

Request for Records Disposition Authority

Records Schedule Number DAA-0021-2013-0006

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, Appellate Courts (Applies to Record Group 21 and 276)

Schedule Subject D(1)Federal Public Defender Records

Internal agency concurrences will be provided No

Background Information Pursuant to the Criminal Justice Act (CJA) (18 U.S.C. §3006A), public defenders provide federal criminal defense services to individuals unable to afford legal representation. These services are provided by court-appointed attorneys from three different sources, only one of which is a federal organization:

- 1) Federal Public Defender Organizations (FPDOs), are federal entities and their staffs are federal employees;
- 2) Community Defender Organizations (CDOs) operate much like an FPDO but are non-government, non-profit organizations incorporated under state laws and governed by Boards of Directors. Their staffs are not federal employees; and
- 3) Each district court maintains a "panel" of private, non-federal attorneys in accordance with its CJA Plan.

Client case files are the property of the client, held by the attorney and regulated by the bar rules of each state. Court appointed or public defender status makes no difference in the ethical standard, the case file belongs to the client and is held in trust by the attorney.

All other records created and maintained in a system of records by an FPDO are federal

records and are contained in the records disposition schedule below.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
15	1	14	24

GAO Approval

Outline of Records Schedule Items for DAA-0021-2013-0006

Sequence Number	
1	D(1)a. Audits Disposition Authority Number: DAA-0021-2013-0006-0001
2	D(1)b. Assessments. Disposition Authority Number: DAA-0021-2013-0006-0002
3	D(1)c. Non-electronic Annual Reports. Disposition Authority Number: DAA-0021-2013-0006-0003
4	D(1)d. Building and Equipment Service Files. Disposition Authority Number: DAA-0021-2013-0006-0004
5	D(1)e. Budget Background Records. Disposition Authority Number: DAA-0021-2013-0006-0005
6	D(1)f. Routine Procurement Records. Disposition Authority Number: DAA-0021-2013-0006-0006
7	D(1)g. Vouchers. Disposition Authority Number: DAA-0021-2013-0006-0007
8	D(1)h. General Correspondence. Disposition Authority Number: DAA-0021-2013-0006-0008
9	D(1)j(1). Travel Files. Includes both case and non-case related travel records. Commercial Freight and Passenger Transportation Files Disposition Authority Number: DAA-0021-2013-0006-0009
10	D(1)j(2). Other Conditions Disposition Authority Number: DAA-0021-2013-0006-0010
11	D(1)k. Space Management Records. Disposition Authority Number: DAA-0021-2013-0006-0011
12	D(1)l. Non-Electronic Training Files. Disposition Authority Number: DAA-0021-2013-0006-0012
13	D(1)m(1). Administrative Training Records. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency. Disposition Authority Number: DAA-0021-2013-0006-0013
14	D(1)m(1). Administrative Training Records. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency Disposition Authority Number: DAA-0021-2013-0006-0014
15	D(1)m(2). Administrative Training Records. Employee training. Disposition Authority Number: DAA-0021-2013-0006-0015
16	D(1)n. IT Facility, Site Management, and Equipment Support Services Records

17	Disposition Authority Number: DAA-0021-2013-0006-0016 D(1)oIT Asset and Configuration Management Files. Disposition Authority Number: DAA-0021-2013-0006-0017
18	D(1)o(2). IT Asset and Configuration Management Files. asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: Disposition Authority Number: DAA-0021-2013-0006-0018
19	D(1)o(2). IT Asset and Configuration Management Files. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: Disposition Authority Number: DAA-0021-2013-0006-0019
20	D(1)p(1). System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. Disposition Authority Number: DAA-0021-2013-0006-0020
21	D(1)p(1). System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. Disposition Authority Number: DAA-0021-2013-0006-0021
22	D(1)p(2). System Backups and Tape Library Records. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. Disposition Authority Number: DAA-0021-2013-0006-0022
23	D(1)r. Files Related to Maintaining the Security of Systems and Data. Disposition Authority Number: DAA-0021-2013-0006-0023
24	D(1)r. Files Related to Maintaining the Security of Systems and Data. Disposition Authority Number: DAA-0021-2013-0006-0024
25	D(1)s. User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures. Disposition Authority Number: DAA-0021-2013-0006-0025
26	D(1)s. User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures. Disposition Authority Number: DAA-0021-2013-0006-0026
27	D(1)u. IT Operations Records. Disposition Authority Number: DAA-0021-2013-0006-0027
28	D(1)u. IT Operations Records. Disposition Authority Number: DAA-0021-2013-0006-0028
29	D(1)u. IT Operations Records.

- 30 Disposition Authority Number: DAA-0021-2013-0006-0029
D(1)v. IT Customer Service Files.
Disposition Authority Number: DAA-0021-2013-0006-0030
- 31 D(1)v. IT Customer Service Files.
Disposition Authority Number: DAA-0021-2013-0006-0031
- 32 D(1)w. Management Control Records. Records created in accordance with internal controls covering evaluations of accounting and administrative controls to prevent waste, fraud, and mismanagement.
Disposition Authority Number: DAA-0021-2013-0006-0032
- 33 D(1)w. Management Control Records. Records created in accordance with internal controls covering evaluations of accounting and administrative controls to prevent waste, fraud, and mismanagement.
Disposition Authority Number: DAA-0021-2013-0006-0033
- 34 D(1)w. Management Control Records. Records created in accordance with internal controls covering evaluations of accounting and administrative controls to prevent waste, fraud, and mismanagement.
Disposition Authority Number: DAA-0021-2013-0006-0034
- 35 D(1)x. FPDO Web Site Records. Records/information posted on local FPDO intra and/or internet websites.
Disposition Authority Number: DAA-0021-2013-0006-0035
- 36 D(1)x. FPDO Web Site Records. Records/information posted on local FPDO intra and/or internet websites.
Disposition Authority Number: DAA-0021-2013-0006-0036
- 37 D(1)x. FPDO Web Site Records. Records/information posted on local FPDO intra and/or internet websites.
Disposition Authority Number: DAA-0021-2013-0006-0037
- 38 D(1)t. Computer Security Incident Handling, Reporting and Follow-up Records
Disposition Authority Number: DAA-0021-2013-0006-0038
- 39 D(1)i. Organization/General Administration Files.
Disposition Authority Number: DAA-0021-2013-0006-0039

Records Schedule Items

Sequence Number	
1	<p data-bbox="373 414 560 446">D(1)a. Audits</p> <p data-bbox="373 457 1153 500">Disposition Authority Number DAA-0021-2013-0006-0001</p> <p data-bbox="373 521 1421 627">These records comprise the audit reports or documentation received by the FPDOs, their response, and the documentation developed to resolved issues identified in the report.</p> <p data-bbox="373 649 925 680">Final Disposition Temporary</p> <p data-bbox="373 702 860 734">Item Status Active</p> <p data-bbox="373 755 836 787">Is this item media neutral? Yes</p> <p data-bbox="373 808 820 925">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="373 957 682 989">Disposition Instruction</p> <p data-bbox="373 1010 1502 1159">Retention Period Destroy when 5 years old or after receipt of the report of the following audit and after all audit exceptions noted in both reports have been resolved, whichever is later.</p> <p data-bbox="373 1202 673 1234">Additional Information</p> <p data-bbox="373 1255 958 1287">GAO Approval Not Required</p>
2	<p data-bbox="373 1308 665 1340">D(1)b. Assessments.</p> <p data-bbox="373 1361 1153 1393">Disposition Authority Number DAA-0021-2013-0006-0002</p> <p data-bbox="373 1415 1494 1521">These records are evaluations of the FPDO and are comprised of the assessment report given to the FPDOs, their response, and the documentation developed to resolve issues identified in the report.</p> <p data-bbox="373 1542 925 1574">Final Disposition Temporary</p> <p data-bbox="373 1596 860 1627">Item Status Active</p> <p data-bbox="373 1649 836 1681">Is this item media neutral? Yes</p> <p data-bbox="373 1702 820 1819">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="373 1851 682 1883">Disposition Instruction</p>

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Retention Period Destroy when 5 years old or after receipt of the report following the assessment and after all items noted in both reports have been resolved, whichever is later.

