

Request for Records Disposition Authority

Records Schedule Number **DAA-0116-2019-0001**

Schedule Status **Approved**

Agency or Establishment **Administrative Office of the U.S. Courts**

Record Group / Scheduling Group **Records of the Administrative Office of the U.S. Courts**

Records Schedule applies to **Agency-wide**

Schedule Subject **Personnel Records**

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	5	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0116-2019-0001

Sequence Number	
1	c. Judges' Applicant Files (Other than OPFs). 2. Non-Appointed Officers Disposition Authority Number: DAA-0116-2019-0001-0004
2	k. Records documenting background investigation or vetting of prospective employees to determine employment suitability. Disposition Authority Number: DAA-0116-2019-0001-0009
3	o. Law Enforcement and Fitness for Duty Medical Case Files. Disposition Authority Number: DAA-0116-2019-0001-0010
4	2. Magistrate Judges' Survey Reports - (a). Utilization. Disposition Authority Number: DAA-0116-2019-0001-0013
5	3. Article III Judges' Survey Reports. Disposition Authority Number: DAA-0116-2019-0001-0014
6	4. Bankruptcy Judges' Survey Reports - (a). Continuing Needs Disposition Authority Number: DAA-0116-2019-0001-0015
7	x. Training Records. 3. Judges and Chambers Orientation Records. Disposition Authority Number: DAA-0116-2019-0001-0016
8	2. Magistrate Judge's Survey Reports- (b) New Position Disposition Authority Number: DAA-0116-2019-0001-0018
9	4. Bankruptcy Judges' Survey Reports- (b). Additional Judgeship Needs Disposition Authority Number: DAA-0116-2019-0001-0019

Records Schedule Items

Sequence Number	
1	<p>c. Judges' Applicant Files (Other than OPFs). 2. Non-Appointed Officers</p> <p>Disposition Authority Number DAA-0116-2019-0001-0004</p> <p>May include FBI reports, background checks, biographies, and other papers relating to possible appointment.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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GRS or Superseded Authority Citation NC1-116-85-5, Item 12</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 1 year(s) after non-selection notification.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>k. Records documenting background investigation or vetting of prospective employees to determine employment suitability.</p> <p>Disposition Authority Number DAA-0116-2019-0001-0009</p> <p>Included are finger print charts and related correspondence.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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>

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Disposition Instruction

Retention Period Destroy 2 year(s) after employee separates.

Additional Information

GAO Approval Not Required

o. Law Enforcement and Fitness for Duty Medical Case Files.

Disposition Authority Number DAA-0116-2019-0001-0010

Includes form 57B, 57c and medical determination report from Federal Occupational Health (FOH).

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? Yes

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

Disposition Instruction

Retention Period Destroy 2 year(s) after employee separates.

Additional Information

GAO Approval Not Required

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2. Magistrate Judges' Survey Reports - (a). Utilization.

Disposition Authority Number DAA-0116-2019-0001-0013

Prepared every 5 years for each district. Records contain surveys used to assess magistrate judge utilization and to support recommendations for magistrate judges' positions

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? Yes

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

No

GRS or Superseded Authority Citation

N1-116-85-5-, Item 2

Disposition Instruction

Cutoff Instruction

Cutoff in year received.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 25 year(s) after cutoff

Additional Information

First year of records accumulation 1990

What will be the date span of the initial transfer of records to the National Archives?

From 1990 To 1996

How frequently will your agency transfer these records to the National Archives?

Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1.0 GB	100 MB
Paper	3 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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3. Article III Judges' Survey Reports.

Disposition Authority Number DAA-0116-2019-0001-0014

Prepared every 2 years for the courts of appeals and district courts. Records contain surveys used to determine Article III judgeship needs.

