to determine compliance with established requirements, policy, and federal law. See EVALUATION.

**BARCODE.** In libraries barcodes are used to identify books and other materials for circulation and inventory and to link the borrower's library card to the appropriate patron record in automated circulation systems. It is a placeholder in the ILS system to denote each copy whether physical or electronic.

**BID PHASE.** Any point after the request for bids and before contract award.

**BREAK.** Refers to the systematic split or division of a record file at regular intervals or when needed, i.e., at the end of each year, to make a file more manageable and simplifies retrieval. Does NOT mean 'Close File'. See SPLIT.

**BUILDING INFORMATION MODELING.** Building Information Modeling (BIM) is a digital representation of physical and functional characteristics of a facility. A BIM is a shared knowledge resource for information about a facility forming a reliable basis for decisions during its lifecycle; defined as existing from earliest conception to demolition.

**CAD.** See COMPUTER-AIDED DESIGN.

**CASE FILES.** Groupings of documents that pertain to a particular person, place, or thing. A case or project file may consist of correspondence, form records, memoranda, and other records as long as they all relate to the same person, place, or thing.

**CATALOG.** The purpose of an electronic library catalog is to offer the user a variety of approaches or access points to the information contained in the online collection. Items may be physical or in electronic format.

**CENTRAL FILES.** Files accumulated by several offices or organizational units and maintained and supervised in one location. Also called centralized files.

**CIRCULATION.** 1. The process of checking books and other materials in and out of a library. 2. The total number of items checked out by library borrowers over a designated period of time.

**CLASSIFICATION.** 1. The process of selecting the length of time a record is needed for current business purposes based on its informational value to the Agency. This results in the assignment of a short-term, long-term, or permanent retention code based on the importance of the record as determined by a subject matter expert and records manager. 2. The process or result of identifying records containing national security information.

**COLLECTION.** A collection is a group of materials having a common denominator between the content of the publications. The collection can be comprised of various formats, such as journals, books, references, etc., in both hard copy and digital form.

**COMPLETION PHASE.** Any point after construction closeout to contract completion.

**COMPUTER-AIDED DESIGN.** The use of computer systems to aid in the creation, modification, analysis, or optimization of design.

**CONTROLLED UNCLASSIFIED INFORMATION (CUI).** The official term used within the executive branch to identify sensitive information the government creates or possesses, or that an entity creates or possesses for or on behalf of the government, that a law, regulation, or government-wide policy requires or permits an agency to handle using safeguarding or dissemination controls.

**CONVENIENCE FILES.** Non-record copies of correspondence, completed forms, and other documents kept solely for ease of access and reference. See also REFERENCE FILES, WORKING FILES.

**COPYRIGHT.** The exclusive legal rights granted by a government to an author, editor, compiler, publisher, or distributor to publish, produce, sell, or distribute copies of a literary, or other work, within certain limitations (fair use and first sale). Copyright law also governs the right to prepare derivative works, reproduce a work or portions of it, and display or perform a work in public.

**CURRENT RECORDS.** Records necessary to conduct the business of an office and therefore generally maintained in office space and equipment.

**CUSTODY.** Guardianship or control of records. Includes either the physical possession or the legal responsibility.

**DEPARTMENT RECORD SCHEDULE.** Current active and approved Records Disposition Schedules for the Department of the Interior that supersede any corresponding bureau schedules and the General Records Schedule where applicable.

**DESIGN DRAWINGS.** See ARCHITECTURAL AND ENGINEERING RECORDS.

**DESIGN OFFICE.** The Design Office is the design group(s) responsible for preparation of the original design drawings and any subsequent revised drawings. This includes non-Reclamation designers.

**DESIGN TEAM LEADER.** The individual responsible for all design activities and design support during construction of a project. Also responsible for the use and distribution of drawings produced by the Design Team.

**DESTRUCTION.** In records management, the major type of disposal action. Methods of destroying records including burning, pulping, and shredding. See also DISPOSAL, DISPOSITION.

**DIGITAL IMAGE.** A photographic image stored electronically in binary form and divided into a matrix of pixels, each consists of one or more bits of information that represent either the brightness, or brightness and color, of the image at that point. Digital images are typically created by a scanner, camera or software platform that captures the content in an electronic format that takes the place of film, hardcopy, or native file format.

**DIGITAL IMAGE QUALITY.** Image resolution (the total number of pixels recorded) and image depth or color mode (the possible range of color and/or brightness values available for each pixel) combine to form the physical quality from a digital image.

