



United States Marshals Service – POLICY DIRECTIVES

1.15

RECORDS MANAGEMENT

PROPONENT: Management Support Division (MSD), Business Management Office (BMO), Records and Information Management (RIM)

PURPOSE: This policy directive establishes principles, procedures, and requirements for managing United States Marshals Service (USMS) records; ensures USMS compliance with federal laws and regulations for managing records; and establishes the policy governing the creation, capture, receipt, maintenance, use, and disposition of all USMS records.

AUTHORITY:

1. The Federal Records Amendment Act of 2014, as amended, requires all federal agencies to make and preserve records containing adequate and proper documentation of their organization, function, policies, procedures, decisions, and essential transactions. These records are public property and must be managed according to applicable laws and regulations as set forth by the National Archives and Records Administration (NARA).
2. 44 U.S.C. §§ 3101-3107; 44 U.S.C. §§ 3301-3324; 28 C.F.R. § 0.75(j); 28 C.F.R. Part 17; 36 C.F.R. §§ 1220.1-1220.34; 36 C.F.R. § 1223.1-1223.20; 36 C.F.R. § 1236; 18 U.S.C. § 2071; Executive Order 13526; Office of Management and Budget (OMB) M-19-21, *Transition to Electronic Records*; OMB M-23-07, *Update to Transition to Electronic Records*; OMB Circular A-123; OMB Circular A-130; Department of Justice (DOJ) Policy Statement 0801.01, *Records & Information Management Certification (RIMCert)*; DOJ Policy Statement 0801.02, *Removal of and Access to Department of Justice Information*; DOJ Policy Statement 0801.04, *Electronic Mail and Electronic Messaging Records Retention*; DOJ Order 0802, *Management of Preservation Responsibilities*; and DOJ Instruction 0300.02.01, *Social Media Account Management and Approval*.

CANCELLATION: This policy directive supersedes USMS Policy Directive 1.15, *Records Management*, dated May 23, 2016. This policy directive will remain in effect until updated, superseded, or cancelled.

ADMINISTRATION AND LOGISTICS:

1. Records Management: This administrative policy directive document is maintained in accordance with the approved Specific Records Schedule, DAA-0527-2013-0018-0002.

APPROVED BY:

Ronald L. Davis
Director
U.S. Marshals Service

08/27/2024
Effective Date

- A. Policy Statements:** This policy directive establishes the USMS policy and the specific requirements pursuant to 44 U.S.C. §§ 3101-3107, under which USMS records are managed throughout their records lifecycle. Records management facilitates the accomplishment of USMS operational and administrative missions; preserves official USMS records in accordance with applicable statutory and regulatory requirements; and promotes access to information by USMS staff, USMS partners, and the public, as appropriate.

The USMS RIM program publishes, interprets, and maintains USMS records-related policy. The RIM program ensures that federal records are created, maintained, and disposed of in accordance with the Federal Records Act (FRA), 44 U.S.C. §§ 3101, 3301, et seq. (including its supporting regulations); NARA regulations; and the DOJ's overarching authority to plan, direct, administer, and monitor compliance with DOJ-wide policies pursuant to 28 C.F.R. § 0.75(j). Additionally, the USMS must remain in compliance with DOJ Policy Statement 0801, and its sub-policies, as administered by the Office of Records Management Policy, the Freedom of Information Act, and eDiscovery or any applicable litigation holds.

It is USMS policy to implement an enterprise-wide file plan for USMS personnel to follow published directives from the USMS RIM program in their respective districts, divisions, and staff offices.

1. **The USMS will:**
 - a. Create, receive, and maintain official records providing adequate and proper documentation as evidence of USMS activities and essential transactions.
 - b. Manage records, in any format or media, in accordance with applicable statutes and regulations, as directed by USMS, DOJ, and NARA policies and guidance.
 - c. Maintain records according to the USMS file plan, allowing for timely access and retrieval.
 - d. Ensure recordkeeping functionalities in all USMS systems, services, and applications.
 - e. Establish records management controls for all USMS systems, services, and applications.
 - f. Ensure instructions are followed for the disposition of records, as specified in accordance with the approved retention schedules. All official records will follow either the General Records Retention Schedule (GRS), DOJ-wide Retention Schedule, or Agency Records Retention Schedule (ARS). The RIM program will conduct records audits annually. Audits may be conducted without notice. Notification of unlawful or accidental removal, defacing, alteration, or destruction of records is required and must be reported to the RIM program. The RIM program is responsible for reporting subsequently to NARA.
 - g. Maintain and control classified and sensitive records in accordance with USMS Policy Directive 17.6.3, *Document Security*.
 - h. Protect the legal and financial rights of the United States Government and persons affected by government activities in accordance with 36 C.F.R. § 1220.30.
 - i. Store permanent records on archival quality media pursuant to 36 C.F.R. §§ 1235 and 1236 and in containers and facilities to ensure appropriate long-term preservation. Offices must segregate permanent records from temporary

records. Offices must arrange records in storage media with the same schedules and disposition dates.

- j. Send permanent records to NARA based on the disposition authority in the applicable records retention schedule. Permanent records sent after June 2024, are required to be electronically submitted through NARA's Electronic Records Archive system. Unscheduled records must be treated as permanent records until a records retention schedule has been approved by the Archivist of the United States.
- k. **Record Destruction:** All USMS personnel are required to document any record, including emails that are subject to destruction pursuant to a records retention schedule, by completing the USMS Records Destruction Log and submitting the entry to RIM. Before destroying records pursuant to a records retention schedule, USMS must ensure that there is no litigation, legal hold, or preservation order pending that was issued to the office pertaining to those records. Records subject to a litigation, legal hold, or preservation order must be cleared by the Office of General Counsel (OGC) before they can be destroyed.

2. **Districts, Divisions, and Staff Offices:** Will establish and maintain a records management sub-program with the following minimum requirements:

- a. Assign a Records Liaison (RL) and Records Liaison Assistant (RLA) to provide records management guidance and support to staff and to serve as a liaison with the USMS RIM program. A minimum of one RL is required. RL and RLAs must complete any required training prior to starting the role. The assignment of an RL or RLA must be noted via a completed Form USM-222, *Additional Duty Designation*.
- b. Create, receive, and maintain records providing complete, adequate, and proper documentation and evidence of USMS' activities and decisions.
- c. Manage records in any format (e.g., paper, electronic, emails, Microsoft Teams messages, text messages, spreadsheets, presentations, images, maps, videos, blogs, and other social media tools that generate communication) in accordance with applicable statutes, regulations, and DOJ and USMS policy.
- d. Review the file plan annually and provide any changes to MSD's RIM program.

3. **Agency Systems:** All official USMS records are required to be created and maintained through approved systems, services, or applications that electronically capture, create, communicate, store, and manage the USMS' electronic content in accordance with 36 C.F.R. § 1236. The USMS will maintain electronic records in RIM-approved USMS electronic records systems. Records and Information Management Certification (RIMCert) applications and approvals are required for all official records management systems, services, and applications.

4. **Capstone Records Management:**

- a. Pursuant to DOJ Policy Statement 0801.04, *Electronic Mail and Electronic Messaging Records Retention*, and Records Schedule DAA 0060-2015-0005, *Records of the Heads of Components*, the USMS has implemented DOJ's mandated Capstone Approach. The following are Capstone Official positions within the USMS: Director, Deputy Director, Associate Director for Operations (ADO), Associate Director for Administration (ADA), Assistant Directors (AD), General Counsel, United States Marshals, Chief of Staff, Equal Employment Opportunity Officer, and individuals acting in Capstone positions.

