

Request for Records Disposition Authority

Records Schedule Number **DAA-0562-2013-0005**
Schedule Status **Approved**

Agency or Establishment **Court Services and Offenders Supervision Agency**
Record Group / Scheduling Group **Records of the Court Services and Offender Supervision Agency for the District of Columbia**

Records Schedule applies to **Major Subdivision**
Major Subdivision **Office of the General Counsel**
Schedule Subject **Legal Matters**
Internal agency concurrences will be provided **No**

Background Information **Files, documents and other records in all formats that support or relate to legal opinions and other matters handled by the Office of General Counsel. The schedule applies to media neutral records.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
14	1	13	0

GAO Approval

Outline of Records Schedule Items for DAA-0562-2013-0005

Sequence Number	
1	Legal Opinion Review Disposition Authority Number: DAA-0562-2013-0005-0001
2	Ethics Files Disposition Authority Number: DAA-0562-2013-0005-0002
3	Sex Offender Register Files Disposition Authority Number: DAA-0562-2013-0005-0003
4	Federal Register Files Disposition Authority Number: DAA-0562-2013-0005-0004
5	CLAIM INVESTIGATIVE AND PROCESSING FILES
5.1	Claim Investigation Reporting Disposition Authority Number: DAA-0562-2013-0005-0005
5.2	Personal Property Claim Disposition Authority Number: DAA-0562-2013-0005-0006
5.3	Tort Claim Files Disposition Authority Number: DAA-0562-2013-0005-0007
5.4	Contract Adjustment and Claim Determination Files Disposition Authority Number: DAA-0562-2013-0005-0008
5.5	Innocent Third Party Claims Files Disposition Authority Number: DAA-0562-2013-0005-0009
5.6	CSOSA Property Damage Claim Files. Disposition Authority Number: DAA-0562-2013-0005-0010
6	Litigation Files
6.1	Civil Litigation Files Disposition Authority Number: DAA-0562-2013-0005-0011
6.2	Administrative Litigation Files Disposition Authority Number: DAA-0562-2013-0005-0012
6.3	Criminal Litigation Files Disposition Authority Number: DAA-0562-2013-0005-0013
6.4	Judicial Information Release Files Disposition Authority Number: DAA-0562-2013-0005-0014

Records Schedule Items

Sequence Number	1												
Legal Opinion Review													
Disposition Authority Number DAA-0562-2013-0005-0001													
Documents reflecting legal opinions and reviews by the Office of the General Counsel regarding drafting or interpretations of statutes, laws, regulations, investigations and similar legal matters. Excluded are ethics documents, SOR documents and documents on a specific claim, investigation, or case. The excluded documents will be disposed of with the ethics file, or claim, investigation, or case file to which they belong.													
Final Disposition Permanent													
Item Status Active													
Is this item media neutral? Yes													
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No													
Disposition Instruction													
Cutoff Instruction Cutoff annually by calendar year.													
Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.													
Additional Information													
What will be the date span of the initial transfer of records to the National Archives? From 1997 To 1999													
How frequently will your agency transfer these records to the National Archives? Every 15 Years													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">Electronic/Digital</td> <td style="padding: 5px;">100 MB</td> <td style="padding: 5px;">10 MB</td> </tr> <tr> <td style="padding: 5px;">Paper</td> <td style="padding: 5px;">2 Cubic feet</td> <td></td> </tr> <tr> <td style="padding: 5px;">Microform</td> <td></td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	100 MB	10 MB	Paper	2 Cubic feet		Microform		
	Estimated Current Volume	Annual Accumulation											
Electronic/Digital	100 MB	10 MB											
Paper	2 Cubic feet												
Microform													

Hardcopy or Analog Special Media		
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2

Ethics Files

Disposition Authority Number **DAA-0562-2013-0005-0002**

Documents reflecting legal opinions and reviews by the Office of the General Counsel regarding interpretations of statutes, laws, regulations and policies on ethical issues. Included are compilations such as ethics reports and all required reporting by CSOSA employees.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff annually by calendar year.**

Retention Period **Destroy 5 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

3

Sex Offender Register Files

Disposition Authority Number **DAA-0562-2013-0005-0003**

Documents reflecting legal opinions and reviews by the Office of General Counsel regarding maintenance and classifications for sex offender registry.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff when superseded or obsolete.**

Retention Period **Destroy immediately after cutoff.**

4

Additional Information

GAO Approval Not Required

Federal Register Files

Disposition Authority Number DAA-0562-2013-0005-0004

Documents published in the Federal Register by CSOSA related to rulemaking and policy matters.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff annually by calendar year.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

5

CLAIM INVESTIGATIVE AND PROCESSING FILES

These files relate to investigating accidents or incidents which may result in claims in favor of or against the Government, and the subsequent processing and settlement of claims.

