

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
		JOB NUMBER <u>N1-129-10-3</u>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date Received <u>7/8/10</u>	
1 FROM (Agency or establishment) FEDERAL BUREAU OF PRISONS		NOTIFICATION TO AGENCY	
2 MAJOR SUB DIVISION CENTRAL OFFICE - NATIONAL INSTITUTE OF CORRECTIONS		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER OMAR HERRAN	5 TELEPHONE 202-514-4563	DATE <u>4/21/11</u>	ARCHIVIST OF THE UNITED STATES <u>[Signature]</u>
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 <u>6</u> 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 <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <u>5/19/2010</u>	SIGNATURE OF AGENCY REPRESENTATIVE <u>[Signature: Omar Herran]</u>		TITLE INFORMATION MANAGEMENT OFFICER
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED - MEDIA NEUTRAL SCHEDULE As with NARA business process and general policy, all new SF-115 are assumed Media Neutral unless otherwise specified. Hence, this Authority applies and covers Media Neutral record holdings. NOTE: These are currently covered by Authority N1-129-99-14. Current NARA interpretation requires a new SF 115 to include Media Neutral coverage. Hence this Authority is issued to vest Media Neutral format status to the existing schedule.		

BUREAU OF PRISONS - NATIONAL INSTITUTE OF CORRECTIONS

RECORDS OF THE DIRECTOR AND DEPUTY DIRECTOR

1. ADMINISTRATIVE FILES

Correspondence, memoranda, reports, legislative and congressional files, budget documents and chronological files. Correspondents include academics and other subject-matter experts, professional organizations, other components of the Department of Justice and other federal agencies. Also included are minutes and backup material of meetings of the 'executive team,' an NIC-level equivalent of BOP's executive staff.

~~a. Executive Team Files. Disposition: PERMANENT. Transfer to the National Archives in 5-year blocks when most recent record is 20 years old.~~

b. Remaining material. Disposition: Temporary. Destroy when 10 years old.

*Withdrawn
per email
from agency
date 6/15/2010*

RECORDS OF THE NIC ADVISORY BOARD

The National Institute of Corrections (NIC) was established in 1974 to provide training, technical assistance, information and assistance with policy and program development in the field of corrections. Its enabling legislation, PL 93-415, created an advisory board to determine policy and assist in setting priorities.

2. MEETING MINUTES AND RELATED FILES

Board meetings are held quarterly. Typical contents of the minutes include reports from NIC's subdivisions and from some of the federal agencies who have MOUs or other working relationships with NIC (Parole Commission, Bureau of Justice Statistics, National Institute of Justice, etc.), upcoming conferences, and future budget and program plans. In addition to the minutes, there is a considerable amount of ancillary material, including briefing packets, Federal Register notices, logistical information, records of public hearings, and background files such as copies of the enabling legislation, legislative history, various editions of the bylaws and lists of members.

~~Disposition: PERMANENT. Transfer one complete set of minutes and substantive ancillary material to the National Archives in 5-year blocks when most recent record is 20 years old.~~

Withdrawn

3. HISTORY FILES

~~Drafts of bylaws and the articles of incorporation, and correspondence, memoranda, draft policy statements and other documentation on the establishment of NIC.~~

~~Disposition: PERMANENT. Transfer to the National Archives when 30 years old.~~

Withdrawn

4. PHOTOGRAPHS

Color prints, 3x5 - 8x10, with a few negatives and transparencies. Subjects include Board meetings and hearings, swearing-in ceremonies with the Attorney General, individual photos, and a group photo with Warren Burger. Some images are credited to DOJ.

Disposition: *PERMANENT. Transfer to the National Archives upon approval of the schedule.*

withdrawn

RECORDS OF THE
COMMUNITY CORRECTIONS DIVISION
JAILS DIVISION
PRISONS DIVISION
CORRECTIONAL JOB TRAINING & PLACEMENT OFFICE
SPECIAL PROJECTS OFFICE

NIC provides direct assistance to requesting state and local correctional agencies through its short-term technical assistance program (TA). No funds are provided to the requestor; rather, in response to a request for particular assistance (e.g., implementing a job skills training program for inmates), NIC typically provides a list of three consultants in that field. The requesting agency either selects a provider or requests an alternative. NIC then funds the provider's time, preparation and travel, up to \$10,000. For larger projects, up to \$25,000, NIC formerly gave grants, but that program has been abolished. The current vehicle for longer-term, complex projects is cooperative agreements.

