

Request for Records Disposition Authority

Records Schedule Number DAA-0021-2013-0005

Schedule Status Approved

Agency or Establishment District Courts of the United States

Record Group / Scheduling Group Records of District Courts of the United States

Records Schedule applies to Major Subdivision

Major Subdivision District Courts

Schedule Subject A(6)Non-Electronic Criminal Case Files, including transcripts and minutes

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	6

GAO Approval

Outline of Records Schedule Items for DAA-0021-2013-0005

Sequence Number	
1	A(6)a. Case files dated 1969 or earlier. Disposition Authority Number: DAA-0021-2013-0005-0001
2	A(6)b. Case files dated 1970 or later which were terminated during or after trial. Disposition Authority Number: DAA-0021-2013-0005-0002
3	A(6)c Non-trial criminal cases relating to treason and national security, including the following offense codes: 9740, 9751, 9752, 9753, 9754, 9755, 9770, 9780, 9790, 9791; or to embezzlement, fraud, or bribery by a public official, including offense codes 4350 and 7100. Disposition Authority Number: DAA-0021-2013-0005-0003
4	A(6)d. Non-trial cases resulting in death penalty. Disposition Authority Number: DAA-0021-2013-0005-0004
5	A(6)e. Any criminal case file determined by court officials or by NARA to have historical value. Disposition Authority Number: DAA-0021-2013-0005-0005
6	A(6)f(1). Non-trial criminal cases that: (1) Result in sentences of 15 years or less (Other than those selected as permanent in sections a-d above). Disposition Authority Number: DAA-0021-2013-0005-0006
7	A(6)f(2)- Non-trial criminal cases that : (2) Result in sentences between 15 and 30 years (Other than those selected as permanent in sections a-d above). Disposition Authority Number: DAA-0021-2013-0005-0007
8	A(6)f(3)-Non-trial criminal cases that: (3) Result in life sentences (Other than those selected as permanent in sections a-d above) or sentences longer than 30 years. Disposition Authority Number: DAA-0021-2013-0005-0008
9	A(6)g- Misdemeanor and petty offense proceedings conducted by U.S. magistrate judges in cases not assigned a district court docket number. (Note: as used in this schedule, the term misdemeanor includes offenses prior to Federal Magistrates Act of 1979). Disposition Authority Number: DAA-0021-2013-0005-0009
10	A(6)h-All other case files not included above. Disposition Authority Number: DAA-0021-2013-0005-0010

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 885 411">A(6)a. Case files dated 1969 or earlier.</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0021-2013-0005-0001</p> <p data-bbox="345 506 922 537">Final Disposition Permanent</p> <p data-bbox="345 558 914 590">Item Status Withdrawn</p> <p data-bbox="345 611 805 642">Is this item media neutral? No</p> <p data-bbox="345 663 1518 926">Explanation of limitation The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.</p> <p data-bbox="345 947 805 978">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="345 1094 1036 1146">GRS or Superseded Authority Citation N1-021-11-1 item 1</p> <p data-bbox="345 1167 1479 1241">Withdrawn Status Explanation This item was previously scheduled in N1-21-11-1, item 1.</p> <p data-bbox="345 1283 659 1314">Disposition Instruction</p> <p data-bbox="345 1346 1455 1409">Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after close of case.</p> <p data-bbox="345 1451 656 1482">Additional Information</p> <p data-bbox="345 1514 894 1598">What will be the date span of the initial transfer of records to the National Archives? Unknown unknown</p> <p data-bbox="345 1619 894 1703">How frequently will your agency transfer these records to the National Archives? Unknown unknown</p>
2	<p data-bbox="345 1808 1463 1839">A(6)b. Case files dated 1970 or later which were terminated during or after trial.</p> <p data-bbox="345 1860 1154 1892">Disposition Authority Number DAA-0021-2013-0005-0002</p>

	Final Disposition	Permanent
	Item Status	Withdrawn
	Is this item media neutral?	No
	Explanation of limitation	The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-021-11-1 item 2
	Withdrawn Status Explanation	This items was previously scheduled under N1-21-11-1, item 2.
	Disposition Instruction	
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after close of case.
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown unknown
	How frequently will your agency transfer these records to the National Archives?	Unknown unknown
3	A(6)c Non-trial criminal cases relating to treason and national security, including the following offense codes: 9740, 9751, 9752, 9753, 9754, 9755, 9770, 9780, 9790, 9791; or to embezzlement, fraud, or bribery by a public official, including offense codes 4350 and 7100.	
	Disposition Authority Number	DAA-0021-2013-0005-0003
	Final Disposition	Permanent
	Item Status	Withdrawn
	Is this item media neutral?	No