- b. All records, paper and electronic, including business emails (including attachments) sent or received by a Capstone Official are permanent records and should not be destroyed or deleted by anyone. The USMS must maintain these records after the end of the user's tenure for the retention period reflected in the USMS' approved records retention schedule, and then accession the records to NARA in accordance with the approved schedule. The Capstone Official is required to itemize and inventory all official records during their tenure and leave the inventory with an Administrative Officer, Executive Assistant, or Records Liaison.
 - c. Electronic messages intended for the public that are issued by Capstone Officials (or any user delegated authority by the Capstone Official to communicate on their behalf) on behalf of the USMS will be treated as a record series and must be provided in writing. Such electronic messages are permanent records in accordance with approved Capstone records retention schedules.
 - d. Electronic messages used by Capstone Officials (or any user delegated authority by the Capstone Official to communicate on their behalf) for internal communications or communications with other federal agencies and state, local, and tribal governments will be treated as transitory records. As transitory records, they will have a retention of less than 180 days, unless the electronic message content reflects a substantive decision or action of the Capstone Official that is not otherwise memorialized (e.g., by a confirming email or by merging into correspondence or memoranda).
5. **Email Records Management:** Official emails that contain contents, including attachments, which is evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the USMS are federal records and must be maintained in accordance with statutory, regulatory, and departmental policies, as well as records retention schedules approved by the Archivist of the United States. USMS personnel shall follow additional guidance included in DOJ Policy Statement 0801.04.
6. **Electronic Messages:**
- a. Electronic message content (e.g., Microsoft Teams, text messages, or instant message use and management) that is related to DOJ and USMS business is a transitory record except under the circumstances described below. Dispose of transitory record information as soon as possible and do not retain longer than 180 days.
 - b. Electronic messages related to criminal or USMS investigations sent or received by DOJ and USMS personnel engaged in those investigations must be retained in accordance with the retention requirements applicable to the investigation and USMS' specific policies on retention of those messages.
 - c. Electronic messages generated or received by USMS personnel to include Task Force Officers and contractors (other than Capstone Officials) shall be formalized pursuant to the record schedule that is associated with that case or project.
7. **USMS Social Media Use and Management:** USMS personnel must follow social media guidance pursuant to DOJ Instruction 0300.02.02, *Social Media Content Management Requirements and Procedures*.
8. **Departing Official's Record Exit Clearance:** Departing USMS employees may not remove official government records without official written approval and must account for any official record checked-out to them within the division, district, or staff office, and the Federal Records Centers prior to their separation from the USMS. In order to remove

official government records from the USMS, departing USMS federal employees and interns must submit to MSD-RIM a Form USM-653a, *Official Records Removal Guidance*, and Form USM-653b, *Request for Removal of USMS Information and Non-Disclosure Agreement for Departing Employees*, 30 days prior to departure. Upon approval, copies of records can be removed following DOJ policy (see DOJ Policy Statement 0801.02, *Removal of and Access to Department of Justice Information*).

9. **Essential Records:** Essential records are considered a record to the continued functioning or reconstitution of an organization during and after an emergency or record essential to protecting the rights and interests of the organizations and the individuals affected by its activities. The USMS will:

- a. Establish an inventory of all essential records; and
- b. Ensure that all essential records are adequately protected, accessible, and immediately usable.

Essential records are critical for the continuation of functions during and after an emergency and cannot be lost. These types of records must be duplicated and stored offsite. The USMS will ensure that essential records are adequately protected, accessible, and immediately usable during an emergency or disaster. Continuity of Operations (COOP) plans are considered essential records. The USMS must ensure that essential records are maintained in accordance with 36 C.F.R. § 1223 and the requirements of the COOP plan. Refer to USMS Policy Directives 17.19, *National Response Framework and Domestic Incident Management*, and 17.24, *Continuity of Operations Plan*.

10. **Record Schedules:** Records schedules are considered the primary authority for official records. In the absence of an official legal hold or other legal authority, the USMS must follow the appropriate record schedule.
11. **Records Disposition:** USMS personnel are mandated to follow the ARS and the GRS that has been approved by the United States Archivist. If a suspension of disposition is needed, please consult with the RIM program. Employees and contractors must follow the agency disposal procedure. It is considered an unauthorized disposal if not followed.
12. **Records Security:** Records that are considered classified with National Security Information (NSI) must be maintained by the district, division, or staff office-approved representative with the appropriate clearance. NSI records must be stored in GSA-approved storage containers (safes), in accordance with Executive Order 13526 and 28 C.F.R. Part 17. Records that are considered unclassified shall be managed in accordance with Executive Order 13556. Additionally, pursuant to 32 C.F.R. Part 2002, the USMS shall manage all Controlled Unclassified Information (CUI) records to ensure proper safeguarding, disseminating, marking, decontrolling, and disposing of CUI records.
13. **Training Plan:** The USMS will conduct annual training for all employees and contractors. Additional training is required for Capstone Official-selected personnel, RIM Specialists, and Records Managers. New USMS personnel are required to take the "USMS Basic Records Management Awareness" training within LearnUSMS within 60 days of their start date.

B. Roles and Responsibilities:

1. USMS Director:

- a. Serves as the Official with overall authority and oversight responsibility for the USMS RIM program;
- b. Ensures records adequately and properly document the organization, functions, policies, decisions, procedures, and essential transactions of the USMS in accordance with 44 U.S.C. § 3101. These records are designed to furnish the information necessary to protect the legal and financial rights of the United States Government and of persons directly affected by USMS activities;
- c. Ensures USMS records policy is consistent with DOJ-level records policy;
- d. Ensures the approval of USMS-wide file plan is completed;
- e. Ensures the submission of all information required as part of the OMB A-123 RIM program review is completed;
- f. Appoints a Records Officer (RO) to ensure continuity of operations; and
- g. Delegates the responsibilities outlined in (b)-(f) to the Associate Directors and AD, MSD. The AD, MSD, will designate a USMS RO.

2. Associate Directors and Chief Financial Officer:

- a. Provides collaboration and consensus to ensure the implementation of all statutes, laws, policies, directives, and orders related to the USMS RIM are executed within the administrative and operational teams of the USMS; and
- b. Provides adequate financial and human resources for the RIM program.

3. ADs, Deputy Assistant Directors, United States Marshals, Chief Deputy United States Marshals, Staff Office Heads:

- a. Ensure records created by districts, divisions, and staff offices are maintained according to applicable records management policies and procedures;
- b. Retain or destroy records in accordance with approved retention schedules to ensure records are not removed from USMS custody without proper authority;
- c. Appoint a federal employee or contractor as the RL and RLA for their district, division, or staff office;
- d. Act as the information owners of the USMS information that their office creates, obtains, or communicates. Create, maintain, and protect USMS records, and establish recordkeeping requirements and practices to ensure evidence of their office's organization, functions, and activities;
- e. Ensure the division, district, or staff office section of the file plan is reviewed annually and modified as needed;
- f. Enforce records management compliance within their district, division, or staff office; and
- g. Ensure exit checklist activities related to records for departing personnel are completed prior to employee departure.

4. **RIM, MSD:**

- a. Provides leadership, planning, policy, guidance, and general oversight of the USMS RIM program and its incorporation into the broader information management framework;
- b. Annually reviews and inspects all USMS records and inventories to determine if additional schedules or adjustments to file plans are needed; and
- c. Facilitates the RIMCert process (electronic systems) for review and submission to DOJ for final review and approval.

5. **USMS RO, MSD:**

- a. Communicates USMS-wide policies and procedures that reflect records management missions and goals and incorporates federal recordkeeping requirements;
- b. Serves as the primary USMS official coordinating records management matters with NARA and other oversight agencies;
- c. Creates and maintains a network of RLs responsible for overseeing the records management program in their district, division, or staff office;
- d. Ensures that recordkeeping requirements are established, implemented, and periodically updated for all offices at all levels and for all types of media, including electronic and other record formats;
- e. Ensures all records are properly scheduled for retention and disposition with NARA;
- f. Oversees the transfer of permanent records to NARA;
- g. Establishes a records training program for Capstone Officials, RLs, and USMS personnel;
- h. Provides guidance to ensure plans are implemented to protect essential records, ensures their availability, and recovers the records in the event of an emergency or disaster in compliance with USMS COOP policy and provisions of the National Incident Management System;
- i. Informs and educates USMS personnel about essential records; and
- j. Conducts periodic evaluations and audits of the records management program and practices to determine the compliance and effectiveness of the program.

6. **Records Managers, MSD:**

- a. Serve as the USMS' technical expert on USMS-wide electronic and non-electronic records management issues;
- b. Advise district, division, and staff office leadership and program managers regarding USMS records responsibilities on current and projected operational requirements, issues, legislative, and regulatory matters;
- c. Facilitate communication among USMS divisions, districts, and staff offices in matters relating to records and information assets and the management of risks to those assets;

- d. Work with OGC to ensure that records and information assets are managed to ensure government accountability, protect the interests of the public, and mitigate records-related litigation risks;
 - e. Ensure USMS personnel are knowledgeable and kept current about records management principles and requirements and that they receive records management training appropriate to their position; and
 - f. Conduct periodic audits to ensure compliance with prescribed policy directives, regulations, and procedures and to determine additional training needs.
7. **Districts, Divisions, and Staff Offices:** Will establish and maintain a records management sub-program with the following minimum requirements:
- a. Assign an RL and RLA to provide records management guidance and support to staff and to serve as a liaison with the USMS RIM program. A minimum of one RL is required. RL and RLAs must complete any required training prior to starting the role. The assignment of an RL or RLA must be noted via a completed Form USM-222, *Additional Duty Designation*.
 - b. Create, receive, and maintain records providing complete, adequate, and proper documentation and evidence of USMS' activities and decisions.
 - c. Manage records in any format (e.g., paper, electronic, emails, Microsoft Teams messages, text messages, spreadsheets, presentations, images, maps, videos, blogs, and other social media tools that generate communication) in accordance with applicable statutes, regulations, and DOJ and USMS policy.
 - d. Review the file plan annually and provide any changes to MSD's RIM program.
8. **RLs and RLAs:** Each division, district, and staff office is responsible for designating an RL, ensuring the effective management of its records, and coordinating records and information management activities with the USMS RIM program.
- a. Serves as the point of contact for all RIM issues in their district, division, or staff office;
 - b. Keeps an up-to-date inventory of all records series and electronic information systems that contain federal records;
 - c. Maintain their section of the USMS file plan by reviewing and submitting updates to RIM annually;
 - d. Advises personnel regarding approved electronic records systems and storage locations within their division, district, or staff office;
 - e. Assists the RIM program, Chief Information Officer, and Information Technology Division personnel to identify and review those electronic systems requiring RIMCert review;
 - f. Executes cutoffs and disposition actions for assigned district, division, and staff office records;
 - g. Promotes the RIM program within the USMS; and
 - h. Completes all required training for the role.

9. **Chief Information Officer or Designee:**
 - a. Designates electronic recordkeeping systems and storage locations authorized for USMS business;
 - b. Coordinates with the RO to develop USMS-level electronic records policies and procedures;
 - c. Provides adequate and cost-effective electronic records management systems;
 - d. Ensures completion of RIMCert activities for new and existing systems, services, and applications;
 - e. Coordinates with the RO to ensure records under active preservation holds are identified and maintained;
 - f. Maintains and implements the plans for regularly reviewing and updating or refreshing records storage media; and
 - g. Completes, coordinates, or verifies completion of the backup of electronic files on discrete servers or media and ensures that the essential records plan identifies the location, formats, access requirements, and frequency of all backups.
10. **OGC:**
 - a. Provides legal advice and counsel on RIM issues;
 - b. Provides litigation hold notifications to the RO to ensure the proper preservation of all records associated with a litigation hold; and
 - c. Provides clearance approval for all official USMS records eligible for deletion or disposal.
11. **Contracting Officer:** Ensures USMS contracts include requirements for the delivery of all pertinent documentation on contractor program execution and Federal Government records management requirements.
12. **USMS Historian, Office of Public and Congressional Affairs:**
 - a. Serves as the official responsible for providing a records inventory of historical artifacts and documents of record and providing the inventory of historical records to the USMS RIM program; and
 - b. Provides advice to the USMS RO on which records are likely to have historical or permanent value.
13. **USMS Employees and Contractors:**
 - a. Comply with the provisions of DOJ Policy Statement 0801 and all other DOJ policies related to record management;
 - b. Adhere to all DOJ and USMS records policies and procedures;
 - c. Create, obtain, preserve, and manage the records necessary to document USMS functions, activities, and actions in accordance with USMS record keeping requirements;
 - d. Manage records in accordance with the USMS' records schedule;

- e. Obtain proper authorization before removing or destroying USMS records;
- f. Complete annual and other mandatory records management training;
- g. Protect USMS records from unauthorized disclosure, access, mutilation, and destruction to safeguard the legal and financial rights of the government and persons affected by government activities;
- h. Maintain official USMS records separately from personal papers and other non-record material; and
- i. Complete and submit the records exit checklist prior to departure.

C. Definitions:

1. **Office of Management and Budget (OMB) Circular A-123, Records Information Management Program Review:** The Records and Information Management Maturity Model used by DOJ to measure the maturity of component programs and by components to evaluate and manage their records program. This assessment is conducted as part of OMB Circular A-123.
2. **Adequate and Proper Documentation:** A record of agency business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency, and that is designed to furnish the information necessary to protect the legal and financial rights of the agency and or persons directly affected by the agency's activities.
3. **Agency Record Schedules (ARS):** Schedules issued by NARA to provide disposition authority for records unique and specific to the mission of the USMS.
4. **Capstone Official:** A documented management approach developed by NARA that categorizes and schedules records based on the work and/or position of the account user. This approach allows for the capture of all business records as a records series from the accounts of officials at or near the top of an agency (or an organizational district) to be preserved as permanent.
5. **Contractor:** An individual who is self-employed or employed by a company and performs services for USMS pursuant to a written contractual agreement with USMS.
6. **Disposal:** Destruction or deletion of temporary records after their retention period expires.
7. **Disposition:** The final lifecycle process of a record in which the record is closed, and the cutoff period has been met; the record is eligible for disposal or transfer to the Federal Records Center, pursuant to the records schedule.
8. **Electronic Records:** Any information recorded in a form that only a computer can process and satisfies the definition of a federal record per the FRA definition in 44 U.S.C. § 3301.
9. **Electronic Recordkeeping System:** An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. The system must follow 36 C.F.R. § 1236.
10. **Employee:** An individual who is hired by and collects compensation from the USMS.
11. **Essential Records:** Records needed to meet an agency's operational responsibilities under national security emergencies or other emergencies or disaster conditions

(emergency operating records) or to protect the legal and financial rights of the government and those affected by government activities as defined in 36 C.F.R. § 1223.2.

12. **Federal Record:** All recorded information, regardless of form or characteristics, made or received by a federal office under federal law or in connection with the transaction of public business. This information is preserved or is 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, as defined in 44 U.S.C. § 3301.
13. **File:** Usually refers to a folder of papers. The term is also used to denote papers, photographs, maps, and other records information accumulated or maintained in filing cabinets or a storage facility and occupying office or storage space. A file may also be maintained electronically or in microfilm.
14. **File Plan:** An outline of how an agency organizes and files records. The file plan contains the identifying number, title, or description, and NARA-approved disposition of files.
15. **General Records Schedule (GRS):** Schedule issued by the NARA to provide disposition authority for records common to all federal agencies.
16. **Information Owners:** Offices with statutory or operational authority of responsibility for information that their sub-branches create, obtains, or communicates.
17. **Lifecycle:** The distinct phases of a record's existence: creation, maintenance and use, retention, and disposition.
18. **National Archives and Records Administration (NARA):** An independent federal agency possessing primary responsibility for managing the records of all three branches of the United States Federal Government, for providing guidance to federal agencies on records management policies and practices, for authorizing the disposition of federal records, for storing federal records, and for preserving records of permanent historical value to the United States in both federal and presidential libraries.
19. **Non-Records:** Information or documents that do not meet the criteria of a federal record. They may be used for reference or convenience.
20. **Permanent Records:** Federal records that have been determined by NARA to have sufficient value to warrant their preservation in the National Archives even while they remain in agency custody.
21. **Personal Papers:** Documentary materials related solely to an individual's personal and private affairs or are used exclusively for that individual's convenience, such as copies of administrative records pertaining to employment.
22. **Record:** All documentary materials, regardless of physical form, which are 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 for an appropriate amount of time as evidence of agency activities because of the value of the information they contain.
23. **Records Inventory:** Complete and accurate survey of an organization or office's business information that documents the records created, received, and used by an organization or office. It is the first step in creating a file plan.

24. **Records Liaisons (RL) and Records Liaison Assistants (RLA):** Individuals delegated by leadership that are responsible for their specific division, district, or staff office's RIM program and are responsible for processing incoming information, retrieving information for users, and maintaining logs and indexes. The RL works with USMS Records Managers or the RO to ensure compliance with the FRA.
25. **Records Managers:** An individual responsible for overseeing the USMS' RIM program and operations in conjunction with the RO. Records Managers coordinate with the RIM program, division, district, and staff office personnel.
26. **Records Officer (RO):** An individual delegated by the Director of the USMS that's responsible for overseeing the USMS' RIM program and operations. ROs are also responsible for coordinating with NARA regarding Federal Record Center issues, records scheduling, and transferring records.
27. **Records Schedule:** A document that provides mandatory instructions for what to do with records no longer needed for current government business approved by the Archivist of the United States. The records schedule serves as the office's legal authority for retaining and disposing of records. A records schedule is also called a Records Disposition Schedule, a Records Control Schedule, and a Records Retention Schedule.
28. **Records Series:** A group of records arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, exist in the same media format, or have some other type of relationship.
29. **Records Storage:** Activities associated with maintaining inactive records for the required retention. These activities include ensuring appropriate media and controlling locations to maintain access to the information.
30. **Retention:** The length of time a record must be kept and maintained (either in the office or in the Federal Records Center) because it is needed for ongoing business, to document an action, or for statutory reasons. Also referred to as a retention period.
31. **Records and Information Management Certification (RIMCert):** A review of system compliance with recordkeeping requirements completed by records managers, system owners, and business owners. RIMCert ensures incorporation of electronic recordkeeping requirements through integration with systems development and authorities to operate.
32. **Temporary Records:** Records that can be legally destroyed or deleted after a specific period because they are no longer needed to document the work of the government or protect citizens' rights.
33. **Unauthorized Disposal:** Improper removal of records without NARA approval, or the willful or accidental destruction of records without regard to the Records Disposition Schedule or GRS.
34. **Unscheduled Records:** Records whose final disposition has not been approved by NARA. Unscheduled records may not be destroyed or deleted.

D. References:

1. 28 C.F.R. § 0.75(j), [Policy Functions](#)
2. 28 C.F.R. Part 17, [Classified National Security Information and Access to Classified Information](#)

3. 32 CFR § 2002, [Controlled Unclassified Information \(CUI\)](#)
4. 36 C.F.R. §§ 1220.1-1220.34, [Records Management](#)
5. 36 C.F.R. § 1223.1-1223.20, [Managing Vital Records](#)
6. 36 C.F.R. § 1235, [Transfer of Records to the National Archives of the United States](#)
7. 36 C.F.R. § 1236, [Electronic Records Management](#)
8. 18 U.S.C. § 2071, [Concealment, Removal, or Mutilation Generally](#)
9. 44 U.S.C. § 3103, [Transfer of Records to Records Centers](#)
10. 44 U.S.C. §§ 3101-3107, [Records Management by Federal Agencies \(The Federal Records Act\)](#)
11. 44 U.S.C. §§ 3301-3324, [Disposal of Records](#)
12. [United States Marshals File Plan](#)
13. DOJ Policy Statement 0801.01, [Records & Information Management \(RIMCert\)](#)
14. DOJ Policy Statement 0801.02, [Removal of and Access to Department of Justice Information](#)
15. DOJ Policy Statement 0801.04, [Electronic Mail Records Retention \(Capstone\)](#)
16. DOJ Policy Statement 0802, [Management of Preservation Responsibilities](#)
17. DOJ Instruction 0300.02.01, [Social Media Account Management and Approval](#)
18. DOJ Instruction 0300.02.02, [Social Media Content Management Requirements and Procedures](#)
19. [Executive Order 13526](#)
20. [Executive Order 13556](#)
21. [NARA Electronic Record Management Repository and Transfer Requirements](#)
22. [Federal Records Amendment Act of 2014](#)
23. [National Archives and Records Administration \(NARA\)](#)
24. [Agency Retention Schedule \(ARS\)](#)
25. [General Records Schedule \(GRS\)](#)
26. [Federal Records Centers](#)
27. DAA 0060-2015-0005, [Records of the Heads of Components](#)
28. [USMS Records Destruction Log](#)
29. USMS Policy Directive 17.6.3, [Document Security](#)
30. USMS Policy Directive 17.19, [National Response Framework and Domestic Incident Management](#)

31. USMS Policy Directive 17.24, [Continuity of Operations Plan](#)
32. M-19-21, [Transition to Electronic Records](#)
33. M-23-07, [Update to Transition to Electronic Records](#)
34. [OMB Circular A-123](#)
35. [OMB Circular A-130](#)
36. Form USM-653A, [Official Records Removal Guidance for Federal Employees](#)
37. Form USM-653B, [Request for Removal of USMS Information and Non-Disclosure Agreement for Departing Employees](#)