Additional Information

GAO Approval Not Required

D(1)c. Non-electronic Annual Reports.

Disposition Authority Number DAA-0021-2013-0006-0003

The report is submitted to the Office of Defender Services (ODS) budget unit after the end of the fiscal year for the budget year just completed. It documents the activities of the FPDO during the past year and serves as a historical record of the office.

Final Disposition Permanent

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

Cutoff Instruction Cut off at the end of the calendar year.

Transfer to the National Archives for Accessioning Transfer to NARA when 25 years old.

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

4

D(1)d. Building and Equipment Service Files.

Disposition Authority Number **DAA-0021-2013-0006-0004**
Requests for building and equipment maintenance services, excluding copies provided to the District Clerk for payment

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Building and Equipment Services records are scheduled under GRS 11/5**

Disposition Instruction

Retention Period **Destroy 3 months after work is performed or requisition is cancelled.**

Additional Information

GAO Approval **Not Required**

D(1)e. Budget Background Records.

Disposition Authority Number **DAA-0021-2013-0006-0005**

Cost statements, financial system data, financial projections and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements and related schedules.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Budget Background records are scheduled under GRS 5/2.**

Disposition Instruction

Retention Period **Destroy 1 year after close of the fiscal year covered by the budget.**

Additional Information

5

6

GAO Approval Not Required

D(1)f. Routine Procurement Records.

Disposition Authority Number DAA-0021-2013-0006-0006

Contracts, requisitions, purchase orders, leases, and bond surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.

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

Retention Period Destroy 7 years after final payment.

Additional Information

GAO Approval Not Required

7

D(1)g. Vouchers.

Disposition Authority Number DAA-0021-2013-0006-0007

Copies of vouchers not related to payment of the legal defense activities that are submitted to the court for review and payment by ODS. Records consist of vouchers maintained for reference purposes.

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

Retention Period Destroy when no longer needed for reference.

Additional Information

GAO Approval Not Required

8

D(1)h. General Correspondence.

Disposition Authority Number **DAA-0021-2013-0006-0008**

These files contain all the FPDOs' correspondence except correspondence between the FPDO and their clients. Examples include miscellaneous letters of inquiry, non-case related letters to other lawyers, letters to organizations or committees seeking comments on proposals.

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 **Cut off at the end of the calendar year**

Retention Period **Destroy 5 years after cut off.**

Additional Information

GAO Approval **Not Required**

D(1)(1). Travel Files. Includes both case and non-case related travel records. Commercial Freight and Passenger Transportation Files

Disposition Authority Number **DAA-0021-2013-0006-0009**

Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item b, below.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Travel Files are scheduled under GRS 9/1A.**

Disposition Instruction

Retention Period **Destroy 6 years after the period of the account or when no longer needed for state bar requirements, whichever is later.**

Additional Information

9

10	<p>GAO Approval Not Required</p> <p>D(1)j(2). Other Conditions</p> <p>Disposition Authority Number DAA-0021-2013-0006-0010</p> <p>Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</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? No</p> <p>Withdrawn Status Explanation Travel Files, Other Conditions records are scheduled under GRS 9/1B.</p> <p>Disposition Instruction</p> <p>Retention Period Destroy when 10 years old or when no longer needed for state bar requirements, whichever is later.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
11	<p>D(1)k. Space Management Records.</p> <p>Disposition Authority Number DAA-0021-2013-0006-0011</p> <p>Records relating to the assignment, allocation, utilization, acquisition and release of space under agency control, and related reports to GSA (or equivalent agency with similar Government-wide responsibilities). Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment. Includes correspondence and reports to staff agencies relating to agency space holdings, reports to GSA, incl. Standard Form (SF) 81, Request for Space, and related documents. [Note: OA planner done by Circuit or space and facilities and provided to defender.]</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</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	
Retention Period	Destroy 5 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete. [Note: Lease contains parking space or trial prep room at courthouse that is relinquished. Termination form must be retained.]
Additional Information	
GAO Approval	Not Required
D(1)I. Non-Electronic Training Files.	
Disposition Authority Number	DAA-0021-2013-0006-0012
Public Defender Curriculum. These files contain the syllabus and training materials developed and given by the FPDO to local attorneys.	
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
Withdrawn Status Explanation	Administrative Training Files Curriculum was withdrawn for further evaluation of the disposition.
Disposition Instruction	
Cutoff Instruction	Cut off files at the end of the calendar year.
Transfer to the National Archives for Accessioning	Transfer to NARA when 15 years old or no longer needed for reference.
Additional Information	

13

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**

D(1)m(1). Administrative Training Records. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

Disposition Authority Number **DAA-0021-2013-0006-0013**

a. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Administrative Training Correspondence Records are scheduled under GRS 1/29A1.**

Disposition Instruction

Retention Period **Destroy when 5 years old or 5 years after completion of a specific training program**

Additional Information

GAO Approval **Not Required**

14

D(1)m(1). Administrative Training Records. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency

Disposition Authority Number **DAA-0021-2013-0006-0014**

b. Background and working files.

Final Disposition **Temporary**

Item Status **Withdrawn**

Is this item media neutral? **Yes**

15	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Withdrawn Status Explanation	Administrative Training Background Records are scheduled under GRS 1/29A2
	Disposition Instruction	
	Retention Period	Destroy when 3 years old.
	Additional Information	
	GAO Approval	Not Required
	D(1)m(2). Administrative Training Records. Employee training.	
	Disposition Authority Number	DAA-0021-2013-0006-0015
	Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.	
	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		
Retention Period	Destroy after 4 years or until the next assessment, whichever is sooner.	
Additional Information		
GAO Approval	Not Required	
16	D(1)n. IT Facility, Site Management, and Equipment Support Services Records	
	Disposition Authority Number	DAA-0021-2013-0006-0016
	Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of followup actions, and related correspondence.	
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	
	Retention Period	Destroy/delete when 4 years old or when superseded or obsolete, whichever is later.
	Additional Information	
	GAO Approval	Not Required
17	D(1)oIT Asset and Configuration Management Files.	
	Disposition Authority Number	DAA-0021-2013-0006-0017
	(1). Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of bar codes affixed to IT physical assets.	
	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	
	Retention Period	Destroy after 4 years.
	Additional Information	
	GAO Approval	Not Required
18	D(1)o(2). IT Asset and Configuration Management Files. asset management, performance and capacity management; system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:	
	Disposition Authority Number	DAA-0021-2013-0006-0018
	a. Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and	

documenting implementation of changes; documentation of software distribution and release or version management.

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

Retention Period Destroy after 4 years.

Additional Information

GAO Approval Not Required

19

D(1)o(2). IT Asset and Configuration Management Files. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

Disposition Authority Number DAA-0021-2013-0006-0019

b. Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

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

Retention Period Destroy after 4 years.

Additional Information

GAO Approval Not Required

20

D(1)p(1). System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition Authority Number **DAA-0021-2013-0006-0020**

a. Incremental backup tapes

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Incremental System Backups are scheduled under GRS 24/4A1.**

Disposition Instruction

Retention Period **Delete/destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later**

Additional Information

GAO Approval **Not Required**

21

D(1)p(1). System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition Authority Number **DAA-0021-2013-0006-0021**

b. Full backup tapes.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Full System Backups are scheduled under GRS 24/4A2.**

Disposition Instruction

22

Retention Period Delete/destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later

Additional Information

GAO Approval Not Required

D(1)p(2). System Backups and Tape Library Records. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

Disposition Authority Number DAA-0021-2013-0006-0022

Final Disposition Temporary

Item Status Withdrawn

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

Withdrawn Status Explanation System Backups Holdings and Control Logs are scheduled under GRS 24/4B

23

Disposition Instruction

Retention Period Destroy/delete when superseded or obsolete

Additional Information

GAO Approval Not Required

D(1)r. Files Related to Maintaining the Security of Systems and Data.

Disposition Authority Number DAA-0021-2013-0006-0023

(1). System Security Plans and Disaster Recovery Plans.

Final Disposition Temporary

Item Status Withdrawn

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

Withdrawn Status Explanation Records of System Security Plans and Disaster Recovery Plans are scheduled under GRS 24/5A.

24

Disposition Instruction

Retention Period **Destroy/delete 1 year after system is superseded**

Additional Information

GAO Approval **Not Required**

D(1)r. Files Related to Maintaining the Security of Systems and Data.

Disposition Authority Number **DAA-0021-2013-0006-0024**

(2). Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Records identifying IT risks are scheduled under GRS 24/5B.**

Disposition Instruction

Retention Period **Destroy/delete 1 year after system is superseded**

Additional Information

GAO Approval **Not Required**

25

D(1)s. User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.

Disposition Authority Number **DAA-0021-2013-0006-0025**

(1). Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

26	Withdrawn Status Explanation	User identification records for special accountability IT systems are scheduled under GRS 24/6A.
	Disposition Instruction	
	Retention Period	Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.
	Additional Information	
	GAO Approval	Not Required
	D(1)s. User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.	
	Disposition Authority Number	DAA-0021-2013-0006-0026
	(2). Routine systems, i.e., those not covered by item D(1)s(1).	
	Final Disposition	Temporary
	Item Status	Withdrawn
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	
Withdrawn Status Explanation	User identification records for routine systems are scheduled by GRS 24/6B	
Disposition Instruction		
Retention Period	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.	
Additional Information		
GAO Approval	Not Required	
27	D(1)u. IT Operations Records.	
	Disposition Authority Number	DAA-0021-2013-0006-0027
	(1). Workload schedules, run reports, and schedules of maintenance and support activities.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes

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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**

Withdrawn Status Explanation **Records of IT Operations-workload schedules and run reports are scheduled under GRS 24/8A.**

Disposition Instruction

Retention Period **Destroy/delete when 1 year old.**

Additional Information

GAO Approval **Not Required**

D(1)u. IT Operations Records.

Disposition Authority Number **DAA-0021-2013-0006-0028**

(2). Problem reports and related decision documents relating to the software infrastructure of the network or system.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Records of IT Operations-problem reports are scheduled under GRS24/8B.**

Disposition Instruction

Retention Period **Destroy/delete 1 year after problem is resolved.**

Additional Information

GAO Approval **Not Required**

29

D(1)u. IT Operations Records.

Disposition Authority Number **DAA-0021-2013-0006-0029**

(3). Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

Final Disposition **Temporary**

Item Status **Withdrawn**

Is this item media neutral? **Yes**

30

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

Withdrawn Status Explanation **Records of IT Operations-performance monitoring and management reports are scheduled under GRS 24/8C.**

Disposition Instruction

Retention Period **Destroy/delete when 3 years old.**

Additional Information

GAO Approval **Not Required**

D(1)v. IT Customer Service Files.

Disposition Authority Number **DAA-0021-2013-0006-0030**

(1). Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **IT Customer Service records related to providing help desk information are scheduled under GRS 24/10A.**

Disposition Instruction

Retention Period **Destroy/delete 1 year after record is superseded or obsolete.**

31

Additional Information

GAO Approval **Not Required**

D(1)v. IT Customer Service Files.

Disposition Authority Number **DAA-0021-2013-0006-0031**

(2). Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Final Disposition **Temporary**

	<p>Item Status</p> <p>Is this item media neutral?</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>Withdrawn Status Explanation</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p>	<p>Withdrawn</p> <p>Yes</p> <p>No</p> <p>Records related to IT Customer Service-help desk logs and reports are scheduled under GRS 24/10B.</p> <p></p> <p>Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later</p> <p></p> <p>Not Required</p>
<p>32</p>	<p>D(1)w.Management Control Records. Records created in accordance with internal controls covering evaluations of accounting and administrative controls to prevent waste, fraud, and mismanagement.</p> <p>Disposition Authority Number</p> <p>(1). Policy, procedure, and guidance files. Copies of internal controls manuals, procedures and results of annual internal controls audits.</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</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>Withdrawn Status Explanation</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p>	<p>DAA-0021-2013-0006-0032</p> <p></p> <p>Temporary</p> <p>Withdrawn</p> <p>Yes</p> <p>No</p> <p>Management Control Records related to policy and procedures on internal controls are scheduled under GRS 16/14A.</p> <p></p> <p>Destroy when superseded.</p> <p></p> <p>Not Required</p>
<p>33</p>	<p>D(1)w. Management Control Records. Records created in accordance with internal controls covering evaluations of accounting and administrative controls to prevent waste, fraud, and mismanagement.</p>	<p></p>

Disposition Authority Number **DAA-0021-2013-0006-0033**

(2). Management control plans. Comprehensive plans documenting the FPDO internal control plan.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Management Control Records related to plans for internal control are scheduled under GRS 16/14B.**

Disposition Instruction

Retention Period **Destroy when superseded.**

Additional Information

GAO Approval **Not Required**

34

D(1)w. Management Control Records. Records created in accordance with internal controls covering evaluations of accounting and administrative controls to prevent waste, fraud, and mismanagement.

Disposition Authority Number **DAA-0021-2013-0006-0034**

(3). Review files. Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Management Control Records related to internal control reviews are scheduled under GRS 16/14F1.**

Disposition Instruction

Cutoff Instruction **Cut off when no further action is necessary**

Retention Period **Destroy 5 years after cut off.**

35

Additional Information

GAO Approval **Not Required**

D(1)x. FPDO Web Site Records. Records/information posted on local FPDO intra and/or internet websites.

Disposition Authority Number **DAA-0021-2013-0006-0035**

1. Webcontent. a. Unique Content. Non-policy related records/information that are unique to the website, and do not exist elsewhere

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

Retention Period **Take annual snapshot of web content. Destroy when 5 years old.**

Additional Information

GAO Approval **Not Required**

36

D(1)x.FPDO Web Site Records. Records/information posted on local FPDO intra and/or internet websites.

Disposition Authority Number **DAA-0021-2013-0006-0036**

(1).Web Content. b. Replicated Content. Records/information that exist elsewhere and there is no added functionality; the information is a convenience copy.

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

Retention Period **Destroy when no longer needed for agency business**

Additional Information

37

GAO Approval Not Required

D(1)x. FPDO Web Site Records. Records/information posted on local FPDO intra and/or internet websites.

Disposition Authority Number DAA-0021-2013-0006-0037

(2).Web Management and Operations Records. Web site posting logs indicating when pages were posted, updated or removed.

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

Retention Period Destroy when 5 years old or when superseded, obsolete, or no longer needed for agency business.

Additional Information

38

GAO Approval Not Required

D(1)t. Computer Security Incident Handling, Reporting and Follow-up Records

Disposition Authority Number DAA-0021-2013-0006-0038

Final Disposition Temporary

Item Status Withdrawn

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

Withdrawn Status Explanation Records related to Computer Security Incident Handling are scheduled under GRS 24/7.

Disposition Instruction

Retention Period Destroy/delete 3 years after all necessary follow-up actions have been completed.

Additional Information

GAO Approval Not Required

39

D(1)j. Organization/General Administration Files.

Disposition Authority Number **DAA-0021-2013-0006-0039**

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office, rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures and communications, the expenditure of funds, and the use of office space. These papers do not serve as official documentation of the programs of the office.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

Withdrawn Status Explanation **Organization/General Administration Records related to internal administration or housekeeping activities of the office are scheduled under GRS 23/1.**

Disposition Instruction

Retention Period **Destroy when 2 years old or when no longer needed, whichever is sooner**

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
06/28/2013	Certify	Stephen Levenson	Analyst	US Courts - US Courts
05/07/2014	Submit for Concurrency	David Weber	for	National Archives and Records Administration - Records Management Services
06/16/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/16/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/17/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist