

Request for Records Disposition Authority

Records Schedule Number DAA-0527-2013-0014

Schedule Status Modified Approved Version

Agency or Establishment **Marshals Service**

Record Group / Scheduling Group **Records of the United States Marshals Service**

Records Schedule applies to **Major Subdivision**

Major Subdivision **Office of Inspection**

Minor Subdivision **Office of Compliance Review**

Schedule Subject **Program Review Files and Workpapers**

Internal agency concurrences will be provided **No**

Background Information The Office of Compliance Review (OCR) conducts scheduled reviews of the United States Marshals Service district and division offices to ensure compliance with established regulations and policies. OCR issues reports of findings and requires periodic feedback from the districts and divisions reflecting corrective actions taken as necessary.

The United States Marshals Service handles judicial security, apprehends federal fugitives, manages asset seizure and forfeiture, houses and transports federal prisoners, and operates the federal Witness Security Program.

ACCESS RESTRICTION: FOIA Exemptions 6 (personal privacy) and 7 (law enforcement records)

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 2 | 0 | 2 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0527-2013-0014

| Sequence Number | |
|-----------------|--|
| 1 | Office of Compliance Review (OCR) Final Audit Reports Disposition Authority Number: DAA-0527-2013-0014-0001 |
| 2 | Audit Working Papers and Correspondence Disposition Authority Number: DAA-0527-2013-0014-0002 |

Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p>Office of Compliance Review (OCR) Final Audit Reports</p> <p>Disposition Authority Number DAA-0527-2013-0014-0001</p> <p>OCR issues a Final Audit Report of findings and recommendations following each district/division audit. OCR requires periodic feedback from the district/division reflecting corrective actions taken as a result of the report.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>GRS or Superseded Authority Citation N1-527-97-009 / 1</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Reports are closed when the district/division completes its corrective actions.</p> <p>Retention Period Destroy 7 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 2 | <p>Audit Working Papers and Correspondence</p> <p>Disposition Authority Number DAA-0527-2013-0014-0002</p> <p>During an audit, OCR will generate working papers and correspondence relative to the audit questions.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in</p> |

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data?

No

GRS or Superseded Authority Citation

N1-527-97-009 / 2

Disposition Instruction

Retention Period

Destroy immediately after the closure of the district/division's subsequent audit.

Additional Information

GAO Approval

Not Required

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 |
|------------|--------------------------|-------------------|---|--|
| 01/09/2013 | Certify | Robin Wise | Records officer | United States Marshals Service - Office of Policy and Records Management |
| 02/06/2013 | Return for Revision | Dave Miller | Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 11/08/2013 | Submit For Certification | Heidi Schroeder | Technical Writer | Management Support Division - Office of Policy and Records Management |
| 11/14/2013 | Certify | Sharilyn Connally | Assistant Chief | Management Support Division - Office of Policy and Records Management |
| 07/08/2014 | Submit for Concurrence | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 07/10/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 07/10/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 07/17/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |