

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
 Program Review Division

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
 Omar Herran

5. TELEPHONE
 (202) 514-2254

LEAVE BLANK (NARA use only)

JOB NUMBER
 NI-129-99-9

DATE RECEIVED
 2-19-99

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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
 2-23-01

ARCHIVIST OF THE UNITED STATES
 J. W. Carl

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
 2-19-99

SIGNATURE OF AGENCY REPRESENTATIVE
 Omar Herran

TITLE
 Information Mgmt. Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>SEE ATTACHED</p> <p>All changes to this proposed schedule have been approved by:</p> <p><u>Cary C. Conn</u> <u>11/1/2000</u> <u>Omar Herran</u> <u>11/1/00</u> NARA appraiser date Agency representative date</p> <p><i>Agency, NIWDC, NR</i></p>		

**BUREAU OF PRISONS - PROGRAM REVIEW DIVISION
RECORDS OF THE SENIOR DEPUTY ASSISTANT DIRECTOR
PROGRAM REVIEW BRANCH, EXECUTIVE ASSISTANT**

The Program Review Division's (PRD) main function is to conduct internal audits of all BOP programs. The Program Review Branch is comprised of 15 program sections, each corresponding to a BOP Division or portion thereof (health services, facilities, etc.) The review teams consist of a PRD staff member and two or more field staff with considerable experience in the area under examination. Approximately 500 reviews are performed annually. All operations are slated for a triennial review, with two- or one-year intervals if deficiencies are found.

1. REFERENCE FILES

Copies of documents that need to be referred to during the course of a review such as outgoing memoranda, notifications of review, official closures, notification of an institution's response.

Disposition: *TEMPORARY Destroy when 3 years old*

**BUREAU OF PRISONS - PROGRAM REVIEW DIVISION
RECORDS OF THE PROGRAM REVIEW BRANCH**

The major function is the coordination of all outside reviews (General Accounting Office, Department of Justice, etc) of BOP operations. Staff members also provide technical support for PRD's LAN responsibilities, and review justifications for any sole source contracting.

2. AUDIT FILES

Documents created and accumulated in the course of outside reviews by GAO, DOJ's OIG, the Justice Management Division (JMD) and the Office of Personnel Management. Topics include cost reimbursement, ammunition purchase, and telephone security in the central office. Series also includes periodic reports from the Director to JMD or the Attorney General.

Disposition: *TEMPORARY Destroy when 5 years old*

**BUREAU OF PRISONS - PROGRAM REVIEW DIVISION
RECORDS OF THE PROGRAM ANALYSIS BRANCH**

The Program Analysis (PA) Branch was established in 1988, its primary task is to track field information for any discernible trends, and to keep the Director and Executive Staff informed thereof. PA developed the Executive Staff Module (ESM), which is a component of the KI/SSS. The branch works with ORE in maintaining and updating the module. PA inherited

The branch works with ORE in maintaining and updating the module. PA inherited responsibility for the Executive Staff papers (N1-129-90-1 item 5), which the Executive Secretariat formerly handled, and also maintains other automated systems and the Institution Character Profiles.

3 "BLUE BOOKS"

Statistics compiled for each Executive Staff quarterly meeting. The data comes from a variety of sources KI/SSS, interviews, and other automated systems. Present practice is to concentrate on one category of institution per meeting: medium-level at the first quarter, camps at the second, and so forth. A brief overview is provided of each facility (communications, morale, use of overtime, inmate complaints, utilization of Community Corrections Centers, etc.), as well as numerous graphs correlating information from the institutions.

Disposition: *PERMANENT Transfer to the National Archives in 5-year blocks when most recent record is 30 years old*

4. EXECUTIVE STAFF BRIEFING BOOKS (formerly EXECUTIVE STAFF PAPERS)

Arranged chronologically and thereunder numerically. Minutes, agendas, correspondence, position papers, background reports, progress reports, drafts of policy statements, and other materials used by members of the Bureau's Executive Staff in reaching decisions on policies and programs. The Executive Staff consists of the Bureau's Director, Assistant Directors, Regional Directors, and General Counsel, as well as the Executive Director of the National Institute of Corrections. The Executive Staff Papers were compiled as reference materials for the bimonthly meetings of the Executive Staff.

Disposition: *PERMANENT Transfer a complete set to BOP Archives annually Transfer to the National Archives in 5-year blocks when most recent record is 30 years old. (This item supercedes record schedule number N1-129-90-1-5)*

5. INSTITUTION CHARACTER PROFILES

Triennial reviews, of each institution, are prescribed by PS 1070.06. Regional directors order the ICPs and also select the review team. Categories include introduction, warden's background statement, biographies of the Executive Staff, executive summary and evaluation. Major topics addressed are inmate morale, staff morale, security and community relations. Documents are considered sensitive.

Disposition: *PERMANENT Transfer to the National Archives in 5-year blocks when most recent record is 30 years old*

**BUREAU OF PRISONS - PROGRAM REVIEW DIVISION
RECORDS OF THE STRATEGIC MANAGEMENT BRANCH**

The Strategic Management Branch is responsible for three program areas institutional accreditation, management assessment and strategic planning.

6. ACCREDITATION FILES

Reports, correspondence, memoranda and other documentation generated in the course of certifying that a facility meets accepted professional standards, which are issued by the American Correctional Association (ACA) The ACA reports also include a description of the accreditation process; the follow up documents provide descriptions of the facility, pre-audit meeting, the review process, interviews with inmates and staff and exit discussions, and the certification.

Disposition: *TEMPORARY Destroy when superceded*

7. MANAGEMENT ASSESSMENT FILES

Case files establishing and/or revising the triennial audit process Each program area is examined to develop review guidelines, which will provide both a systematic assessment of strengths and weaknesses and a reliable method of gauging compliance with agency policy and procedures. Each program is broken into components, each component into steps, and the steps are analyzed for the level of risk (there are, for example, five steps within inmate admissions). Higher risk areas require correspondingly higher levels of official regulation (i.e., program statements or operations memoranda). Categories within the final management assessment include the mission statement, vital functions and their links to the guidelines, risk analysis, statistical data, and the program review guidelines Interim documentation includes draft guidelines and critiques thereof, status reports, worksheets, and facilitative correspondence and memoranda.

Disposition: *TEMPORARY Destroy after 3 years, or when no longer needed for reference or administrative purposes, whichever is later.*

8. STRATEGIC PLANNING FILES

Electronic file (WP and a modified version of Clipper) of quarterly updates and revisions to the agency's strategic plan. Institutional reports are compiled in the regions, which forward them to the Strategic Management Branch. A staff member in turn compiles the information on a national level and sends it to the divisions, which provide their updates and return the files to SMB. The staff member then performs final compilations and edits the information; the end product is included in the briefing books provided to Executive Staff

A. Hard copy reference files.

Disposition: *TEMPORARY Destroy when 1 year old or no longer needed for reference or administrative purposes, whichever is later*

B. Electronic files.

Disposition: *TEMPORARY Delete when superseded or no longer needed for reference or administrative purposes, whichever is later.*

9. ELECTRONIC MAIL AND WORD PROCESSING RECORDS.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by items 1- 7 Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

A. Copies of records covered by items 1-7 that have no further administrative value after the first recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: *TEMPORARY Destroy/delete within 180 days after the recordkeeping copy has been produced*

B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy

Disposition: *TEMPORARY Destroy/delete when dissemination, revision, or updating is completed*