**DIGITAL PHOTOGRAPH.** See DIGITAL IMAGE.

**DIRECTIVE.** A written instruction communicating policy and/or procedure in the form of orders, regulations, bulletins, circulars, handbooks, manuals, notices, numbered memorandums, and similar issuances.

**DISPOSAL.** 1. The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction or occasionally of donation. See also DESTRUCTION, DISPOSITION (1), DONATION (1), and FINAL DISPOSITION. 2. Also, when so specified, the actions taken regarding non-record materials when no longer needed, especially their destruction. See also DISPOSITION (2).

**DISPOSAL AUTHORITY.** See DISPOSITION AUTHORITY.

**DISPOSITION.** The process of applying the approved Records Retention Schedules to records no longer needed for current business needs. These actions include transfer to an authorized storage facility, Federal Records Center, or the National Archives; transfer from one Federal Agency to another; or destruction of temporary records. Disposition is the third stage of the records lifecycle. See DESTRUCTION.

**DISPOSITION AUTHORITY.** The legal authority granted to agencies by the National Archives and Records Administration to apply the approved Records Retention Schedule.

**DISPOSITION FREEZE.** Records whose scheduled disposition has been temporarily suspended because of special circumstances that alter the administrative, legal, or fiscal value of the records.

**DISPOSITION INSTRUCTIONS.** Directions for cutting off records and carrying out their disposition in compliance with the National Archive's regulations. Procedures describing the actions required to close files according to applied record retention schedules and carrying out disposition.

**DISPOSITION PROGRAM.** Policies and practices designed to achieve effective and efficient disposition of records by scheduling them, ensuring their proper storage, ensuring the prompt disposal of temporary records, and the timely transfer of permanent records to the National Archives, and evaluating the program.

**DISPOSITION SCHEDULE.** See DEPARTMENTAL RECORDS SCHEDULE (DRS).

**DOCUMENTARY MATERIALS.** A collective term for records and non-record material that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording. See also MEDIUM, NONRECORD MATERIALS, RECORDED INFORMATION, RECORDS.

**DOCUMENTATION.** The result of creating information by recording actions, activities, and/or decisions.

**DONATION.** 1. In records management, the transfer of temporary records from a Federal Agency to an eligible person or organization after the authorized retention period has expired. Requires the National Archives approval. See also DISPOSAL (1). 2. In archives administration, the transfer from private sources to the National Archives of documents, including audiovisual materials, appropriate for preservation by the government as evidence of its organization, functions, policies, decisions, procedures, and transactions.

**DRAWING MANAGER - Records.** The person responsible for overseeing a drawings management program in a headquarters, directorate, region, or office in cooperation with their responsible records and information management officer (RIMO).

**DRAWING MANAGER – eDRAWS.** The eDRAWS application roles ‘Drawing Manager’ and ‘Super Drawing Manager’ are assigned a higher level of privileges in order to accomplish specific tasks within the system.

**DRAWING NUMBER.** Consists of the PROJECT number, station number and sequence number separated by dashes. {PROJECT number}-{station number}-{sequence number}. No two drawings shall have identical drawing numbers. See PROJECT NUMBER, STATION NUMBER, AND SEQUENCE NUMBER.

**ELECTRONIC DRAWING REPOSITORY AND AUTOMATED WORKFLOW SOLUTION (eDRAWS).** eDRAWS is the internal drawing management system used for the creation, revision, workflow, and management of engineering drawings critical to the mission of Reclamation and its business practices.

**ENGINEERING RECORDS.** See ARCHITECTURAL AND ENGINEERING RECORDS.

**ENTERPRISE CONTENT SYSTEM (ECS).** ECS is a system component of the eMail Enterprise Records and Document Management System (eERDMS) system. It is the records, content, and information management module used by Reclamation for electronic records management.



**ESSENTIAL RECORDS.** Records essential to the continuing operation or reestablishing of an organization during and after an emergency. Includes those records essential for protecting the rights and interests of that organization and of the individuals directly affected by its activities. Includes rights and interests' records. Recommended that these be duplicates or extra copies, located off-site.

**EVALUATION.** 1. 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. See also APPRAISAL. 2. The inspection, audit, or review of records management programs, including records disposition, either by the Agency or by the National Archives and/or GSA to ensure compliance with applicable laws and regulations.

**FEASIBILITY DRAWINGS.** Design drawings created for feasibility studies or cost estimates, which have design features developed for general evaluation purposes only. Feasibility drawings are not of sufficient detail for use in construction or acquisition, however, they are considered Drawing Records and have signature requirements. See FAC 03-03 for specific details.

