

**U.S. DEPARTMENT OF JUSTICE
Federal Bureau of Prisons**



**PROGRAM STATEMENT
Records and Information Management Programs**

Approved by	<i>William K. Marshall III</i> William K. Marshall III Director, Federal Bureau of Prisons
DPI	ITDD
Number	1240.06
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Summary of Changes

<i>Program Statement Rescinded:</i> <ul style="list-style-type: none">1240.05 Records and Information Management Programs
<i>Changes:</i> <ul style="list-style-type: none">Updates the Information Management Office to the Records and Information Management Section.Removes the Responsibilities Section for the Office of National Policy Review.Removes the Responsibilities Section for each division and region.Removes reference to the Federal Records Center

1. PURPOSE AND SCOPE

To ensure the preservation of Federal Bureau of Prisons (Bureau) records, regardless of format, and establish a method for storing, removing, and disposing records when they reach the end of their lifecycle. The Records and Information Management (RIM) Section, Information Technology and Data Division (ITDD), Central Office, is the centralized point of contact for the agency regarding all records-related requirements. This policy statement applies to all Bureau, National Institute of Corrections, and Federal Prison Industries offices, programs, and facilities.

a. Program Objectives.

- Bureau employees and contractors will maintain, store, and/or dispose of records regardless of format as required by the Federal Record Schedule (18 U.S.C § 2071; 36 CFR 1228.102).
- Bureau employees will utilize the Bureau Records and Information Disposal Schedule (RIDS) as the authority for records management. A link to the Bureau RIDS can be found

on the Records and Information Management Section home page of the Bureau's intranet site.

- Comply with the Federal Records Act (44 U.S.C. § 3101 et seq.) and other statutory and regulatory requirements.
- Comply with Department of Justice (DOJ) Order 0801 and records policies and procedures developed and issued by the Bureau.
- Preservation and transfer of permanent records to National Archives and Records Administration (NARA).
- Improvement and support for Bureau business performance.

b. **Institution Supplement.** None.

2. TERMS AND DEFINITIONS

a. **Disposal.** The action taken regarding temporary records after their retention periods expire and consisting usually of destruction/deletion. On rare occasions, with permission, records may be donated (36 C.F.R. § 1226.26).

c. **Disposition Authority.** The legal approval empowering an agency to transfer permanent records to the National Archives or to carry out the disposal of temporary records. Note: "Legal approval" comes at the point at which an authority, the Standard Form (SF)-115, Request for Records Disposition Authority, is signed by the Archivist of the United States, not when it is first submitted to NARA.

d. **File Plan.** A structured guide that outlines the classification, series, and organization of all records associated with a specific program or business function.

e. **Frozen Records (Record Hold).** Temporary records are held for litigation, investigation, or audit purposes. Frozen records can be destroyed only after completion of litigation, audit, or investigation and notification from the appropriate authority.

f. **General Records Schedules (GRS).** A GRS is issued by the Archivist of the United States under the authority of 44 U.S.C § 3303a (d) to provide disposition authority for records common to several or all federal agencies. The GRS cover records documenting administrative functions rather than program functions. Agencies must apply the GRS to the greatest extent possible.

g. **Lifecycle.** The management concept that records pass through three stages: creation, maintenance and use, and disposition.

h. **Off-Site Storage Facility.** The Bureau's off-site storage facility is currently Iron Mountain.

i. **Permanent Record.** Record appraised by NARA as having sufficient historical or other

value to warrant continued preservation by the federal government beyond the time it is needed for administrative, legal, or fiscal purposes.

j. **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” (44 U.S.C. § 3301).

k. **Record Custodian.** Federal records custodians are responsible for ensuring all federal records within the Bureau are created, maintained, and disposed of according to the Bureau's authorized record and information disposition schedules (RIDS).

l. **Records Management.** The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records, carried out in such a way as to achieve adequate and proper documentation of federal policies and transactions, and effective and economical management of agency operations.

m. **Records Schedule.** A records schedule has a NARA-approved, legally binding document that provides mandatory instructions for the retention and disposition of federal records. It identifies records as temporary or permanent, defines how long to keep them, and dictates when to destroy or transfer them. There are two types of schedules: agency-specific schedules tailored for unique agency records or General Record Schedules (GRS) issued by NARA for common administrative, or housekeeping records.

n. **Temporary Record.** Record approved by NARA for disposal after a specified retention period.

o. **Transfer.** A SF-135, Records Transmittal and Receipt form is required to process record transfer from institutions to Iron Mountain.

p. **Unscheduled Records.** The improper removal of records without NARA approval or the willful or accidental destruction of records without regard to a NARA approved records schedule. Unauthorized disposition of federal records is against the law and punishable by up to \$250,000 in fines and imprisonment (44 U.S.C. § 3106 and 18 U.S.C. § 2071).

3. RESPONSIBILITIES

a. **Records and Information Management (RIM) Section.** The Records and Information Management Section coordinates the records and information management functions within the Bureau.

- Maintains and updates the Bureau RIDS, formulating and recommending basic records disposal policies and management procedures.
- Publishes and maintains the Information and Records Handbook which acts as a technical reference for records and information management processes, examples, and definitions.
- Manages the national cost center to reimburse the offsite storage vendor for its records servicing operations.
- Reviews the records at various organizational levels and provides assistance, findings, and recommendations to employees.
- Creates new record schedules for submission to NARA for Archivist approval.
- Conducts audits of agency program areas to ensure identified records are maintained in accordance with approved record retention schedules.
- Provides technical guidance to Bureau employees regarding records and information management.
- Represents the Bureau at meetings with other records and information management officers in the DOJ, NARA, and other federal agencies.
- Provides assistance with the completion of the SF-135, Records Transmittal and Receipt for offsite storage.
 - Facilitates the transfer of permanent records to NARA for preservation.
 - Facilitates the transfer of temporary records to an approved offsite storage facility.
- Works with records custodians to retrieve boxes from offsite storage, transfer records to offsite storage, and dispose of records stored in offsite storage.
- Provides basic and specialized records management training to all employees.
- Creates and maintains a master file plan of all Bureau records schedules.
- Assists employees with ensuring Records & Information Management Certifications (RIMCert) are completed for all electronic information systems, services, and applications containing records.
- Conducts RIM Program assessments and prepare responses to inquiries from NARA.

b. Office of General Counsel (OGC).

- Uses the Bureau RIDS to determine disposal schedules for systems of record submissions.
- Reviews proposed retention schedules to ensure legal standing prior to the submission of approval to the Archivist.

c. Records Custodians/Management Employees.

- Serves as the point of contact for all RIM issues in areas assigned.
- Keeps an up-to-date inventory of all records series and electronic information systems that contain federal records.
- Creates and maintains current file plans, which must be updated annually at a minimum, and provide all updates to the RIM Section.

- Educates employees regarding approved electronic records systems and storage locations.
- Assists RIM Section to identify and review electronic systems requiring a RIMCert review.
- Executes cutoffs and disposition actions for records.
- Performs records checkout activities for departing employees.
- Promotes RIM Program within the Bureau.

d. All Bureau Employees and Contractors.

- Responsible for following the required records schedules and policies to manage records.
- Adheres to all Bureau, DOJ, and NARA records policies and procedures.
- Complies with the guidelines listed in the Bureau RIDS, regarding specific Bureau records and associated disposition instructions.
- Identifies current and new functions where any new records are created and information is stored but not currently listed in the Bureau RIDS.
- Contacts the RIM Section to convey the need for changes or additions to the Bureau RIDS.
- Treats records not listed in the Bureau RIDS or covered by the General Records Schedules as an unscheduled record that must be maintained permanently until the disposition authority has been approved.
- Submits requests to the RIM Section for records archiving to offsite storage utilizing an SF-135, Records Transmittal and Receipt form and request records from offsite storage utilizing the Optional Form (OF) -11, Reference Requests form. When filling out the OF-11, ensure a barcode or accession number is referenced.

4. USE OF STORAGE SERVICES

All use of offsite storage facilities must be approved by the Records Officer, RIM Section, ITDD, Central Office. All activity associated with billable actions must have prior approval by the Records Officer, RIM Section, ITDD, Central Office.

Specific instructions for archiving and retrieving records are detailed in the Information Management Handbook located on the Bureau's intranet site.

REFERENCES

Program Statements

None

ACA Standards

Performance-Based Standards and Expected Practices for Adult Correctional Facilities
(5th Edition): 5-ACI-1F-03, 5-ACI-1F-04, 5-ACI-1F-05

Performance-Based Standards and Expected Practices for Adult Local Detention Facilities
(5th Edition): 5-ALDF-7D-23

Federal Regulations

36 C.F.R. Chapter 12

Federal Statutes

44 U.S.C. § Chapters 21, 29, 31, and 33

18 U.S.C. § 2071, 793, 794 and 7989 (Criminal penalties for unlawfully destroying, damaging,
or removing federal records.)

Orders

DOJ Order 0801, Records and Information Management, March 12, 2014

Other Forms

SF-115, Request for Records Disposition Authority

SF-135, Records Transmittal and Receipt

Records Retention Requirements

Requirements and retention guidance for records and information applicable to this program are available in the Records and Information Disposition Schedule (RIDS) on the Bureau intranet site.