Final Disposition

Permanent

Item Status

Active

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 **Cutoff in year of receipt**

Transfer to the National Archives for Accessioning **Transfer to NARA when 25 years after block closes in 6-year blocks (ie 3 sets of biennial reports per transfer). All duplicate copies may be destroyed when no longer needed.**

Additional Information

First year of records accumulation **1990**

What will be the date span of the initial transfer of records to the National Archives? **From 1990 To 1995**

How frequently will your agency transfer these records to the National Archives? **Every 6 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	4.5 GB	150 MB
Paper	15 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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4. Bankruptcy Judges' Survey Reports - (a). Continuing Needs

Disposition Authority Number **DAA-0116-2019-0001-0015**

Prepared every 2 years; based on a survey to determine whether current number of bankruptcy judgeships is still required.

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? **Yes**

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

Disposition Instruction

Cutoff Instruction **Cutoff when received.**

Transfer to the National Archives for Accessioning **Transfer to NARA 25 years after block closes in 6-year blocks (ie 3 sets of biennial reports per transfer).**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1990 To 1996**

How frequently will your agency transfer these records to the National Archives? **Every 6 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	6.0 GB	200 MB
Paper	15 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

x. Training Records. 3. Judges and Chambers Orientation Records.

Disposition Authority Number **DAA-0116-2019-0001-0016**

Records from introductory sessions for newly appointed judges, chief judges, judicial assistants, and other chambers personnel. These records include copies of invitations, congratulatory and thank-you letters, and other correspondence relating to the orientation.

Final Disposition **Temporary**

Item Status **Active**

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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Retention Period	Destroy when 10 years old or when no longer needed, whichever is later.
	Additional Information	
	GAO Approval	Not Required
8	2. Magistrate Judge's Survey Reports- (b) New Position	
	Disposition Authority Number	DAA-0116-2019-0001-0018
	Prepared annually based on court request for new magistrate judge positions.	
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	NC1-116-85-5 / item 2
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually in year report is received
	Transfer to the National Archives for Accessioning	Transfer to NARA when 25 years old in 5-year blocks. All duplicate copies maybe destroyed when no longer needed.
	Additional Information	
	First year of records accumulation	1990
	What will be the date span of the initial transfer of records to the National Archives?	From 1990 To 1995

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	60 MB	2 MB
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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4. Bankruptcy Judges' Survey Reports- (b). Additional Judgeship Needs

Disposition Authority Number **DAA-0116-2019-0001-0019**

Prepared every 2 years based on a survey to determine whether any additional bankruptcy judgeships are needed. These reports are the basis for Congressional authorization of new judgeships.

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? **Yes**

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

Disposition Instruction

Cutoff Instruction **Cutoff in year report is received**

Transfer to the National Archives for Accessioning **Transfer to NARA 25 years after block closes in 6-year blocks (ie 3 sets of biennial reports).**

Additional Information

First year of records accumulation **1990**

What will be the date span of the initial transfer of records to the National Archives? **From 1990 To 1996**

How frequently will your agency transfer these records to the National Archives? **Every 6 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	60 MB	2 MB
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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
12/17/2018	Certify	Omar Herran	Judiciary Records Officer	DPS - CSO
12/18/2018	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/31/2019	Submit For Certification	Kelly McCall	Management Analyst	Court Services Office - National Programs Branch
01/31/2019	Certify	Omar Herran	Judiciary Records Officer	DPS - CSO
06/14/2019	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/14/2019	Submit For Certification	Kelly McCall	Management Analyst	Court Services Office - National Programs Branch
06/19/2019	Return to Submitter	Omar Herran	Judiciary Records Officer	DPS - CSO
06/19/2019	Submit For Certification	Kelly McCall	Management Analyst	Court Services Office - National Programs Branch
07/18/2019	Certify	Omar Herran	Judiciary Records Officer	DPS - CSO
07/19/2019	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/16/2019	Submit For Certification	Kelly McCall	Management Analyst	Court Services Office - National Programs Branch

09/19/2019	Certify	Omar Herran	Judiciary Records Officer	DPS - CSO
04/28/2021	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/07/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/15/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/17/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist