

Request for Records Disposition Authority

Records Schedule Number DAA-0060-2011-0019
Schedule Status Returned Without Action
Agency or Establishment Department of Justice
Record Group / Scheduling Group General Records of the Department of Justice
Records Schedule applies to Major Subdivision
Major Subdivision Office of Professional Responsibility
Schedule Subject Law Manager Case Tracking System
Internal agency concurrences will be provided No

Background Information

The Office of Professional Responsibility (OPR) was created by Attorney General Edward H. Levi in 1975 in response to revelations of ethical abuses and misconduct by Department of Justice (DOJ) officials in the Watergate scandal. Pursuant to 28 C.F.R. § 0.39a, OPR reports directly to the Attorney General and Deputy Attorney General. Under Attorney General Order No. 1931-94, OPR has jurisdiction to investigate allegations of professional misconduct by DOJ attorneys that relate to the exercise of their authority to investigate, litigate, or provide legal advice. In addition, OPR has jurisdiction to investigate allegations of misconduct by law enforcement personnel that are related to allegations of professional misconduct by attorneys within the jurisdiction of OPR. OPR also investigates other matters when requested by the Attorney General or Deputy Attorney General. OPR's mission necessarily requires it to report its findings to other DOJ components, to other governmental departments and agencies, or to Congress. OPR also responds to Freedom of Information Act (FOIA) and Privacy Act requests. OPR creates and maintains files comprised of matters within and outside of OPR's jurisdiction. In addition to Inspection Matters, Congressional Correspondence, Whistleblower Matters, Non-Department State Bar and Judicial Referrals, Referrals of Matters Outside OPR's Jurisdiction, OPR Counsel Records, OPR Deputy Counsel Records, OPR Associate Counsel Records, and Citizen Mail/Correspondence. In October 2008, OPR implemented the use of LawManager computer software from Bridgeway Company to maintain a permanent database tracking system for open and closed matters as part of its record-keeping system. LawManager runs on a Microsoft Windows operating system and a Microsoft SQL server. LawManager Case Management System (CMS) is designed to handle the day-to-day activities of the office. It was implemented

toward the greater objective of incorporating an integrated Document Management System (DMS) to compliment the CMS in creating a single uniform interface to meet all the needs of the OPR staff's daily activities

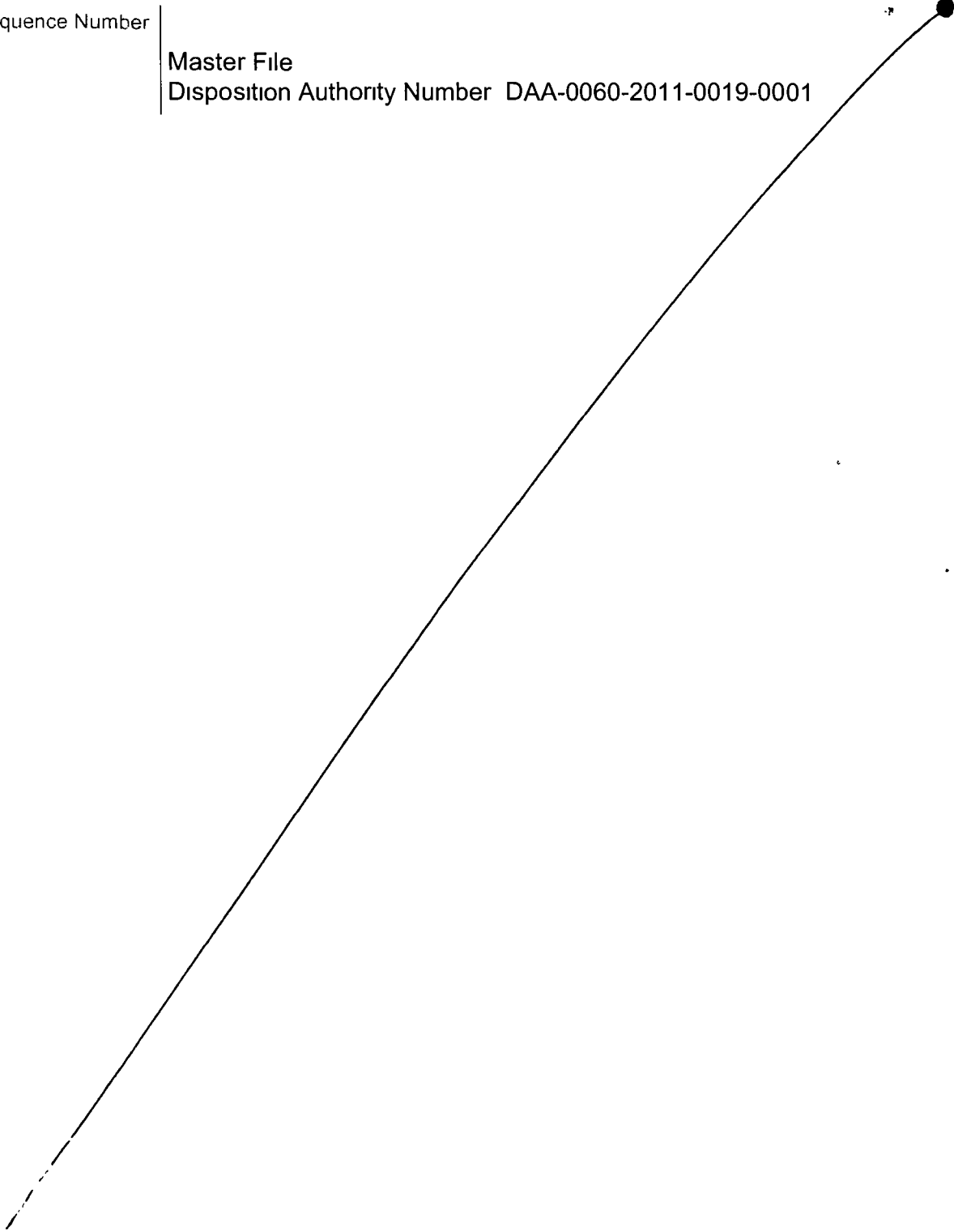
Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	1

GAO Approval

Outline of Records Schedule Items for DAA-0060-2011-0019

Sequence Number	
1	Master File Disposition Authority Number DAA-0060-2011-0019-0001



Records Schedule Items

Sequence Number	
1	<p data-bbox="388 414 545 446">Master File</p> <p data-bbox="388 468 1172 500">Disposition Authority Number DAA-0060-2011-0019-0001</p> <p data-bbox="388 521 1519 1744"> LawManager is an independent matter management and tracking system of the work on matter files, not a component of individual matter files. Files reside alongside, are coordinated with, and are linked to records in the DMS (OpenText DM), but are maintained separately. CMS tracks intake and resolution of all matters presented to OPR, to maintain an on-going record of file and attorney activity, to integrate information in the DMS (OpenText DM), to conduct searches in detail or tabular mode, and to create and generate reports and calendars. Designated OPR staff create CMS files and maintain the primary data fields in the CMS Matter files, which are used principally to track allegations of attorney misconduct, contain the following primary data categories (tabs) subjects, persons, allegations, matter notes, quarterly goals, records, status history, bar referrals, opened date, closed date, and disposition. LawManager facilitates the following digital capabilities: 1) Digital document identification, with linkage to author name and matter number; 2) Management and correlation of digital documents; 3) Coordinated records management through DMS; 3) Recording, indexing, and searching digital document descriptions and content; 4) Tracking of matter disposition; 5) Automatic updating of matter disposition; 6) Audit trail maintenance for digital documents; 7) Linking and tracking of versions of individual digital documents (Version Control); 8) Retrieving, sorting, and searching digital documents as part of individual cases in the CMS. LawManager has the following additional capabilities and features: <ul style="list-style-type: none"> •Interfacing with other government computers to obtain update-to-date biographical and contact information on DOJ employees •A more robust security application that not only controls levels of access to documents, but gives the network administrator exclusive control over the deletion of documents •An automated complaint intake capability, with automated matter number assignment, the tracking of persons associated with a matter, including the subject, complainant, and witnesses, and correlation with other matters or participants, with no duplication of complaints •Tracking of codes associated with allegations under review by OPR, with assignment of a closing code for each allegation •Ability to track FOIA/Privacy Act matters separately from inspection matters, as well as any litigation matters in which OPR may be involved •Report production to facilitate management review of matters and to produce official yearly reports that are distributed throughout the Department and to the public </p> <p data-bbox="388 1755 949 1798">Final Disposition Permanent</p> <p data-bbox="388 1808 949 1851">Item Status Withdrawn</p> <p data-bbox="388 1862 834 1904">Is this item media neutral? No</p>

Explanation of limitation	Master File of an Electronic Information System All outputs are covered under the GRS
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the calendar year
Transfer to the National Archives for Accessioning	Transfer to the National Archives 3 year(s) after cutoff
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	From 2008 To 2011
How frequently will your agency transfer these records to the National Archives?	Every 3 Years

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified

Signatory Information

Date	Action	By	Title	Organization
09/28/2011	Certify	Curt Francisco	Records Manager	JMD - OoRMP
02/13/2013	Return for Revision	Erin Cayce	Appraiser	National Archives and Records Administration - Records Management Services
05/06/2013	Return Without Action	Erin Cayce	Appraiser	National Archives and Records Administration - Records Management Services