

<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	11-118-11-1
1 FROM (Agency or establishment) U S Department of Justice		Date Received	2/9/11
2 MAJOR SUB DIVISION United States Attorneys' Offices		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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	5 TELEPHONE 202 252 6488	DATE	ARCHIVIST OF THE UNITED STATES
<b>WITHDRAWN</b>			
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 <sup>8</sup> 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,  is not required                      is attached, or                      has been requested			
DATE 2/3/2011	SIGNATURE OF AGENCY REPRESENTATIVE <i>Gail C Ratliffe</i>		TITLE National Records Manager
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Grand Jury Administrative Support Systems (See attached)		<b>WITHDRAWN</b>

# Grand Jury Administrative Support Systems

## U. S. Department of Justice

### Executive Office for United States Attorneys

#### A. Organizational Context:

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.

**B. System(s) Description:** United States Attorney's offices (USAOs) use a variety of databases in order to manage the Grand Jury work processes. This schedule is intended to cover the databases that track and/or log all grand jury workflow activity as a case moves through the indictment process, including issuance of case numbers, subpoenas, receipt and dissemination of Grand Jury transcripts, and scheduling of calendar events. These databases allow Assistant United States Attorneys (AUSAs), paralegals, docket technicians, and legal assistants within the USAO's, to monitor/track the status of grand jury activities efficiently. These systems are not the official repository for Grand Jury records. These databases are used on a "standalone" basis and can be classified in the following categories

#### 1. Grand Jury Case Tracking

- (a) System(s) Description:** This type of Grand Jury database is simply a log to track progress of the Grand Jury proceedings and identify the AUSA assigned to the case. Information can be used to issue and control case numbers for Grand Jury investigations.
- (b) Inputs:** Information is manually entered into the Grand Jury Administrative Support System(s). Input can be taken from email, telephone, field complaint and from magistrate worksheets. Information entered can include but is not limited to Grand Jury number, AUSA name, agency, and case name, defendant's name, charge, and disposition information, judge, upcoming court dates, date received etc.
- a. **Disposition: TEMPORARY.** Cut off is after the information has been entered into the system and verified. Destroy or place as appropriate in the official record file (e.g., case file) GRS 20 (2) a (4), GRS 20 (2) b, GRS 20 (2) c
- (c) Master File:** File contains all case numbers and other information entered in the database. The systems are developed using commercial off the shelf software. Data is updated as the case moves through the grand jury process. There is no system data dictionary. It also tracks dates records are requested and returned to grand jury files. Case data is updated as case moves through

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court process. The actual Grand Jury case file is kept separately and is not part of Grand Jury Database application.

- a. **Disposition: TEMPORARY:** Cut off is the end of the calendar year of the Grand Jury decision. Delete 3 years after cutoff.

**(d) Outputs:**

- (i) Reports - System users are able to generate electronic and hard copy tracking reports for administrative purposes.

- a. **Disposition: TEMPORARY.** Destroy/delete when no longer needed. GRS 20 (16).

**(e) System Documentation:** USAO's system requirements and design documents, and user manuals/guides/memos.

- a. **Disposition: TEMPORARY.** Destroy/delete system requirements, design documents, and user manuals/guides/memos when superseded/obsolete or upon authorized deletion of the related system, or when no longer needed for operational purposes such as reading and interpreting data, whichever is later. GRS 20 (11) a (1)

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### 2. Grand Jury Subpoenas Generation Tracking

**(a) System(s) Description:** The purpose of the system was to provide a means of tracking grand jury subpoenas from the time they were issued to the time they were returned to the grand jury. The system enables staff to issue subpoenas and/or print out logs of subpoenas. Subpoena identification information is logged so as to track subpoena progress. It enables staff to create a Grand Jury subpoena, the attachment, accompanying correspondence, and track significant information about the subpoena and its disposition. Certain Grand Jury Subpoena logs are used to track Grand Jury subpoenas as issued by AUSA and to track return of documents and appearances of grand jury witnesses for the grand jury of each office. Other systems are logs used to track Grand Jury subpoenas from date of issuance until compliance. They may track and retains presentations, witness testimony, subpoenas issued, and indictments.

**(b) Inputs:** Information is manually entered into the Grand Jury Administrative Support System(s) by the legal administrative assistant and/or Grand Jury coordinator based on information from the Grand Jury subpoenas as they are created. Data used may be from a draft subpoena copy or email. The system may use the EOUSA Automated Case Management System Legal Information Office Network System (LIONS) database USAO-ID or case number as that is the main identifier of cases used in the USAOs. Other than the common use of the USAO-ID, the system does not interact in any way with other systems

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Information entered includes but is not limited to. assigned AUSA, the USAOID, USAO case number, institution name, case names, agent name/phone number, and 6e letter information, Grand Jury number, subpoena information, subpoena number, and the party to which the subpoena is issued, purpose of subpoena, dates (to include: the issue date, date response received, and date forwarded to paralegal date returned to the grand jury), and notes (usually about the disposition of the material) are recorded.

- a. **Disposition: TEMPORARY.** Destroy or place as appropriate in the official record file (e.g., case file) input documents after the information has been entered into the system and verified. ) GRS 20 (2) a (4) GRS 20 (2) b, GRS 20 (2) c.

(c) **Master File:** The systems are developed using commercial off the shelf software and information includes, subpoena activity identifiers, subpoena information, It also contains data on all subpoenas tracked via the system Database contains all case numbers and other information entered in the database Each subpoena has a unique number. Data is updated as the case moves through the grand jury process There is no system data dictionary Includes names and addresses of office locations, attorneys, grand jury names, witness names and addresses.

- a. **Disposition: TEMPORARY:** Cut off is the end of the calendar year of the Grand Jury decision. Delete 3 years after cutoff.

(d) **Outputs:**

(i) Reports - System users are able to generate electronic and hard copy tracking reports for administrative purposes.

- a. **Disposition: TEMPORARY.** Destroy/delete when no longer needed. GRS 20 (16).

(ii) Grand Jury logs- Some Grand Jury logs are printed prior to each monthly Grand Jury session and reviewed by supervisory AUSAs to assure document returns are timely and documents returned are appropriately returned to agencies or destroyed.

- a. **Disposition: TEMPORARY.** Destroy/delete when no longer needed. GRS 20 (16).

(iii) Subpoena – Some systems can produce a Grand Jury subpoena

- a. **Disposition: TEMPORARY.** Original subpoenas are maintained in the legal case file and the governing disposition authority (SF-115) applicable to that case file controls disposition .

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- (e) **System Documentation:** USAO's system requirements and design documents, and user manuals/guides/memos.
- a **Disposition: TEMPORARY.** Destroy/delete system requirements, design documents, and user manuals/guides/memos when superseded/obsolete or upon authorized deletion of the related system, or when no longer needed for operational purposes such as reading and interpreting data, whichever is later. GRS 20 (11) a (1).

### 3. Grand Jury Indictment Tracking

- (a) **System(s) Description:** The purpose of the system was to provide a means of tracking grand jury indictments from the time they were issued.
- (b) **Inputs:** Legal administrative assistant and/ or Grand Jury coordinator inputs information. Information entered includes but is not limited to: defendant's name, USAO ID number, agent/agency, and disposition, case name, defendant, indictment date, type of case, assigned AUSA.

- a **Disposition: TEMPORARY.** Destroy or place as appropriate in the official record file (e.g., case file) input documents after the information has been entered into the system and verified. GRS 20 (2) a (4). GRS 20 (2) b, GRS 20 (2) c.

- (c) **Master File:** All indictments and information associated with each Grand Jury.

- a **Disposition: TEMPORARY:** Cut off is the end of the calendar year of the Grand Jury decision. Delete 3 years after cutoff.

(d) **Outputs:**

- (i) Reports - System users are able to generate electronic and hard copy tracking reports for administrative purposes.

- a **Disposition: TEMPORARY.** Destroy/delete when no longer needed GRS 20 (16)

- (e) **System Documentation:** USAO's system requirements and design documents, and user manuals/guides/memos.

- a **Disposition: TEMPORARY.** Destroy/delete system requirements, design documents, and user manuals/guides/memos when superseded/obsolete or upon authorized deletion of the related system, or when no longer needed for operational purposes such as reading and interpreting data, whichever is later. GRS 20 (11) a (1).

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### 4. Grand Jury Court Reporting Expense Tracking

(a) **System(s) Description** This tracking system is used by legal assistants and contracting officers with authority to order transcripts and schedule and obligate funds for court reporter appearances fees under BPAs and purchase agreements. The call number and obligation are recorded in the system throughout the month by designated callers (legal assistants.) The tracking system is also utilized by Finance to ensure adequate funds are available in the contract when transcripts are ordered or appearances are scheduled. The Finance Department then uses the system to check the status of outstanding obligations and to adjust the overall contract within Financial Management Information System (FMIS) at the end of each month to reflect the actual obligations outstanding.

(b) **Inputs:** Inputs are recorded in the system throughout the month by designated callers e.g. legal assistants and contracting officers. User inputs include but are not limited to: call number, date of call, name of employee placing the order, account class information, the estimated amount of the obligation, the date services are received, the final cost and the date the invoice is received.

a. **Disposition: TEMPORARY.** Destroy after the information has been entered into the system and verified. GRS 20 (2) a (4)

(c) **Master File:** System tracks use and expense of court reporters to ensure adequate funds are available in the contract when transcripts are ordered or appearances are scheduled. System enables Finance staff to adjust contract(s) monthly to reflect and meet outstanding obligations

a. **Disposition: TEMPORARY:** Cutoff is fiscal year Delete 2 years after cutoff. GRS 23 (8)

### (d) **Outputs:**

(i) **Call Logs-** Call logs are printed monthly, attached to the Blanket Purchase Agreement (BPA) or Purchase Order (PO) and maintained in the acquisitions/budget file.

a. **Disposition: TEMPORARY.** Cut off is monthly Destroy according to the disposition guidance for acquisitions/budget file. GRS 3 (3).

(ii) **Ad hoc queries** printed or viewed on-line.

a. **Disposition: TEMPORARY.** Destroy/delete when no longer needed GRS 20 (16)

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- (e) **System Documentation:** USAO's system requirements and design documents, and user manuals/guides/memos.
- a. **Disposition: TEMPORARY.** Destroy/delete system requirements, design documents, and user manuals/guides/memos when superseded/obsolete or upon authorized deletion of the related system, or when no longer needed for operational purposes such as reading and interpreting data, whichever is later GRS 20 (11) a (1).

### 5. Grand Jury Transcript Tracking

- (a) **System(s) Description:** It is an electronic system that tracks receipt and dissemination of all court transcripts Database contains all transcript data and tracking information and a log of incoming mail to verify receipt of documents pertaining to Grand Jury investigations Certain Grand Jury Transcript systems provide for an online version/copy of all grand jury transcripts. A Compact Disc ( CD) or similar electronic format of each Grand Jury session is provided to the USAO by the court reporter organization and the transcript is copied to a file in the USAO's shared network
- (b) **Inputs:** Information is manually entered into the Grand Jury Administrative Support System(s). The Grand Jury coordinator accesses the Grand Jury Transcript log and inputs information. Information entered includes but is not limited to: case name, USAO ID number, AUSA attorney, paralegal, legal assistant, agent assigned to the case, witness's name, the testimony date, the date transcript received, number of transcript pages, date of indictment, and if a copy is provided the defense attorney. In creating an online version/copy of a transcript, each CD is copied to a text file on a shared network
- a. **Disposition: TEMPORARY.** Once entered and verified, original transcript CD is placed in the record file. Original transcripts CD are maintained in the legal Grand Jury records with the governing disposition (SF-115) applicable to that case file controls disposition.
- b. **Disposition: TEMPORARY.** Other inputs destroy or place as appropriate in the official record file (e.g , case file) input documents after the information has been entered into the system and verified. GRS 20 (2) a (4)
- (c) **Master File:** The systems are developed using commercial off the shelf software. Database contains all Case numbers and other information entered in the database. Data is updated as the case moves through the grand jury process. There is no system data dictionary. The file enables staff to track transcripts used and locations, and dates records are requested and returned to grand jury files. Database contains all transcript data and tracking information

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- a. **Disposition: TEMPORARY:** Cut off is the end of the calendar year of the Grand Jury decision. Delete 3 years after cutoff.

### (d) Outputs:

- (i) Reports - System users are able to generate electronic and hard copy tracking reports for administrative purposes

- a. **Disposition: TEMPORARY** Destroy/delete when no longer needed. GRS 20 (16)

- (ii) Transcripts- Some systems provide online version/copy of transcripts

- a. **Disposition: TEMPORARY** Original transcripts are maintained in the legal Grand Jury records with the governing disposition (SF-115) applicable to that case file controls disposition

- b. **Disposition: TEMPORARY.** Electronic copies delete when the USAO determines that they are no longer needed for administrative, legal, audit, or other operational purposes GRS 20 (12) b.

- (e) **System Documentation:** USAO's system requirements and design documents, and user manuals/guides/memos.

- a. **Disposition: TEMPORARY.** Destroy/delete system requirements, design documents, and user manuals/guides/memos when superseded/obsolete or upon authorized deletion of the related system, or when no longer needed for operational purposes such as reading and interpreting data, whichever is later. GRS 20 (11) a (1).

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## 6. Grand Jury Scheduling and Calendars

- (a) **System(s) Description.** The Grand Jury Scheduling and Calendar Databases are calendar tracking databases for Grand Jury events. Certain calendar systems are web-based while other systems are traditional electronic calendar systems that enables the AUSAs to schedule time to present evidence and bring forth witnesses in front of the Grand Jury. Other calendar systems include the tracking of appearances of grand jury witnesses before the grand jury

- (b) **Inputs:** Information is manually entered into the Grand Jury Administrative Support System(s) by the AUSA or the AUSA's legal assistant. Input includes but is not limited to. AUSA's name, requesting time, date, and amount of time needed, USAO ID number, the agent name and subpoena information to include witness name.

- a. **Disposition: TEMPORARY.** Destroy or place as appropriate in the official record file (e.g., case file) input documents after the



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information has been entered into the system and verified GRS 20 (2) a (4).

(c) **Master File:** The systems are developed using commercial off the shelf software and information includes grand jury workflow including scheduling, subpoena activity identifiers, subpoena information, case number, transcript tracking, reporting call logs, date of Grand Jury decision, etc.

a **Disposition: TEMPORARY:** Cut off is the end of the calendar year of the Grand Jury decision Delete 3 years after cutoff

(d) **Outputs:**

(i) Reports - System users are able to generate electronic and hard copy tracking reports for administrative purposes.

a **Disposition: TEMPORARY.** Destroy/delete when no longer needed. GRS 20 (16)

(e) **System Documentation:** USAO's system requirements and design documents, and user manuals/guides/memos.

a **Disposition: TEMPORARY.** Destroy/delete system requirements, design documents, and user manuals/guides/memos when superseded/obsolete or upon authorized deletion of the related system, or when no longer needed for operational purposes such as reading and interpreting data, whichever is later. GRS 20 (11) a (1).

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