5.1

Claim Investigation Reporting

Disposition Authority Number DAA-0562-2013-0005-0005

Documents reflecting the results of investigating accidents and incidents which could but do not result in filing a claim. Included are investigation reports, statements of witnesses, and related papers.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

5.2

Cutoff Instruction Cutoff upon final action on report.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Personal Property Claim

Disposition Authority Number DAA-0562-2013-0005-0006

Case files relating to claims against the Government presented by CSOSA employees to the Office of the Controller under the Military Personnel and Civilian Employees' Claims Act for damage, loss, or destruction of personal property incident to their service.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff upon final action on case.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

5.3

Tort Claim Files

Disposition Authority Number DAA-0562-2013-0005-0007

Case files relating to tort claims against CSOSA for damage, loss, or destruction of property, and for personal injury or death resulting from negligence or wrongful acts or omission of acts by CSOSA employees.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

5.4

Cutoff Instruction Cutoff upon final action on case.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Contract Adjustment and Claim Determination Files

Disposition Authority Number DAA-0562-2013-0005-0008

Documents reflecting recommendations or determinations on adjustment of contracts under Public Law 85-804 and on contract claims asserted by a contractor against the Government or by the Government against a contractor. They also accumulate in reporting contractor bankruptcies so that, if appropriate, claims in favor of or against the bankrupt can be asserted. Included are copies of contractor claims and adjustment requests, contractual documents, documents containing justification or support for the claim or adjustment request; determinations; recommendations; memoranda of law; coordinating actions; bankruptcy reports; and related documents.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff upon final determination or settlement.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

5.5

Innocent Third Party Claims Files

Disposition Authority Number DAA-0562-2013-0005-0009

Claims submitted, pursuant to 31U.S.C. Section 3724, by innocent third parties who have suffered damage as a result of CSOSA enforcement operations, where the claim is not recognizable under the Federal Tort Claims Act.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

5.6

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff upon final action on claim.**

Retention Period **Destroy 10 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

CSOSA Property Damage Claim Files.

Disposition Authority Number **DAA-0562-2013-0005-0010**

Case files relating to claims in favor of CSOSA for damage, loss, or destruction of CSOSA property.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff upon completion of litigation or close of case.**

Retention Period **Destroy 10 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

6

Litigation Files

These files relate to actual or potential litigation in which the United States has an interest before civil courts, administrative tribunals, and regulatory bodies; to releasing information from CSOSA records for use in private litigation, and litigation in which the United States has an interest.

6.1

Civil Litigation Files

Disposition Authority Number **DAA-0562-2013-0005-0011**

Documents relating to civil judicial proceedings in which CSOSA and/or CSOSA employees are parties. Included are copies of pleadings; discovery materials; orders; communications with the other components of the Department of Justice,

including the Offices of the United States Attorneys, opposing counsel, and other organizations and individuals; and related papers.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff upon completion of litigation.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

6.2

Administrative Litigation Files

Disposition Authority Number DAA-0562-2013-0005-0012

Documents relating to administrative proceedings in which CSOSA and/or CSOSA employees are parties, such as employment-related matters. Included are copies of pleadings; discovery materials; orders; communications with the other components of the Department of Justice, including the Offices of the United States Attorneys, opposing counsel, and other organizations and individuals; and related papers.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff upon completion of litigation.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

6.3

Criminal Litigation Files

Disposition Authority Number **DAA-0562-2013-0005-0013**

Documents relating to release of information or documents for use in criminal investigations, grand juries, and prosecutions, and relating to the appearance of CSOSA employees as witnesses in grand jury proceedings and criminal prosecutions. Included are subpoenas, demands, requests, court orders, recommendations concerning release of information or documents, potential impeachment information and authorization of testimony, memorandums of law, records of coordinating actions, supporting documents, correspondence, electronically transmitted messages, documents indicating action taken, and related papers.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff upon completion of litigation.**

Retention Period **Destroy 5 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

Judicial Information Release Files

Disposition Authority Number **DAA-0562-2013-0005-0014**

Documents relating to demands for disclosure of official information or production of CSOSA employees as witnesses in civil, administrative or criminal actions to which the United States is not a party. Included are copies of subpoenas and other demands; pleadings; orders; and communications with the Department of Justice, including the Offices of the United States Attorneys, private counsel, and other organizations and individuals; and related papers.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

6.4

Cutoff Instruction	Cutoff upon resolution of demand.
Retention Period	Destroy 3 year(s) after cutoff.
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
05/15/2014	Certify	Patricia Capers	Agency Records Officer	Office of the Director - Records and Information Management
11/24/2014	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/26/2014	Submit For Certification	Gregory Smith	Program Specialist	Office of the Director - Office of General Counsel
11/26/2014	Certify	Gregory Smith	Program Specialist	Office of the Director - Office of General Counsel
07/22/2015	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/24/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/24/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/27/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist