

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

FEDERAL BUREAU OF PRISONS

2. MAJOR SUBDIVISION

CENTRAL OFFICE

3. MINOR SUBDIVISION

(SEE ATTACHED)

4. NAME OF PERSON WITH WHOM TO CONFER

OMAR HERRAN

5. TELEPHONE

(202) 514 - 2254

LEAVE BLANK (NARA use only)

JOB NUMBER

71-129-04-6

DATE RECEIVED

6-4-2004

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

7/30/05

ARCHIVIST OF THE UNITED STATES

Robert Weinsten

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 now needed 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

4/25/04

SIGNATURE OF AGENCY REPRESENTATIVE

Omar Herran

TITLE

CHIEF, INFORMATION MANAGEMENT OFFICE

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

(SEE ATTACHED)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

cc Agency NR DWMD, NWME, NWMA, NWCT

Authority:	Item#	Approved:
Major Sub: Central Office	Physical Medium: Electronic	Dated:
Minor Sub: IPPA / Office of Research and Evaluation		
Item Name: ORE KI/SSS		

OFFICE OF RESEARCH AND EVALUATION

Part of the Information, Policy, and Public Affairs Division, the Office of Research and Evaluation (ORE) was created in the 1960's. The mission of ORE is to provide information relevant to current and future questions in the field of corrections by conducting social science research. ORE's primary functions include: Conducting policy impact analyses, performing evaluative and basic research studies, developing and maintaining management information systems, producing technical and statistical reports, responding to information requests, providing technical assistance, reviewing and processing research proposals.

KEY INDICATORS STRATEGIC SUPPORT SYSTEM (KI/SSS)

KI/SSS consists of a CD-ROM and Intranet-based information system designed to provide the managers with on-demand access to information required to monitor and evaluate institutional performance, and to provide support for policy formulation and policy impact assessment. Key Indicators has been in continuous, uninterrupted, monthly publication since June 1989 and is currently available at all BOP locations.

1 - KI/SSS INPUTS:

Nearly all information contained in Key Indicators (99%+) comes from the Bureau's existing operational data systems, such as SENTRY, NFC, and FMIS. KI/SSS also tracks the results of the Prison Social Climate Survey (PSCS), a nationwide yearly survey administered by ORE. Other inputs used by KI/SSS are items coming from the Correctional Services misconduct and urine surveillance information and a small number of components in the Executive Staff Management Indicators (ESMI) report.

A. SENTRY MAINFRAME EXTRACTIONS

Virtual mainframe extractions from DOJ's Dallas Data Center, of the SENTRY Automated System records, a few records dating as far back as 1981, consisting of inmate, financial, and Bureau site information. They are organized by geographic region, security level, and facility classification, and other aggregate groupings. The data is compiled and updated monthly, quarterly, by fiscal year, and/or by calendar year.

Disposition: Temporary

Guidance: Destroy when no longer needed for longitudinal studies and for reference purposes.

B. NATIONAL FINANCE CENTER (NFC)

NFC bear tapes created from data extractions from DOJ's Dallas Data Center NFC services. Also, includes a collection of locally available ORE CD-ROM discs containing source NFC data collected since 1993. There is also data from JUNIPER, the predecessor of NFC, which dates back to 1986. This data contain BOP's personnel demographics information including

grade, salary, leave usage, gender, ethnic background, and race among other data elements associated with Bureau employees.

Disposition: Temporary

Guidance: Destroy when no longer needed for longitudinal studies and for reference purposes.

C. EXECUTIVE MANAGEMENT INDICATORS (ESMI)

Inputs in the form of dBase files, spreadsheet files, and ASCII data (1997-), from the BOP's Central Office divisions such as Administration, Correctional Services, General Counsel, and Health Services division among other contributors. The data include cost per capita, inmate medical costs, staff overtime costs, results of program reviews, and EEO complaints counts among other data collected by management to provide executive-level indicators in a variety of areas.

Disposition: Temporary

Guidance: Destroy when no longer needed for longitudinal studies and for reference purposes.

D. FINANCIAL MANAGEMENT INFORMATION SYSTEM (FMIS)

ASCII data files and spreadsheet files collected since 1991 originating from DOJ's Dallas Data Center in support of BOP's FMIS operations. Contains financial operational cost information organized by program and by institution.

Disposition: Temporary

Guidance: Destroy when no longer needed for longitudinal studies and for reference purposes

E. PRISON SOCIAL CLIMATE SURVEY (PSCS)

Nationwide Paper-based yearly survey forms (1988 -, results automated on the intranet from 1995 -), collecting socio-demographics, quality of life, personal safety and security concerns, inmate assault and use of force issues, work environment, and living and housing costs among other input areas and opinions directly from Bureau staff. Paper surveys are also scanned and stored for reference and ongoing research in addition to data compilation for KI/SSS purposes.

Disposition: Temporary

Guidance: Destroy when no longer needed for longitudinal studies and for reference purposes.

F. CORRECTIONAL SERVICES MISCONDUCT AND URINE SURVEILLANCE

Summarized spreadsheet data (1984-), inputs from urine surveillance and drug specific test results come directly from a commercial lab tasked by BOP to gather and summarize results. ASCII files (1984-), containing correctional services inputs of institutional-level misconduct data, such as assaults, deaths and escapes.

Disposition: Temporary

Guidance: Destroy when no longer needed for longitudinal studies and for reference purposes.

2 - KI/SSS OUTPUT

Reports and fact sheets are created by selecting from a wide variety of data elements referred to as "targets." Targets are aggregate groupings of data, such as institution (overall and detailed facility), geographic location, facility classification, security level, BOP overall, and whether the operation is conducted by BOP or private contractors, among other correctional-related variables within the agency's prison operations.

Data output can be manipulated using a menu of 600 different display items. These reports/fact sheets may be printed or saved as HTML, JPEG, and/or PDF electronic file. Graphic displays can be printed, or saved as GIF, EMF, or WMF files.

A. Fact Sheets

Fact Sheets (1986-), are a collection of condensed information on a page that incorporates a number of data elements for a single location (target) and for a single point in time. Specifying multiple targets will result in generation of multiple Fact Sheets. Some specific Fact Sheet reports are capable of providing summary of information over time. All Fact Sheet reports can be printed or exported regardless of the number of pages or sections generated.

B. Tabular Reports

Tabular Reports (1988-), are typically produced as a single document, regardless of the number of target or time points; it is a single document for each unique table in the user's request, independent of the number of targets the user selected or the time span involved in the request.

C. Graphic Reports

Graphic Reports (1988-), are produced as a separate document per target. Multiple individual graphs can be printed on the same page if desired. Most graphs have a tabular representation also.

C. KI/SSS LIMITED OFFICIAL USE OUTPUT

KI/SSS output deemed sensitive and requiring controlled access such as OIA Cases: open and closed cases which do not contain classified information but are considered sensitive to DOJ/BOP operations. Examples of this may include functions such as percentage of positions filled, information from the Office of Internal Affairs (OIA) such as EEO complaints and employee misconduct cases.

Disposition: Temporary

Guidance: Destroy when no longer needed for reference purposes.

3 - KI/SSS DATA

Electronic aggregate data in Prodas/SAS format, derived primarily from the SENTRY system but also from systems such as FMIS, ESMI, and NFC among others. Data includes aggregate information on inmate sentence data, inmate population, inmate assignments, inmate program participation, criminal activity, inmate custody classification and inmate security level, average daily population of inmates and percent capacity for all institutions; number of inmates admissions and discharges, number of monthly furloughs, monthly summaries of the workloads of medical providers as well as a summary of infectious diseases and HIV cases for inmates, number of guilty findings for prohibited acts in a particular institution; monthly summarized data from the administrative remedies, institutional filings, central office and regional appeals detailing issues such as timeliness of response, the number and percent that were submitted, rejected, filed, answered, and granted by subject, and the reasons for rejection. Summarized data on significant incidents, escapes and inmate deaths and assaults, use of force such as duration of hard and soft restraints, restraints methods such as use of stun gun or streamer, and emergency or calculated use of force originating from Correctional Services. Also available are monthly aggregates of open and closed internal affairs cases with all the allegation types and statistical numbers in an averaged time. Other types of data are the urinalysis and drug specific test results, data coming from the prison social climate surveys consisting of studies of personnel safety and security at BOP institutions, quality of life, work environment, demographics of BOP personnel, personal well-being, staff sexual misconduct, staff behavior, staff interest, supervisors and management attention, and GED programs among other aggregate data on prison operations.

Disposition: Permanent

Guidance: Transfer a copy of the data set to NARA in 5-year increments when oldest data cluster is 25 years old.

4 - KI/SSS SYSTEM DOCUMENTATION

A. System and User Documentation

User's guides, CD technical documentation, online help, and database documentation.

Disposition: PERMANENT. Transfer current system and user documentation at the time of transfer of the system master file [Item (3) KI/SSS Data above].

B. System Programming Documentation

Prodas and SAS among other programming code and embedded documentation, operating system and other commercial documentation.

Disposition: TEMPORARY. Destroy when superceded or no longer needed for reference purposes, whichever is later.