

N1-118-09-4

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER	<del>N1-60-09-29</del> 4
1 FROM (Agency or establishment) U S Department of Justice		Date Received	7/30/09
2 MAJOR SUB DIVISION Executive Office for U S Attorneys		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER Gail C Ratliffe, National Records Manager	5 TELEPHONE 202 616 6876	DATE	ARCHIVIST OF THE UNITED STATES
6 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 on the attached _____ page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified. and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies.  <input checked="" type="checkbox"/> is not required                      is attached, or                      has been requested		BTM [Signature]	
DATE 11/27/2006	SIGNATURE OF AGENCY REPRESENTATIVE [Signature]	TITLE Director, ORMP	
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Executive Office for United States Attorneys and United States Attorneys' Offices (USAOs) Automated Case Management Systems	N1-60-99-1, N1-118-99-1 and NC1-60-83-8, paragraphs 1 and 2 b	

# Automated Case Management Systems

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## **Executive Office for United States Attorneys and United States Attorneys' offices**

The position of United States Attorney was established by the Judiciary Act of 1789 (1 Stat. 73, § 35), and the mission of the United States Attorneys' Offices (USAOs) is to prosecute criminal offenses and litigate civil matters on behalf of the United States in all 94 Federal judicial districts nationwide. 28 U.S.C. § 547. By Attorney General Order No. 8-53 (April 6, 1953), the Executive Office for United States Attorneys (EOUSA) was created to "[p]rovide general executive assistance and supervision to the offices of the United States Attorneys." 28 C.F.R. §0.22.

Per 28 C.F.R. §0.22, EOUSA is charged with publishing and maintaining a U. S. Attorney' Manual and a United States Attorneys' Bulletin for the internal guidance of the U. S. Attorneys' offices and those other organizational units of the Department concerned with litigation.

To assist in its mission, the EOUSA has developed and maintained automated case management systems, i.e. databases, that collect information from the 94 United States Attorneys' Offices (USAOs) regarding criminal and civil matters; cases and appeals; and personnel resources. The data is used primarily to justify budget requests, allocate resources among USAOs, and produce management reports. The data is compiled into an Annual Statistical Report at the end of each fiscal year. The information is also used to produce numerous periodical and ad-hoc reports for the Attorney General, the Office of Management and Budget, the General Accounting Office, Congress, various federal agencies, private sector organizations, and the public in general as a part of the Freedom of Information Act (FOIA).

The current EOUSA automated case management systems include two systems: the Legal Information Office Network System (LIONS) and a personnel resource tracking system (currently known as the USA-5 system). The first system stores basic information about the matters, cases and appeals themselves such as charges, statutes, and defendant sentencing. The second system tracks personnel resources in relation to the work required to prepare, defend, and prosecute the matters, cases, and appeals.

The USAOs utilize both systems to capture information related to the casework performed in their respective districts. The data for both systems are stored in consolidated databases located in a central location and are managed by the EOUSA Information Technology (IT) staff. The two systems' databases store data for all USAOs.

All statistical reporting for the personnel resource tracking system data is performed from the transactional database.

This schedule applies to EOUSA's Case Management and Personnel Resource Tracking systems and to future systems that may supersede or complement these systems with a similar purpose and function

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## A. Case Management System (currently LIONS)

### 1. Inputs.

- a. Data entry documents used as case management input/source records designed and used solely to create or update the records in the case management system (examples include: Civil Initiation Sheet, Criminal Initiation Sheet, Closing Sheet, Criminal Immediate Declination Sheet, etc.)

Disposition: **TEMPORARY** Destroy after data has been successfully captured, entered, and verified

*GRS 20/204*

- b. Case related documents (examples include: correspondence and court filings) used to create or update the records in the case management system

Disposition: File with associated case file or other appropriate file Destroy or transfer to NARA according to disposition instructions of the associated file.

*Filing Instruction*

2. Master File. The Case Management system maintains information related to matters, cases, and appeals handled by the USAOs. The system tracks the status of matters, cases, and appeals and enables USAO management to analyze litigation trends in order to project workloads and resource requirements. Data is copied on a monthly basis and imported into the national LIONS database

Disposition: **PERMANENT**. Cutoff is September 30 of each calendar year. For fiscal year 2009, transfer all closed cases as of September 30, 2009 to NARA no later than December 31, 2009. In subsequent years, transfer all cases closed within the fiscal year (October 1<sup>st</sup> through September 30<sup>th</sup>) to NARA within 90 days of the cutoff.

### 3. Outputs

- a. Miscellaneous Statistical Reports (Note: This does not include the Annual Statistical Report, which is covered under another records schedule and is **PERMANENT**)

Disposition: **TEMPORARY**. Destroy/delete at the end of the fiscal year or when incorporated in another record in which the records disposition schedule for that record will be followed.

- b. Workload Reports

Disposition: **TEMPORARY**. Destroy/delete at the end of the fiscal year or when incorporated in another record in which the records disposition schedule for that record will be followed.

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c. Administrative Reports

Disposition: **TEMPORARY** Destroy/delete at the end of the fiscal year or when incorporated in another record in which the records disposition schedule for that record will be followed

d. Ad Hoc Reports

Disposition: **TEMPORARY**. Destroy/delete at the end of the fiscal year or when incorporated in another record in which the records disposition schedule for that record will be followed. *GRS 20 / 16*

e. Correspondence and Other Documents

Disposition: **TEMPORARY**. Destroy/delete at the end of the fiscal year or when incorporated in another record in which the records disposition schedule for that record will be followed.

f. United States Attorneys' Annual Statistical Report

Disposition: **PERMANENT**. Cut off upon publication of the report. Accession both paper and electronic copies to NARA at the time of publication. Electronic accessions will meet NARA's requirements for accessioning electronic records stated in 36 CFR 1228.270, or the existing NARA requirements at the time of accessioning. (**Note: Proposed separate schedule for these reports to NARA June 2009**). *NI-60-09-18*

g. Monthly, Quarterly, and Annual Reports

Disposition **TEMPORARY**. Destroy/delete after information in monthly, quarterly, and annual reports is incorporated into the United States Attorneys' Annual Statistical Report or after the information is no longer needed for reference use or when incorporated in another record in which the records disposition schedule for that record will be followed.

h. Administrative Reports

Disposition: **TEMPORARY**. Destroy/delete at the end of the fiscal year or when no longer needed for reference use or when incorporated in another record in which the records disposition schedule for that record will be followed.

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### i. Ad Hoc Reports

Disposition: **TEMPORARY** Destroy/delete at the end of the fiscal year or when no longer needed for reference use or when incorporated in another record in which the records disposition schedule for that record will be followed.

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### 4. **System Documentation** System design specifications, operations and user manuals, code books, and other related system and data files

Disposition: **PERMANENT**. Cutoff is September 30 of each calendar year. Transfer a current copy of all documentation within 90 days of cutoff.

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## B. Personnel Resource Tracking System (currently USA-5)

### 1 Inputs. USAO personnel enter the number of hours they spend working on program categories of case-related work. Users generally work from memory or from personally maintained notes containing the data.

Disposition: **TEMPORARY** Destroy/delete after data has been successfully captured, entered, and verified.

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### 2. Master File. The Personnel Resource Tracking system maintains resource information for each USAO personnel. The system tracks the number of hours worked by program category.

Disposition: Disposition: **PERMANENT**. Cutoff is September 30 of each calendar year. For fiscal year 2009, transfer a complete copy of the database as of September 30, 2009 to NARA no later than December 31, 2009. In subsequent years, transfer a copy of all data saved to the database within the fiscal year (October 1<sup>st</sup> through September 30) within 90 days of the cutoff

### 3. Outputs

#### a. United States Attorneys Annual Statistical Report

Disposition **PERMANENT**. Cut off upon publication of the report. Accession both paper and electronic copies to NARA at the time of publication. Electronic accessions will meet NARA's requirements for accessioning electronic records stated in 36 CFR 1228.270, or the existing NARA requirements at the time of accessioning. (Note: Proposed separate schedule for these reports to NARA June 2009).

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b. Monthly and Annual Reports

Disposition: **TEMPORARY** Destroy/delete after information in monthly and annual reports is incorporated into the United States Attorneys Annual Statistical Report or after the information is no longer needed for reference use, or when incorporated in another record in which the records disposition schedule for that record will be followed.

c. Administrative Reports

Disposition: **TEMPORARY**. Destroy/delete at the end of the fiscal year or when no longer needed for reference use or when incorporated in another record in which the records disposition schedule for that record will be followed.

d. Ad Hoc Reports

Disposition **TEMPORARY**. Destroy/delete at the end of the fiscal year or when no longer needed for reference use or when incorporated in another record in which the records disposition schedule for that record will be followed

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4. System Documentation System design specifications, operations and user manuals, code books, and other related system and data files.

Disposition. **PERMANENT**. Cutoff is September 30 of each calendar year  
Transfer a current copy of all documentation within 90 days of cutoff.

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