**FEDERAL RECORDS CENTER (FRC).** A facility operated by the National Archives and Records Administration for the low-cost storage and servicing of records belonging to the agency that created them and are waiting for final disposition.

**FICHE.** See MICROFICHE.

**FIELD VERIFY.** The act of verifying existing equipment, systems, and conditions in the field are depicted accurately on all related drawings.

**FIGURE.** A diagram or sketch, either contained in a report or like document, or in a separate file. If stored in eDRAWS it is not transitioned to the official drawing state but is considered a record.

**FILE CODES.** See CLASSIFICATION.

**FILE PLAN.** A documented comprehensive outline that includes an identifying number, title, description, records series, record retention, and the organizational element(s) having custodial responsibility of files held in an office.

**FILE STATION.** Any location in an office in which records are maintained according to records management requirements for current use.

**FINAL DISPOSITION.** The end of the records lifecycle in which temporary records are disposed of and permanent records are transferred to the National Archives. See also DISPOSAL (1), LIFECYCLE MANAGEMENT OF RECORDS, PERMANENT RECORDS, SCHEDULED RECORDS, SCHEDULED TRANSFER, TEMPORARY RECORDS, and UNSCHEDULED RECORDS.

**FOR OFFICIAL USE ONLY (FOUO).** The term is no longer in use and has been replaced with CUI. Marking placed on records or information required for security reasons and in order to

safeguard them against unauthorized disclosure. See CONTROLLED UNCLASSIFIED INFORMATION (CUI).

**FREEDOM OF INFORMATION ACT (FOIA).** A United States Federal law that grants the public access to information possessed by government agencies. Upon written request, U.S. government agencies are required to release information unless it falls under one of nine exemptions listed in the Act.

**FUNCTIONAL CLASSIFICATION.** The division of records into categories and subcategories to reflect the programs, activities, and transactions carried out by the organization accumulating the records.

**GENERAL RECORDS SCHEDULE (GRS).** The National Archives-issued schedule governing the disposition of specified records common to several or all Agencies. See also DEPARTMENTAL RECORDS SCHEDULE.

**HARD COPY DRAWING.** Drawing produced on paper or similar sheet medium, or in aperture card or microfilm format.

**INACTIVE RECORDS.** Records no longer required to conduct Agency business and therefore ready for final disposition.

**INDEX.** 1. A separate collection of cards, cross-reference sheets, a manual or automated listing arranged differently from the related record series to make it easier to locate relevant documents. 2. The action of entering record information and potentially the digital image into an electronic records management system, in the correct location according to record ownership, line of business, and retention. 3. Indexes or other lists, whether manual or automated, that are designed to make it easier to locate relevant files or retrieve information.

**INFORMATION MANAGEMENT.** The process of applying management principles to the acquisition, organization, control, and dissemination of information dealing with an organization's operations and performance in relationship to the value, quality, ownership, use, and security of the information available to it.

**INTEGRATED LIBRARY SYSTEM (ILS).** Modules that interact with one another for searching, cataloging, circulation, acquisitions, and reports.

**INTERMEDIARY RECORDS.** Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

**JPEG.** A digital image format designed by the Joint Photographic Experts Group to facilitate the free exchange of images with default extension .JPEG, .JFIF, and .JPG. A wide range of image compression is possible with increasing loss of image quality as file sizes are reduced.

**KEYWORD.** 1. A characteristic by which a document is searched for or filed and found, such as a number, date, title, name, or subject. 2. A significant word or phrase in the title, subject headings (descriptors), contents note, abstract, or text of a record in an online catalog or bibliographic database that can be used as a search term in a free-text search to retrieve all the records containing it.

**LEGAL CUSTODY.** See CUSTODY.

**LIFECYCLE MANAGEMENT OF RECORDS.** The management concept that records pass through three stages: creation, maintenance and use, and disposition. See also DISPOSITION (1), FINAL DISPOSITION, RECORDS CREATION, and RECORDS MAINTENANCE AND USE.

**LITIGATION HOLD.** Holds on record information as a result of a court action or anticipated litigation. They relate to specific records that cannot be destroyed. Litigation Holds will expire after the court action is settled.

**LONG-TERM TEMPORARY FILES.** Files with a temporary retention period based on the value of the information and its relationship to current and future business needs which diminishes over a long period of time. Typically, 7 years and above.

