



U.S. Immigration
and Customs
Enforcement

Records Management (RM) Training for Detention Facility Record Custodians (DFRCs)

January 2024



Course Objectives Module I

The purpose of this module is to cover the following objectives:

- Records and Information Management Unit (RIMU)
- Records Management Laws and Authorities
- Records and Information Management (RIM) Programs
- Federal Records vs. Non-records
- Contractor Recordkeeping Responsibilities
- Recordkeeping Cost Considerations
- Records Lifecycle
- Inventory/File Plan
- Record Schedules



Records and Information Management Unit

The Records and Information Management Unit (RIMU) is responsible for the development and implementation of Records and Information Management (RIM) procedures, policies, and programs to include but not limited to:

- Ensuring the ICE RIM Program operates in compliance with Office of Management and Budget (OMB), National Archives and Records Administration (NARA), and Department of Homeland Security (DHS) policies
- Developing and promulgating policies governing lifecycle management of records and custodial responsibilities that support mission objectives
- Creating records schedules and submitting them to NARA for approval, and to Directorates and Program Offices for implementation
- Ensuring records storage facilities are following 36 C.F.R. Part 1234

The ICE Records Management Directive and Handbook identify responsibilities and procedures for carrying out the RIM program.



Records Management Laws and Authorities

Records laws and authorities govern the responsible management, use, maintenance and disposal of ICE records. These laws are primarily referenced for ensuring compliance:

- The Federal Records Act (FRA) of 1950 is a United States federal law that provides the legal framework for federal records management, including record creation, maintenance, and disposition.
- NARA sets forth laws and regulations for records management across all federal agencies. It is charged with the preservation and documentation of U.S. government records.
- OMB evaluates the effectiveness of agency programs, policies, and procedures, to ensure they are consistent with the president's budget and administration policies.
- Government Accountability Office (GAO) monitors and audits government agencies to ensure the transparency, efficiency, and accountability of federal records in accordance with the FRA.

[Code of Federal Regulations \(CFR\) 36 Records Management](#)



RIM Programs

Site Visit Program - RIMU conducts records site visits of all ICE field offices and facilities, which are controlled by government or contracted by a non-government entity, to measure the effectiveness of records management practices, and to ensure that offices are aware of and comply with NARA regulations and ICE policies.

There are 3 types of site visits:

- Site Assessments
- Site Assistance
- Compliance Inspections



RIM Programs

Site Assessments (SA) evaluate the state of recordkeeping activities at ICE facilities and/or field offices. RIMU will review how records are maintained, ask questions and provide guidance and feedback on any vulnerabilities that exist.

Compliance Inspections (CI) provide essential accountability and transparency of Records Management practices within program offices and ICE facilities. RIMU will ask questions based upon an inspection checklist, to conduct a comprehensive review of adherence to records management regulatory standards and policies. The inspection will be scored, if there are major discrepancies/issues a Corrective Action Plan (CAP), will be required.

Staff Assistance Visits (SAV) provide ICE program offices with subject matter expertise regarding records management issues. The SAV is an opportunity to receive assistance from experienced personnel on training; transferring records to offsite storage, inventorying voluminous records, digitization, disposal of records etc.



RIM Programs

Essential Records Program - The Essential Records Program enables agency officials to identify and protect the most important records documenting the legal and financial rights of ICE and of persons directly affected by ICE's actions. This includes establishing an Essential Records Plan, which identifies records critical to continued agency operations in the event of an emergency and ensures that records are adequately protected and accessible.

Capstone Program - NARA created a role-based approach for management of electronic messages (regardless of format) for all federal entities. Under the role-based approach, senior officials in certain high-level positions are designated as Capstone Officials. The decision of designating a position as Capstone is based upon the role as it relates to the position categories in the [General Records Schedule \(GRS\) 6.1](#). Records created by Capstone Officials are deemed by NARA as having historical significance and must be preserved permanently and transferred to the National Archives.



RIM Programs

Electronic Records Management (ERM) Program - RIMU will oversee and lead agency efforts into compliance with NARA requirements and regulations by transitioning recordkeeping to a fully electronic environment; ensuring that all agency records are created, retained, and managed in electronic formats with appropriate metadata.

Records Liaison Officer (RLO) Program - RLOs are program office representatives that assist RIMU with coordination and implementation of ICE records policies and procedures across Program Offices, disseminating information and ensuring program records are managed properly throughout their lifecycle. In addition, RLOs are assisted by Records Custodians (RC) and Detention Facility Records Custodians (DFRC), whom have oversight of recordkeeping within a designated field office or detention facility. RCs/DFRCs are responsible for maintaining accountability of field office/facility records, transferring inactive records to off-site storage, conducting inventories and submitting requests for records disposal.



Federal Records vs. Non-records

What is a Federal record? - 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.

Examples of Federal records

- Detention Case Files
- Segregation Reports

What is a non-record? - Non-records do not meet the legal definition of a federal record.

Examples of non-records

- Extra copies of documents preserved only for convenience of reference
- Stocks of publications and of processed documents
- Library and museum material made or acquired and preserved solely for reference



Contractor Recordkeeping Responsibilities

ICE facilities and field offices are often responsible for the procurement and acquisition of goods and services from commercial contract vendors to meet ICE's mission objectives. As such, these vendors must adhere to federal recordkeeping requirements while performing their contract obligations. Programs are responsible for ensuring proper recordkeeping activities are conducted with adherence to ICE and NARA policies when acquiring vendor services.

Governing Authority: In compliance with the Code of Federal Regulations (CFR) 36 - 1222.32, contractors shall maintain all records created for government use or created in the course of performing the contract and/or delivered to, or under the legal control of the government and must be managed in accordance with federal law.



Records Lifecycle

The records lifecycle describes how a record is handled throughout its lifespan. The records lifecycle has three main phases.

Creation/Receipt - Involves the capture of information about the records, connecting related records and identifying records schedules.

Maintenance and Use - Involves storing records in appropriate recordkeeping systems, ensuring systems are secure and choosing suitable on-site and off-site storage locations.

Disposition - Involves the secure disposal of records after a specified period or the transfer of records to NARA for permanent preservation.





Records Control Schedules

Record Control Schedules (RCS) - Record control schedules provide the legal authority for how long to keep records to support agency business needs, to protect legal rights and interests and to document history. All Federal records must have a NARA approved schedule. Types of schedules:

[General Records Schedules \(GRS\)](#) – Common administrative records in the federal government (e.g., Financial, Human Resources, Information Technology, Equipment and Property etc.)

[DHS Enterprise-wide Schedules](#) – Common records created throughout the department (e.g., Policies and Directives, Public Affairs, MOU/MOAs etc.)

[ICE Schedules](#) – Records that are unique to the mission of ICE (e.g., Detention Case Files, Removal Travel Records, Detainee Medical Files etc.)



Record Inventories & File Plans

Inventories are used to identify and track where records are and provide information on their status. The following metadata fields can assist with maintaining awareness of records:

- Location of the records
- Date span
- Series description
- Format
- Volume
- Access or use restrictions
- Unscheduled records
- Records eligible for disposal

File plans are organized lists of the different types of records maintained by each office, where they are located and how long they must be retained based on a records control schedule.



Updating Inventories/File Plans

An updated inventory and file plan is critical during the records lifecycle process. Records can't be moved, transferred, or disposed of without a current inventory that details which records are being affected by the actions taken. Here are some important things to consider when developing your inventory:

- Ensure that inventories are updated annually and have accurate information
- Review current location of records
- Check for retention schedule updates
- Changes in date ranges
- Formats



Break

10-minute break



Course Objectives Module II

The purpose of this module is to cover the following objectives:

- Unscheduled Records
- Schedule Development
- Detention Facility Record Schedules
- Hardcopy Records Storage
- Electronic Records Storage
- Records Disposition
- Legal Holds
- Unauthorized Destruction
- Damaged Records



Unscheduled Records

Unscheduled records are records that do not have a NARA approved records schedule that states how long to retain the records. Unscheduled records must be maintained permanently (cannot be destroyed) until a records schedule has been approved by NARA.

RLOs should provide subject matter experts (SME) within their program office who can work with RIMU to develop a schedule:

- Fully describe the unscheduled records,
- Determine business need(s), and
- Propose the retention period(s)



Records Schedule Development

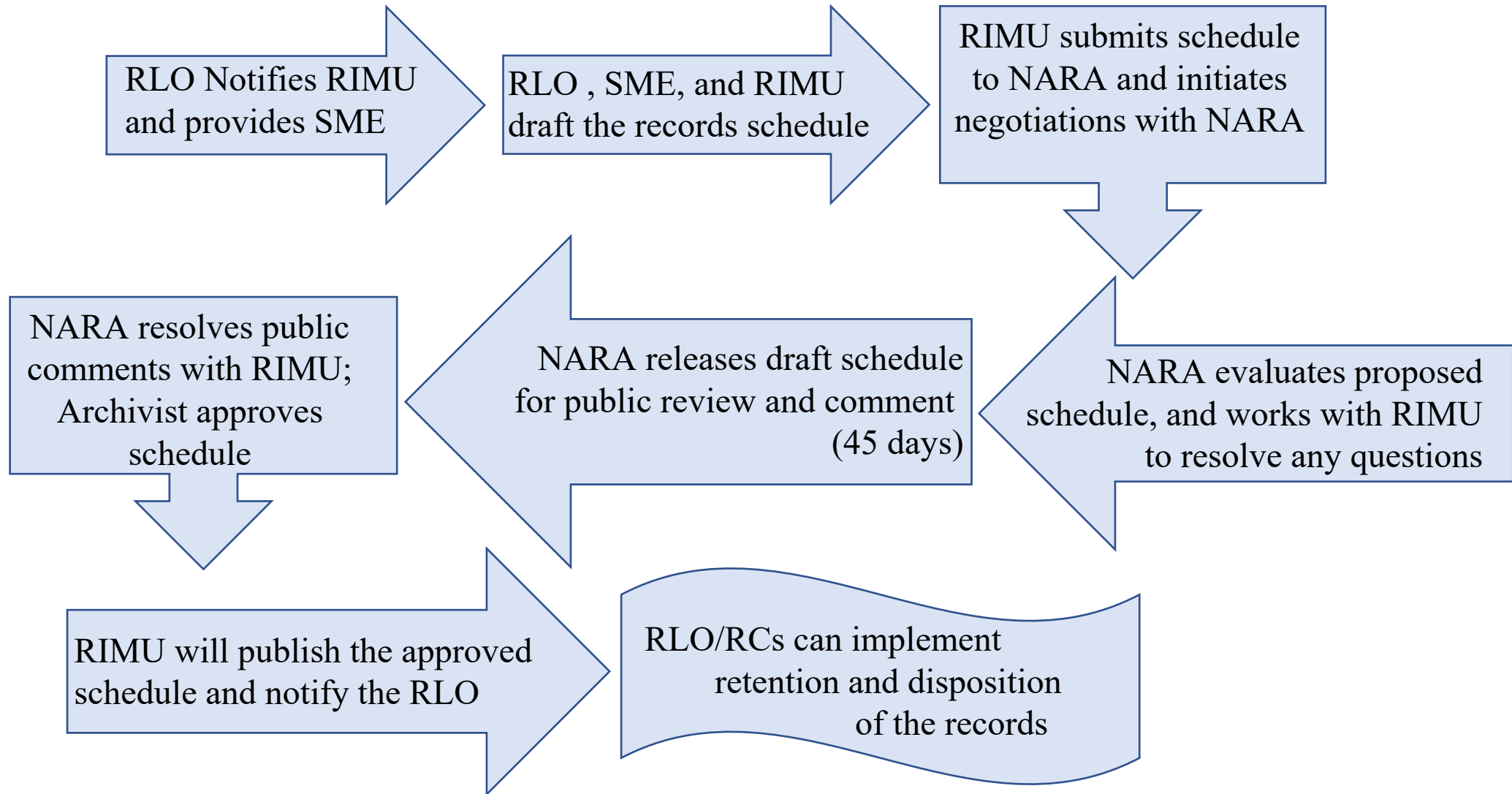
Schedule development requires coordination between RIMU and the Program Office SMEs. The following information will aid RIMU in understanding the function of the records to develop a draft schedule.

- Detailed description of the records
- What program is supported/documentated by the records
- Legal/statutory requirements for the program
- Annual accumulation rates
- Relationship with other ICE programs/records
- How long the records are actively needed (cutoff)
- How long they retain value for ICE (temporary or permanent)





Records Schedule Development: Workflow





Detention Facility Records Schedules

Video and Audio Surveillance Recordings Schedule

- Non-evidentiary Video/Audio
- Captured Events Video/Audio

Detention Case File Schedule

- Detention Case Files contribute to efficient and responsible facility management by maintaining, for each person/detainee booked into a facility for more than 24 hours, a file of all significant information about that person.

