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Request for Records Disposition Authority

Records Schedule Number DAA-0060-2016-0005
Schedule Status Appraiser Working Version

Agency or Establishment Department of Justice
Record Group / Scheduling Group General Records of the Department of Justice
Records Schedule applies to Major Subdivision
Major Subdivision Office of Information Policy
Schedule Subject Records of the Office of Information Policy
Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
10	3	7	0

GAO Approval

Outline of Records Schedule Items for DAA-0060-2016-0005

Sequence Number	
1	Freedom of Information Act (FOIA) Reports
1.1	Reports Disposition Authority Number: DAA-0060-2016-0005-0001
1.2	Reports Background Files Disposition Authority Number: DAA-0060-2016-0005-0002
2	OIP Publications
2.1	OIP Guidance Disposition Authority Number: DAA-0060-2016-0005-0003
2.2	FOIA Resources Disposition Authority Number: DAA-0060-2016-0005-0004
2.3	Publications Background Documents Disposition Authority Number: DAA-0060-2016-0005-0005
3	Compliance Records
3.1	Compliance Background Files Disposition Authority Number: DAA-0060-2016-0005-0006
3.2	Compliance Inquiries/Correspondence Disposition Authority Number: DAA-0060-2016-0005-0007
3.3	Chief FOIA Officers Council Records Disposition Authority Number: DAA-0060-2016-0005-0008
4	OIP Advice
4.1	Appeal Recommendations Disposition Authority Number: DAA-0060-2016-0005-0009
4.2	FOIA Counselor Records Disposition Authority Number: DAA-0060-2016-0005-0010

Records Schedule Items

Sequence Number	
1	<p>Freedom of Information Act (FOIA) Reports The Office of Information Policy (OIP) of the Department of Justice (DOJ) oversees government-wide FOIA reporting, including developing certain reporting requirements and reviewing agency FOIA reports. OIP is also responsible for fulfilling the DOJ's FOIA reporting requirements.</p>
1.1	<p>Reports</p> <p>Disposition Authority Number DAA-0060-2016-0005-0001</p> <p>Final DOJ FOIA reports required by statute, including Annual FOIA Reports, Litigation and Compliance Reports, and Chief FOIA Officer Reports.</p> <p>Final Disposition Permanent</p> <p>Item Status Pending</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 N1-060-92-004 / 3</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year in which the report is published.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives in 10 year blocks 15 year(s) after the latest report is published</p> <p>Additional Information</p> <p>First year of records accumulation 1990</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 1990 To 2000</p> <p>How frequently will your agency transfer these records to the National Archives? Every 10 Years</p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	16 MB	1 MB
Paper	.5 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.2

Reports Background Files

Disposition Authority Number **DAA-0060-2016-0005-0002**

OIP is responsible for compiling the DOJ's FOIA reports and overseeing all agencies' compliance with FOIA reporting obligations. Records include: feeder report data from DOJ components submitted to OIP for review and inclusion in the Department's consolidated final reports, including correspondence with component contacts to clarify and correct data as needed, and records created in the process of reviewing agency FOIA reports, such as correspondence with agency contacts pertaining to OIP's clearance of agency FOIA reports.

Final Disposition **Temporary**

Item Status **Pending**

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? **Yes**

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

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year in which the reports were finalized.**

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

Additional Information

GAO Approval **Not Required**

OIP Publications

2

2.1

OIP creates a variety of FOIA reference materials to serve as a resource for all agencies. Publications include: the Department of Justice Guide to the FOIA, policy guidance, and other practical resources to assist agencies in administering the FOIA.

OIP Guidance

Disposition Authority Number DAA-0060-2016-0005-0003

DOJ Guide to the FOIA: The United States Department of Justice Guide to the Freedom of Information Act (FOIA Guide) is a comprehensive legal treatise on the FOIA. The FOIA Guide includes detailed discussions of the FOIA's procedural requirements, nine exemptions, and litigation considerations. Each section and any supplements contain a detailed analysis of the key judicial opinions issued on the FOIA. OIP Guidance: In furtherance of its statutory authority to encourage agency compliance with the FOIA, OIP regularly develops and issues policy guidance to all agencies on proper implementation of the FOIA. Guidance is issued on a wide range of legal and procedural issues involving the FOIA to improve administration of the law, to promote best practices, and to increase transparency. This item includes the final published chapters of the FOIA Guide, which are updated on a rolling basis as needed to address changes in the law as well as any published OIP guidance documents. OIP guidance documents cover topics such as new requirements as a result of amendments to the FOIA, implementation of recent significant case law, and methods for improving FOIA customer service and communication with requesters.

Final Disposition Permanent

Item Status Pending

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? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year in which the publication or guidance is superseded.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff

Additional Information

First year of records accumulation 1993

What will be the date span of the initial transfer of records to the National Archives? **From 1993 To 2000**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 MB	2 MB
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2.2

FOIA Resources

Disposition Authority Number **DAA-0060-2016-0005-0004**

General resources for agencies and the public pertaining to the FOIA, such as FOIA Exemption 3 Statute charts, court decision summaries, DOJ FOIA Reference Guide, FOIA Language Database and Processing Checklist, and other reference materials created by OIP.

Final Disposition **Temporary**

Item Status **Pending**

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year in which the guidance is no longer applicable or is superseded by updated resources.**

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

2.3	Additional Information	
	GAO Approval	Not Required
	Publications Background Documents	
	Disposition Authority Number	DAA-0060-2016-0005-0005
	Records created in the process of drafting FOIA Guide chapters, guidance, and other resources.	
	Final Disposition	Temporary
	Item Status	Pending
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
Cutoff Instruction	Cut off at the end of the calendar year in which the publication is finalized.	
Retention Period	Destroy 5 year(s) after cutoff	
3	Additional Information	
	GAO Approval	Not Required
	Compliance Records OIP is responsible for encouraging agency compliance with the FOIA, which includes working on initiatives pertaining to government-wide or agency-specific FOIA administration, and reviewing compliance inquiries.	
3.1	Compliance Background Files	
	Disposition Authority Number	DAA-0060-2016-0005-0006
	Documents pertaining to work on DOJ, government-wide, or interagency initiatives pertaining to administration of the FOIA. Records include: correspondence, draft documents, and meeting notes.	
	Final Disposition	Temporary
	Item Status	Pending
	Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	Yes	

	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which work on the matter is concluded.
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
3.2	Compliance Inquiries/Correspondence	
	Disposition Authority Number	DAA-0060-2016-0005-0007
	As part of its oversight and guidance responsibilities, OIP reviews inquiries made by the public raising issues regarding agencies' compliance with the FOIA statute and guidelines. Records include: correspondence and case notes pertaining to FOIA compliance inquiries.	
	Final Disposition	Temporary
	Item Status	Pending
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the inquiry/matter is closed or resolved.
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
3.3	Chief FOIA Officers Council Records	
	Disposition Authority Number	DAA-0060-2016-0005-0008

Records, reports, transcripts, minutes, appendices, working papers, drafts, studies, agendas, or other documents that were made available to or prepared for or by the Chief FOIA Officers Council. This includes all documents that the FOIA requires be made publicly available pursuant to 5 U.S.C. § 552(k)(6)(D).

Final Disposition **Permanent**

Item Status **Pending**

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? **Yes**

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

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year in which work on the matter is concluded.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff**

Additional Information

First year of records accumulation **2016**

What will be the date span of the initial transfer of records to the National Archives? **From 2016 To 2020**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	4.6 GB	20 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

OIP Advice

4.1

OIP provides confidential legal advice about the FOIA to DOJ components and other federal agencies.

Appeal Recommendations

Disposition Authority Number DAA-0060-2016-0005-0009

OIP provides appeal recommendations in response to inquiries from other DOJ components to assist in determining whether or not the DOJ should appeal adverse court decisions. Records include: drafts, emails, and memoranda pertaining to OIP's appeal recommendations.

Final Disposition Temporary

Item Status Pending

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? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year in which OIP involvement in matter is concluded.

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

4.2

FOIA Counselor Records

Disposition Authority Number DAA-0060-2016-0005-0010

OIP provides confidential legal advice and policy guidance to FOIA personnel across the government to aid in agency decision-making on issues pertaining to the FOIA. The agencies that contact OIP must ultimately make their own determinations on the FOIA questions at issue. OIP does not provide legal advice to private persons, but may provide general information about FOIA requests in response to calls and other correspondence from the public. Records include: summaries of phone calls with agencies and other correspondence or documents related to OIP providing confidential advice on FOIA matters, and notes pertaining to general information about the FOIA provided in response to questions from members of the public.

Final Disposition Temporary

Item Status Pending

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? **Yes**

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

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year in which OIP involvement in the matter is concluded.**

Retention Period **Destroy 5 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
09/01/2016	Certify	Rebekah Meservy	Assistant Director of RIM Operations	Justice Management Division - Office of Records Mgt Policy
12/15/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/21/2016	Submit For Certification	Rebekah Meservy	Assistant Director of RIM Operations	Justice Management Division - Office of Records Mgt Policy
12/21/2016	Certify	Rebekah Meservy	Assistant Director of RIM Operations	Justice Management Division - Office of Records Mgt Policy

Executive Summary

Summary

Department of Justice, Office of Information Policy, requests disposition authority for records relating to oversight of Federal agency compliance with Freedom of Information Act (FOIA). Proposed for temporary retention are report drafts, background and resource material gathered in preparing final reports, records relating to the administration of the FOIA, compliance monitoring, and legal advice to agencies. These have temporary value because they have little to no research value and do not document significant actions of Federal officials. Proposed for permanent retention are Government-wide FOIA Reports, the DOJ Guide to the FOIA, and records of the Chief FOIA Officers Council. These have permanent value because they have high potential research value and document significant actions of Federal officials.

Permanent Item Numbers	0001, 0003, 0008
Federal Register Notice	Required
Publication Date	2016-10-19
Copies Requested	2
Comments Received	0