Current cooperative agreement funding ranges from \$25,000 to \$625,000, for periods of several months to several years. The 'bidders' are non-governmental public policy organizations specializing in corrections. Once the award has been made, NIC and its partner (and any other participating governmental or quasi-governmental body, such as the National Institute of Justice and the State Justice Institute), select the participating jurisdictions. Current ongoing agreements include Assessment of Objective [inmate] Classification Systems, Intermediate Sanctions for Women Offenders, and the Criminal Justice System Project. The last involves the development of "more purposeful, effective and coordinated systems of options for pre-trial defendants and sentenced offenders."

The Jails Division is physically located at NIC's Longmont, CO, office, but, to the best of my knowledge, the records are analogous to those for the other two specialties, which have been examined. Its records are transferred to the Central Office and retired to the Washington National Records Center. The (one-person) Correctional Job Training and Placement Office was created in March of 1995, as specified by P.L. 103-322, which also requires an annual report to Congress. The position coordinates training and technical assistance efforts in providing employment services to offenders and ex-offenders among other federal agencies and private groups. The vehicles used for these projects, however, are cooperative agreements (with entities outside the federal government) and interagency agreements (with other federal components), and are thus identical to those created by the program divisions.

The Special Projects Office (another one-person entity) handles projects that have no obvious fit with NIC's other divisions. These include production of videotapes from satellite conferences (maintained at the Colorado office; also offered for sale), NIC's portion of BOP strategic planning and the National Performance Review, and interagency agreements on projects such as management reform of the DC Department of Corrections, and on prison construction. The interagency agreements are also analogous to the records discussed earlier.

5. TECHNICAL ASSISTANCE FILES

Case files documenting short-term assistance provided to state and local correctional agencies via private-sector subject matter experts paid by NIC. Records include the initial request, correspondence and memoranda regarding logistics and expenses, supporting documentation from the presenter (journal articles, bibliographies, etc.), final report, expense report and the recipient's evaluation of the presenter.

Disposition: *Temporary. Destroy 8 years after case is closed.*

6. TECHNICAL ASSISTANCE MANAGEMENT INFORMATION SYSTEM

Electronic edition of the TA files, which also functions as a tracking system. Information includes number dates, requesting agency, names of contact people, staff assigned, and the subject area. The last is tied to a list of consultants; the program will make selections therefrom, matching the clients' goal(s) with the consultants' expertise. The system also has a financial component which automatically obligates funds. Reporting categories include division, individual staff workload, project status, and requests. Software is custom-developed by an NIC staff member at the Longmont office.

Disposition: *Temporary. Delete 8 years after case is close*

7. COOPERATIVE AGREEMENT AND INTERAGENCY AGREEMENT FILES

Records of agreements between NIC and private-sector consultants or other federal agencies on the development and implementation of various correctional projects. Documentation includes copies of the Request for Application, application guidelines, the successful application, internal reviews and evaluations, recommendation memo, award letter, adjustment notices, autograph notes, site reports, correspondence with the selected jurisdictions, and end products (publications, symposia, final reports, etc.).

- a. ~~End products (publications, symposia, substantive interim reports and final reports).~~

Disposition: *PERMANENT. Transfer to the National Archives in 5-year blocks when most recent record is 20 years old.*

- b. Remaining material.

Disposition: *Temporary. Destroy 8 years after case is closed.*

W. Thrawn

RECORDS OF THE INTERNATIONAL ASSISTANCE OFFICE

This one-person office was created in 1992, to consolidate international assistance efforts. The individual receives requests both from foreign governments and from state and local correctional officials in the US on handling jailed foreign nationals. The position's duties have evolved into three broad and overlapping functions: information clearinghouse and facilitator for visits, meetings, symposia and so forth; mediator, especially of any difficulties or miscommunication encountered in interactions among US and foreign officials; and training and analysis.

~~8. REPORTS~~

~~Documents generated in response to requests from foreign or US officials (the latter in the case of US Trust Territories) form assessment of their correctional programs. The few produced thus far have been 5-10 pages, including background, assessment and recommendations. They are sent to a staff member in the Office of the Deputy Attorney General.~~

~~**Disposition:** PERMANENT. Transfer to the National Archives in 5-year blocks when most recent record is 20 years old.~~

withdraw

RECORDS OF THE PUBLICATIONS OFFICE

NIC's publication program began in 1977. The Information Center in Longmont, CO, provides copies to requestors; as well as functioning as a national clearinghouse for corrections-related publications. NIC releases approximately ten titles per year.

~~9. PUBLICATIONS~~

~~Official agency publications, covering topics such as staff safety, management of crowded prisons, jail site evaluation and selection, management of long-term inmates and prison health care~~

~~**Disposition** PERMANENT. Transfer one copy of each recent publication to the National Archives upon approval of the schedule. Transfer subsequent publications in 5-year blocks when the most recent publication is 5 years old.~~

withdraw

~~10. 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 1-3, 5 and 7-9. 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 1-3, 5 and 7-9 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.~~