Detainee Records Schedule

- Sexual Assault and Abuse Files
- Detainee Death Reviews
- Detention Monitoring Reports
- Detainee Segregation Reports
- Detention Reporting Information Line (DRIL)

Note: Detention Facilities must abide by legal hold instructions



Hardcopy Records Storage

Hardcopy records must be identified, safeguarded and stored in appropriate locations.

Guidelines for maintenance of hardcopy records:

- Maintain records in temperature-controlled spaces to protect them from environmental conditions
- Maintain records in filing cabinets or on shelving units
- Maintain records away from water sources or heating equipment to prevent damage
- Secure records in locked spaces, only accessible to authorized personnel
- Separate records by type, (detention case files, medical files, logbooks etc.) each record series can have a different retention. Comingling records with different retentions can lead to unauthorized destruction
- Separate records by close dates (inactive records)
- Ensure box lists are created for all inactive records



Hardcopy Records Storage

Box lists identify each record within a box. This provides ease of reference if a record is needed for a FOIA request, litigation or audit. Box lists are also required for any records that will be transferred to off-site storage. Off-site storage centers will not take physical custody of records without an accurate box list.

Box Lists

- Description of records – Detention Case File
- File titles - A12345678
- Close dates – 2/20/2023
- Box numbers – Box 1 of 50



Electronic Records

To meet electronic recordkeeping requirements compliant with 36 CFR 1236 and the Transition to Electronic Records Memorandum [M-23-07](#), ICE must manage electronic records using appropriate electronic systems and/or repositories that have the capability to:

- Identify,
- Categorize,
- Ensure authenticity,
- Search,
- Retrieve and retain records in accordance with a NARA approved retention schedule
- Ability to execute disposition (delete or transfer to NARA for permanent preservation).



e-File Naming Conventions

Electronic records maintained in repositories like SharePoint, share drives etc. should follow these guidelines for standard naming conventions:

- Be self-explanatory and easily understandable
- Be unique but follow a consistent structure
- Not use terms such as “miscellaneous” or “general”
- Limit the character length to 25-35 characters
- Use leading 0s to facilitate sorting in numerical order
- Use a file extension, e.g. .docx, .pdf, .tiff, .xlsx
- Use mainly lowercase letters, except for the start of each word
- Use numbers and letters, but avoid special characters or spaces
- Consistently distinguish versions of working drafts
- Use international standard date notations to maintain order



Metadata

Metadata is data that describes and gives information about other data.

The metadata about a collection of records helps us:

- Retrieve and locate
- Manage
- Understand purpose and content
- Use and preserve

Metadata gives context to the content of the records





Digitization of Records

Digitization involves capturing analog records and transforming them into digital formats.

Things to consider when digitizing records:

- File Preparation
- Scanning
- Quality Check
- Quality Assurance
- Handling Physical Records
 - Accessed frequently?
 - Accessed by multiple users?
 - Remaining retention period?
 - Replacing records?



Consult with RIMU when considering digitization.



Records Disposition

Disposition are the actions taken when records are no longer needed for business use. Records are either maintained permanently by NARA or destroyed after a specified period.

If you have temporary inactive records that have met their full retention period, they are eligible for disposal.

- Fill-out ICE Records Disposition Form 8-002
- Send to RLO for concurrence
- Receive approval by RIMU

Please submit the 8-002 form and a listing of the records you are requesting to destroy to the RLO for signature. The RLO will then send to RIMU for final review and approval.



Legal Holds

A legal hold also called a litigation hold is the process of notifying offices/individuals to preserve specific records due to potential litigation. The legal hold suspends normal retention and destruction actions until the hold has been lifted.

- Legal Action is ongoing or pending
- Possible penalties for non-compliance
- Notify the Records Liaison Officer and RIMU

Legal holds also apply to records when the schedule is being revised.



Calculating Disposition Dates

Cutoff is usually grouped within fiscal/calendar years or based on an event e.g., "after case closure".

- End of fiscal year = September 30, XXXX
- End of calendar year = December 31, XXXX

The first available date after the full retention period has been met is the disposition date.

Detention Monitoring Reports - (DAA-0567-2015-0013-0005)

- Cutoff: 12/31/2019
- Retention: 3 years = must retain until 12/31/2022
- Disposal Date: January 1, 2023 (first date after end of retention)



On-site Records Disposal

DEPARTMENT OF HOMELAND SECURITY
U.S. Immigration and Customs Enforcement

RECORDS DISPOSITION FORM

1. Requester/Organization/Phone Number							2. Records Schedule/Disposition Item		
V. Harris/RIMU HQ/202-123-4567							GRS 1.1 item 010		
3. Records Liaison Officer (RLO) Signature (Requestor must have the RLO review/approve/submit this request.)							4. Transfer # (if applicable)		5. Request Date
[Signature]							[Transfer #]		01/02/2023
									5a. Description
3a. Records Officer (RO) Signature							FedEx Invoices 2014-2016		
[Signature]									
<input type="checkbox"/> 6. Records are stored within the agency									
7. Records Series/Description		8. Format	9. Volume	10. Location	11. Start Date	12. End Date	13. Close Date	14. Destruct/Transfer Date	15. Destruction Method (If applicable)
Financial Transaction Records		Paper	5 boxes	PCN 4th floor	10/01/2014	09/30/2016	09/30/2016	10/01/2022	Shredding
									If Other is selected specify here
									If Other is selected specify here
									If Other is selected specify here
									If Other is selected specify here
									If Other is selected specify here
To be completed by		Print Name		Signature			Date		Certification
16. DFOD, DSAC, or DAD, or above		[Name]		[Signature]			[Date]		I certify that to the best of my knowledge, these records are not subject to any current or pending audit*, litigation, subpoena, or other legal demand for their retention or disclosure, and they are being destroyed or transferred in accordance with the applicable, approved records schedule.



On-site Records Disposal

DEPARTMENT OF HOMELAND SECURITY
U.S. Immigration and Customs Enforcement

RECORDS DISPOSITION FORM

For destructions of records stored within the agency prepare a folder-level box listing and submit with this form.

1. Requester/Organization/Phone Number

Enter your name, organization and telephone number. The phone number should include the area code and, if applicable, an extension.

2. Records Schedule/Disposition Item

Enter the schedule number and the disposition item assigned to the records. For example:

GRS 5/3b - where "5" is the schedule number
and "3b" is the schedule item

You may only use approved records schedules to authorize records destruction. Each destruction form should contain the records under one disposition authority. Use a separate form for each disposition item.

3. Records Liaison Officer Signature.

Enter Digital Signature of the Records Liaison Officer.

3a. Records Officer Signature

Enter Digital Signature of the Records Officer.

4. Transfer Number

Enter the accession number of the FRC Physical Transfer number (PT), if applicable.

5. Request Date

Enter the request date of notification.

5a. Description

Enter description.

6. Records stored within the agency

- Check this box if the records are stored at an ICE Facility/ICE contractor facility.

7. Records Series/Description

Enter the records title and a brief description of the records and/or an internal identifier.

8. Format

Enter the format of the records (e.g., paper, electronic, photographic, microfilm, video, and sound recordings).

9. Volume

Enter the volume of record material being destroyed in cubic feet (cu ft). For paper records, report volume using one of the following:

- One letter-size file drawer holds *1.5 cubic feet (cu ft)*
- One legal-size file drawer holds *2 cubic feet (cu ft)*
- One standard records center carton holds *1 cubic foot (cu ft)*
- One cubic foot contains 2,000 sheets of paper
- One compact disk contains 2,000 sheets of paper.

For electronic records, report volume using one of the following:

- Total size of the files by the easiest and most logical unit (e.g., 2GB, 100MG, 100 KB),
- Number and type of media containing the data (e.g., ten 3.5" diskettes, 3CD-RWs, one 40 GB hard drive)

10. Location

Enter the storage location of the records.

Date Range

11. Start

Enter the earliest date of the records that are to be destroyed.

12. End

Enter the most recent date of the records (e.g., December 22, 2001-Jan 01, 2002, 2003-2006).



Proper Records Destruction

Destruction methods must ensure:

- Complete destruction of the records
- Sensitive (LES and PII) documents cannot be reconstructed
- Proper method was used for national security classified information

Shred or burn hardcopy materials

- Place in bags/boxes marked “burn” if available

Consult [NIST Standards](#) for electronic media





Unauthorized Destruction

Program Offices/Facilities, must report any unauthorized destruction of records to RIMU.

The report must contain the following details:

- Complete description including volume and dates of material
- Office of origin
- Exact circumstances surrounding the incident
- Details of any actions taken to salvage, retrieve, or reconstruct the records

By law, RIMU must report the incident to NARA.



Damaged Records

Damaged records must be reported via the Records Damage Assessment Site Survey. The assessment survey must include the following:

- Indicate if the records can be reproduced from other sources
- Details of how the records got damaged
- Cite records schedule(s) and date span(s)
- Pictures