**MASTER PROJECT TABLE (MPT).** A comprehensive compilation of regions, states, programs, projects, divisions, units, and features. Used for identifying proposed or constructed Reclamation Storage and Irrigation Projects or Programs; Native American Reservations/Tribes; other Federal, State, or local Project work; and major investigations or studies. These Project Numbers are used for marking, linking, filing, and tracking records, drawings, photographs, and other documentation in hard copy and electronic formats.

**MEDIA/MEDIUM.** The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other material on which information can be recorded. See also DOCUMENTARY MATERIALS, RECORDED INFORMATION, and RECORD.

**METADATA.** A term for data about data, essentially a set of data that describes and gives information about other data.

**MICROFICHE.** A miniaturized photographic film image designed for storage and arranged sequentially. Sometimes abbreviated as fiche.

**MICROFILM.** A reel or length of film containing micro photographs of images, documents, drawings, etc.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA).** The National Archives and Records Administration is responsible for the appraisal, accessioning, and permanent preservation of historically significant records created by the Federal Government.

**NATIONAL ARCHIVES (NA) Form 13001.** Notice of eligibility for disposal.

**NATIVE FILE FORMAT.** Refers to the default file format that an application uses to create or save files.

**NON-RECLAMATION DESIGN PARTNERS.** Other government agencies, irrigation districts, or individuals working with Reclamation to prepare designs or provide regulatory reviews of designs. This definition extends to contractors hired by Reclamation or by these agencies, irrigation districts, or individuals to assist in design-related activities.

**NON-RECLAMATION ORGANIZATION.** Any organization, individual, or contractor who does not meet the criteria listed for a “non-Reclamation Design Partner” but has a “need to know” as defined by Reclamation’s information security criteria in the Reclamation Manual Directives and Standards SLE 02-01 ‘Identifying and Safeguarding Controlled Unclassified Information (CUI).’

**NON-RECORD MATERIAL.** Federally owned informational materials that do not meet the statutory definition of records (44 USC 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

**NOTICE OF ELIGIBILITY FOR DISPOSAL.** A document from the FRC to the issuing office requesting concurrence or non-recurrence for the disposal of records 90 days prior to their disposition date. See National Archives (NA) Form 13001.

**ONLINE COMPUTER LIBRARY CENTER (OCLC).** A global library cooperative that supports libraries around the world.

**OPERATION AND MAINTENANCE (O&M) DRAWING.** All drawings that are used for the operations and maintenance of a facility.

**OVERLAY.** A legacy practice that used a separate sheet to show color printing or additional information on drawings such as geologic information or to highlight or accentuate areas or features.

**PERMANENT RECORDS.** Records appraised by the National Archives 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. Sometimes called archival records.

**PERSONALLY IDENTIFIABLE INFORMATION (PII).** Information that can be used on its own or combined with other information and used to distinguish, identify, contact, locate, or trace a person or identify an individual.

**PERSONAL PAPERS.** Personal papers (also called *personal files*) are documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the Government. For additional information see 36 CFR 1220.18.

**PHASES.** (Project) - For this document, Project Phases relate to the Cost Estimate Levels in FAC 09-01.

**POST AWARD (CONSTRUCTION) PHASE.** Any point after the official contract award date and prior to construction close out.

**PRE-BID PHASE.** Any point in the design process prior to the request for bids.

**PRELIMINARY DRAWINGS.** Simple sketches or rough general designs used in the earliest stage of planning to look at a given problem, need, or opportunity, utilizing readily available data. These are considered figures or sketches.

**PRESERVATION.** 1. The provision of adequate facilities to protect, care for, or maintain records. 2. Specific measures, individual and collective, undertaken to maintain, repair, restore, or protect records.

**PROGRAM RECORDS.** Records documenting the substantive functions for which an organization is responsible, in contrast to administrative records.

**PROJECT.** Features, structures, and supporting facilities constructed to perform a specific function such as irrigation, hydroelectric power production, or water delivery for municipal and industrial use and which has no set expiration or ending.

**PROJECT FILES.** See CASE FILES.

**PROJECT MANAGER.** The individual appointed by the program office to oversee a project from initiation to project closeout. The project manager is responsible for coordinating among internal and external stakeholders.

**PROJECT NUMBER.** The Project Number (1 to 5 digits) corresponds to a Project and is assigned to facilitate management of all related drawings and records for that Project. See also MASTER PROJECT TABLE.

**QUERY.** A request for data or information from a database table or combination of tables.

**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 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 informational value of data in them.

**RECORD DRAWING.** All drawings, regardless of format, media, or storage location, are records. eDRAWS is the only approved electronic storage location for drawing records. Drawings stored in eDRAWS are records regardless of Scope or state and shall be managed as such. Completed, signed drawing records have been transitioned to the Official Records Scope within the eDRAWS system.

**RECORD GROUP.** A body of related records established by an Agency and assigned a National Archives authorized tracking number which never changes. Reclamation's official record group number is 115.

**RECORD MATERIAL.** See RECORD.

**RECORD SERIES.** Documents or related materials filed as a grouping because they relate to a particular subject, function, activity, or document a specific kind of transaction.

**RECORDED INFORMATION.** Includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

**RECORDKEEPING.** The act or process of creating and maintaining record. Assumes the need for their proper disposition. See RECORDS MANAGEMENT.

**RECORDKEEPING REQUIREMENTS.** See RECORDS MANAGEMENT

**RECORDKEEPING SYSTEM.** See ENTERPRISE CONTENT SYSTEM (ECS).

**RECORDS ADMINISTRATION.** See RECORDS MANAGEMENT.

**RECORDS CREATION.** The first stage of lifecycle management.

**RECORDS CUSTODIAN.** An individual responsible for the management of records, regardless of format, created in a specific office.

**RECORDS DISPOSAL.** See DISPOSAL.

**RECORDS FREEZE.** See DISPOSITION FREEZE.

**RECORDS MAINTENANCE AND USE.** Any action involving the handling, storage, and retrieval of records. This is the second stage of the records lifecycle.

**RECORDS MANAGEMENT.** The planning, controlling, directing, organizing, training, promoting, evaluating, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve thorough and proper documentation of Federal policies and transactions and effective and economical management of Agency operations. Also called records administration.

**RECORDS MANAGEMENT PROGRAM.** A planned, coordinated set of policies, procedures, and activities needed to manage an Agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

**RECORDS MANAGEMENT REVIEW.** To inspect records management practices at the office level to include file stations and central files; confirm that activities are consistent with statutory requirements and regulations; define objectives, policy compliance, responsibilities, and guidance for all offices regarding the lifecycle management of records.

**RECORDS RETENTION SCHEDULE.** A document providing NARA authority that describes the process and actions to be taken regarding the final disposition of records.

**RECORDS SCHEDULE.** A document providing authority for the final disposition of recurring or nonrecurring records. See DEPARTMENTAL RECORDS SCHEDULE or GENERAL RECORDS SCHEDULE.

**RECORDS TRANSMITTAL AND RECEIPT.** A document from the issuing office requesting transfer of records to a Federal Records Center. See Standard Form 135.

**REFERENCE FILES.** Information that is needed for continual use but is not part of the official record, such as articles, periodicals, reports, studies, vendor catalogs, etc.

**REPOSITORY.** A central location in which data is stored and managed.

**REQUEST FOR RECORDS DISPOSITION AUTHORITY.** A document from the issuing office to NARA requesting to obtain authority for the disposition of records. See STANDARD FORM 115.

**RESTRICTED ACCESS.** A group of files, information, and/or records to which access is limited.

**RETENTION PERIOD.** The length of time after folder closure that records are retained before disposition occurs. See DISPOSITION.

**RETENTION SCHEDULE.** See DEPARTMENTAL RECORDS SCHEDULE or GENERAL RECORDS SCHEDULE.

**RETIRED.** A drawing workflow state within eDRAWS. Used for unlinked previous revisions of a Record Drawing.

**RETIREMENT.** The transfer of records to Agency storage facilities or a Federal Records Center. See ACCESSION, DISPOSITION, TRANSFER.

**REVISED DRAWING.** A record drawing that is changed to update a design, correct errors, document as-built conditions, or otherwise change the information or design conveyed in the drawing. Drawing revisions are official records and are signed according to FAC 03-03. Each revision of a drawing is a record, the most recent revision is the current version of the drawing. See AS-BUILT DRAWING.

**REVISION NUMBER.** A number, independent of the drawing number, representing the revision status of the drawing. All original versions of a drawing are assigned revision number 0; each further revision is numbered consecutively starting at 1.

**RIGHTS AND INTEREST RECORDS.** Records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities.

**SCHEDULED RECORDS.** Records whose final disposition has been approved by the National Archives. See also DISPOSITION (1), FINAL DISPOSITION, and RECORDS SCHEDULE.

**SCHEDULED TRANSFER.** The act or process of moving permanent records to the National Archives for preservation as authorized by the NARA-approved records schedule and as implemented by the National Archive's approval of an Agency-submitted Standard Form 258 and by the National Archive's receipt of the records. Formerly called a scheduled offer. See also FINAL DISPOSITION, PERMANENT RECORDS, RECORDS SCHEDULE, and TRANSFER.

**SCHEDULING.** The process of developing schedules for the disposition of records, along with disposition instructions for non-record materials. See also DISPOSITION, RECORDS SCHEDULE.

**SEQUENCE NUMBER.** The sequence number is a unique number assigned to each drawing related to a Project to assist in the identification and retrieval of a specific drawing, commonly called 'drawing number.' The sequence number is either permanent or temporary (as indicated by a leading T). Once assigned a permanent number it is part of the Drawing Record Number. See DRAWING NUMBER AND TEMPORARY DRAWING NUMBER.

**SERIES.** Documents arranged according to a filing system or kept together because they relate to a particular subject or function

**SHEET NUMBER.** If a drawing is part of a series of drawings sheet numbers shall be used to specify the position of the drawing in the series. The sheet number is not part of the drawing number.

**SKETCH.** A diagram or sketch, either contained in a report or like document, or in a separate file. If stored in eDRAWS it is not transitioned to the official drawing state but is considered a record.

**SOURCE DOCUMENTS.** See NATIVE FILE FORMAT.

**SPLIT.** Refers to the systematic break or division of a file at regular intervals or when needed, i.e., at the end of each year, to make a file more manageable and simplifies retrieval. Does NOT mean Close File. See BREAK.

**STATION NUMBER.** The station number (1 to 3 digits or letter 'D') indicates the originating office and/or office of record and the physical location of the drawing. It is part of the Drawing Record Number. See DRAWING NUMBER.

**STANDARD DRAWINGS.** Standard drawings represent Reclamation's standard details of design and construction and cover a magnitude of details and typical materials required for project specifications. All new Standard Drawings shall have Project Number 40.

**STANDARD FORM 115.** Request for records disposition authority.

**STANDARD FORM 135.** Records transmittal and receipt form.



**SUBJECT FILES.** Records arranged and filed according to their general informational value or content. Documentation or other materials that are not specific to a particular action, event, person, place, or project. May include letters, memorandums, email, or other media that relate to programs and administrative functions. See also ADMINISTRATIVE RECORDS, PROGRAM RECORDS.

**SUPERSEDED.** A drawing that has been replaced by other drawing(s). Superseded drawings are marked as such and include the date and by which drawing(s), and, if applicable, the portion of the drawing superseded. Superseding drawings are also marked to show the date and which drawing(s) or portions of drawing(s) are superseded.

**SUPERSEDES.** A drawing that replaces an existing drawing(s). Superseding drawings are marked as such and include the date and which drawing(s) are being superseded and, if applicable, the portion of the drawing superseding. Superseded drawings are also marked to show the date and by which drawing(s) or portions of drawing(s) are superseded.

**TEMPORARY DRAWING NUMBER(S).** A temporary sequence number that begins with “T” assigned to a new drawing by eDRAWS consisting of the Project, Station, temporary sequence number, document type identifier, and sheet number. Drawings with temporary numbers cannot be signed or promoted out of the Work In Progress Scope in eDRAWS.

**TEMPORARY RECORDS.** Records approved by NARA for disposal, either immediately or after a specified retention period.

**TRANSFER.** The act or process of moving records from one location to another, such as from office space to a NARA-approved offsite storage facility, Federal Records Center, or the National Archives, for long term or permanent preservation, in accordance with an approved record retention schedule.

**TRANSITORY RECORDS.** Record material having short-term informational value to the office creating or receiving it, such as training announcements, requests for publications, general government information, which is needed only for current business purposes, etc.

**UNSCHEDULED RECORDS.** Records whose final disposition has not been approved by NARA. See also DISPOSITION, FINAL DISPOSITION, and RECORD.

**VITAL RECORDS.** See Essential Records.

**VOIDED DRAWINGS (CANCELLED OR OBSOLETE) – DRAWINGS.** A drawing that is either canceled or deemed obsolete, no longer in general use.

**WORKING FILES.** Reference materials used on a frequent basis during the life of the project or task. Documents such as preliminary drafts, rough notes, calculations, published reference works, standard technical texts, or professional articles from journals assembled or created and used to prepare or analyze other documents; a collection of information used on a consistent basis. Also called working papers. See also NON-RECORD MATERIALS, RECORD, and REFERENCE FILES.

**WORLD**CAT. See Online Computer Library Center (OCLC).