

PS 1240.05 RECORDS AND INFORMATION MANAGEMENT PROGRAMS



Program Statement

OPI: IPPA
NUMBER: 1240.05
DATE: 9/21/2000
SUBJECT: Records and Information
Management Programs

1. **PURPOSE AND SCOPE.** To ensure the preservation of Bureau records and information with long-term value and to establish a method for removing and eliminating records when they reach the end of their assigned value.

2. **PROGRAM OBJECTIVES.** The expected results of this program are:

a. Bureau staff will maintain, store, and/or remove records such as paper documents, audio/video tapes, and electronic information like word processing files, databases, and E-mail messages as required by regulation and as a mechanism for cost control.

b. Bureau staff will utilize the **Bureau of Prisons Records and Information Disposal Schedule (BOP-RIDS)** as the central authority to ensure adequate coordination of records management.

3. **DIRECTIVES REFERENCED**

PS 1221.66 Directives Management Manual (9/15/97)
PS 1227.04 Archival and Historical Programs (10/8/96)

44 United States Code 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.)

36 Code of Federal Regulations Chapter 12
41 CFR 201, subchapters A and B

Office of Management and Budget(OMB), Circular A-130
DOJ Order 2710.8A

4. **DEFINITIONS**

- a. **Records** Information including documents, books, memos, forms, maps, photographs, audio/video tapes; electronic files such as word processing files, E-mail messages, PC databases, SENTRY records, spreadsheets; and other documentary materials, created or received by the Bureau (including UNICOR, NIC, and contracted correctional facilities), in pursuit of the agency's legal obligation and business (see 44 U.S.C. § 3301).
- b. **Series** A group or collection of related records.
- **Example:** the collection of Program Statement documents or the collection of UNICOR's factory activation files.
- c. **Survey** The process of reviewing existing paper or electronic files and information to determine how long the information must be kept and when the information can be removed or deleted.
- d. **NARA** National Archives and Records Administration (NARA). The federal agency that provides guidance and authority to other executive-branch agencies regarding the storage and destruction of records.
- e. **FRC** Federal Record Centers (FRC). Federal storage facilities where Bureau staff can store agency records temporarily or permanently.
- **Example:** Bureau sites in Texas and New Mexico can submit applicable Bureau records to the Fort Worth FRC.
- f. **BOP-RIDS** The Bureau of Prisons' Records and Information Disposal Schedule (BOP-RIDS). A report containing a list of Bureau records, including a description of the information and a time interval for scheduling removal or deletion.
- **Example:** Time and Attendance input records can be destroyed after six years or after a GAO audit.

- g. **BOP-IRH** Information and Records Handbook (BOP-IRH). A Bureau publication containing an abbreviated glossary for records and information management processes, examples, and definitions designed to meet Bureau staff needs and operations.

5. RESPONSIBILITIES

a. **Information Management Office (IMO)**. The Information Management Office (formerly the Office of Documents Control Systems) coordinates the records and information management functions within the Bureau. The IMO will:

- Implement BOP-RIDS, formulating and recommending basic records disposal policies and management procedures.
- Publish and maintain the BOP-IRH, including changes to the processes and definitions in the handbook.
- Administer the national cost center to reimburse NARA for its records servicing operations.
- Survey the records at various organizational levels and provide staff assistance, findings, and recommendations.
- Approve submissions of new records (using form SF 115), to NARA and all submissions to the FRCs.
- Provide technical guidance to the Regional and Central Office staff regarding records and information management guidelines.
- Represent the Bureau at meetings with other records and information management officers in the Department of Justice, NARA, and other federal agencies.

b. **The Office of National Policy Review (NPR)** will:

- Require that directives (Program Statements, Change Notices, Operations Memoranda), indicate if records are to be created or collected by the program area.
- Include Information Management Handbook materials in NPR's training programs for policy liaison personnel.

c. **The Office of Public Affairs (OPA)** will

- Provide technical assistance with the completion of the Records Transmittal and Receipt form (SF 135).
- Apply BOP-RIDS guidance to Central Office Archives.
- Assist with BOP-RIDS guidance, training, and support.

d. **Each Division, Region, or Office of Primary Interest (OPI)** will:

- Identify current and new functions where Bureau records and information are stored but not listed in BOP-RIDS.
- Submit new proposed records and information to the IMO for evaluation and inclusion in the BOP-RIDS report.
- Use the BOP-RIDS report to determine how long to keep paper and electronic files.
- Provide external regulatory reference citations which govern or impact the OPI's records and information retention schedule when applicable.
- Use the BOP-IRH to add non-paper records (records in computer systems, video/audio tapes, microfilm/fiche, among others), not currently listed in BOP-RIDS.

e. **Office of General Counsel (OGC)** will:

- Use BOP-RIDS to determine disposal schedules for systems of record submissions.

f. **General Requirement for All Bureau Staff and Contractors**

- Staff and contractors will comply with the guidelines listed in BOP-RIDS, regarding specific Bureau records and associated disposition instructions.
- Use the Information and Records Handbook to obtain guidance on information disposal activities.
- Contact the pertinent Central Office discipline to convey the need for changes or additions to BOP-RIDS.

6. **USE OF STORAGE SERVICES.** The use of external storage services such as FRC is now a fee-for-service operation charged to the Bureau.

a. To make an effective use of this and future external storage services, staff will locate and use, when available, existing site space to store Bureau records of short-term value (three years or less), as stipulated in BOP-RIDS, as mandated in DOJ Order 2620.7 Control and Protection of Limited Official Use Information as amended and applicable external regulations such as the Privacy Act 5 USC 552a, as amended.

b. The costs for storing Bureau records at external locations (FRC or private) will be covered by a national program's cost center in the Central Office. The BOP-RIDS report will show if external storage is authorized for a given series. No confidential staff records, such as OPFs, investigative files, disciplinary files, medical records, OWCP records, etc., will be stored at a private facility unless these facilities are certified and approved by NARA. Prior to placing staff records in a private location not owned or generated by the government, the Bureau of Prisons will notify the Council of Prison Locals.

— The IMO may also grant this authority in writing.

/s/
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Director