	<p>Explanation of limitation</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p> <p>GRS or Superseded Authority Citation</p> <p>Withdrawn Status Explanation</p> <p>Disposition Instruction</p> <p>Transfer to the National Archives for Accessioning</p> <p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives?</p> <p>How frequently will your agency transfer these records to the National Archives?</p> <p>A.(6)d. Non-trial cases resulting in death penalty.</p> <p>Disposition Authority Number</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Explanation of limitation</p>	<p>The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.</p> <p>No</p> <p>N1-021-11-1 item 5</p> <p>This item was previously scheduled under N1-21-11-1, item 5.</p> <p>Transfer to the National Archives 15 year(s) after close of case.</p> <p>Unknown unknown</p> <p>Unknown unknown</p> <p>DAA-0021-2013-0005-0004</p> <p>Permanent</p> <p>Active</p> <p>No</p> <p>The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.</p>
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	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	
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 30 year(s) after close of case.
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown unknown
	How frequently will your agency transfer these records to the National Archives?	Unknown unknown
5	A(6)e. Any criminal case file determined by court officials or by NARA to have historical value.	
	Disposition Authority Number	DAA-0021-2013-0005-0005
	Final Disposition	Permanent
	Item Status	Withdrawn
	Is this item media neutral?	No
	Explanation of limitation	The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-021-11-1 item 3
	Withdrawn Status Explanation	This items was previously scheduled under N1-21-11-1, item 3.
	Disposition Instruction	

	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after close of case.
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown unknown
	How frequently will your agency transfer these records to the National Archives?	Unknown unknown
6	A(6)f(1). Non-trial criminal cases that: (1) Result in sentences of 15 years or less (Other than those selected as permanent in sections a-d above).	
	Disposition Authority Number	DAA-0021-2013-0005-0006
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.
	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	
	Retention Period	Destroy 15 year(s) after close of case.
	Additional Information	
	GAO Approval	Not Required
7	A(6)f(2)- Non-trial criminal cases that : (2) Result in sentences between 15 and 30 years (Other than those selected as permanent in sections a-d above).	
	Disposition Authority Number	DAA-0021-2013-0005-0007
	Final Disposition	Temporary
	Item Status	Active

8	Is this item media neutral?	No
	Explanation of limitation	The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.
	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	
	Retention Period	Destroy 30 year(s) after close of case.
	Additional Information	
	GAO Approval	Not Required
	A(6)f(3)-Non-trial criminal cases that: (3) Result in life sentences (Other than those selected as permanent in sections a-d above) or sentences longer than 30 years.	
	Disposition Authority Number	DAA-0021-2013-0005-0008
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.
	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	
	Retention Period	Destroy 75 year(s) after close of case.
Additional Information		
GAO Approval	Not Required	

9	<p>A(6)g- Misdemeanor and petty offense proceedings conducted by U.S. magistrate judges in cases not assigned a district court docket number. (Note: as used in this schedule, the term misdemeanor includes offenses prior to Federal Magistrates Act of 1979).</p>
	<p>Disposition Authority Number DAA-0021-2013-0005-0009</p>
	<p>Final Disposition Temporary</p>
	<p>Item Status Withdrawn</p>
	<p>Is this item media neutral? No</p>
	<p>Explanation of limitation The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a prerequisite to the transfer of electronic records included in this and similar proposed schedules.</p>
	<p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>
	<p>GRS or Superseded Authority Citation N1-021-11-1 item 4</p>
	<p>Withdrawn Status Explanation This item was previously scheduled under N1-21-11-1, item 4.</p>
	<p>Disposition Instruction</p>
	<p>Retention Period Destroy 5 year(s) after close of case.</p>
	<p>Additional Information</p>
	<p>GAO Approval Not Required</p>
10	<p>A(6)h-All other case files not included above.</p>
	<p>Disposition Authority Number DAA-0021-2013-0005-0010</p>
	<p>Final Disposition Temporary</p>
	<p>Item Status Withdrawn</p>
	<p>Is this item media neutral? No</p>
	<p>Explanation of limitation The Judiciary is in the process of reviewing internal requirements to establish an effective national policy concerning the future transfer of electronic records to NARA. The completion of the requirement analysis, clearance, and implementation of said policy is a</p>

	prerequisite to the transfer of electronic records included in this and similar proposed schedules.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-021-11-1, item 6
Withdrawn Status Explanation	This item was previously scheduled under N1-21-11-1, item 6.
Disposition Instruction	
Retention Period	Destroy 15 year(s) after close of case.
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
06/27/2013	Certify	Omar Herran	Judiciary Records Officer	US Courts - Administrative Office
09/09/2013	Return for Revision	David Weber	for	National Archives and Records Administration - Records Management Services
09/10/2013	Submit For Certification	Kelly McCall	Records Consultant	PARMD - JRMP
09/10/2013	Certify	Edward Dukes	Deputy Records Officer	Office of Court Administration - Public Access and Records Management Division
11/27/2013	Submit for Concurrence	David Weber	for	National Archives and Records Administration - Records Management Services
12/12/2013	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
12/12/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/13/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist