

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0116-2013-0001

Status: APPROVED
Date Approved: 03/28/2014

General Information

Agency or Establishment	Administrative Office of the United States Courts
Record/Scheduling Group	0116 - Records of the Administrative Office of the United States Courts
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Administrative Office (Adm., Audit, and Assessments Records)
Schedule Subject	Administrative Management Records, Audits, and Management Review and Studies
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 15

Number of Temporary disposition items: 12

Number of Permanent disposition items: 3

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 2

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Outline of Records Schedule Items for DAA-0116-2013-0001

Item #	Title	Disposition
0001	AO-16K Strategic Plans	Permanent
0002	AO-27a1 Management Review Reports and Studies Final reports of administrative, operational, and/or program management reviews. Also includes studies conducted, documenting findings and recommendations pertaining to major problems, congressional or executive branch initiatives.	Temporary
0003	AO27a2-Management Review Reports and Studies. Final reports of administrative, operational, and/or program management reviews. Also includes studies conducted, documenting findings and recommendations pertaining to major programs, congressional or executive branch initiatives.	Permanent
0004	AO-27a3-Management Review and Reports and Studies. Final reports of administrative, operational, and/or program management reviews. Also includes studies conducted, documenting findings and recommendations pertaining to major programs, congressional or executive branch initiatives.	Temporary
0005	AO-27b Management Review Report Working Papers	Temporary
0006	AO-27c1 Surveys. Surveys, questionnaires and other special one-time or periodic information requests that are distributed to multiple locations for research purposes. Includes surveys and information requests recommended or endorsed by Judicial Conference committees or advisory groups.	Temporary
0007	AO-27c2-Surveys. Surveys, questionnaires and other special one-time or periodic information requests that are distributed to multiple locations for research purposes. Includes surveys and information requests recommended or endorsed by Judicial Conference committees or advisory groups.	Temporary
0008	AO-22a1 AO Audit Reports. Official Record Set	Permanent
0009	AO-22a2-AO Audit Reports. Audit Documentation	Temporary
0010	AO-22a3-AO Audit Reports. All Other Copies	Temporary

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0011	AO-22b1 Resolution of Financial Irregularities Files. Records of reported fiscal irregularities that include physical loss or deficiency and improper payments. Records include court notification of irregularity, audit analysis, and report of findings and conclusions.	Temporary
0012	AO-22b2 Resolution of Financial Irregularities Files. Records of reported fiscal irregularities that include physical loss or deficiency and improper payments. Records include court notification or irregularity, audit analysis, and report of findings and conclusions.	Temporary
0013	AO-22b3 Resolution of Financial Irregularities Files. Records of reported fiscal irregularities that include physical loss or deficiency and improper payments. Records include court notification of irregularity, audit analysis, and report of findings and conclusions.	Temporary
0014	AO-22c Bankruptcy-Related Matters.	Temporary
0015	AO-22d GAO Audits, Reviews and Studies.	Temporary

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Records Schedule Items

DAA-0116-2013-0001-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	AO-16K Strategic Plans	
Item Description	Record copy (signature of approval) of the final Strategic Plan for the Federal Judiciary, published once every five years. All other copies may be destroyed when superseded or obsolete. Also includes periodic interim assessments on the implementation of the Strategic Plan.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Permanent	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 15 year(s) after date of issuance or when no longer needed for reference purposes, which ever is later.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item subject to a FOIA exemption?		

DAA-0116-2013-0001-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	AO-27a1 Management Review Reports and Studies Final reports of administrative, operational, and/or program management reviews. Also includes studies conducted, documenting findings and recommendations pertaining to major problems, congressional or executive branch initiatives.	

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Item Description	Official reports related to the assessment of individual local programs and/or administrative functions within components of the Judiciary. When more than one office is involved in writing a report, the office responsible for producing the final report maintains the official record.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when 10 years old.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0116-2013-0001-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	AO27a2-Management Review Reports and Studies. Final reports of administrative, operational, and/or program management reviews. Also includes studies conducted, documenting findings and recommendations pertaining to major programs, congressional or executive branch initiatives.
Item Description	2. Official studies commissioned by the Office of the Director or by other Office-level components of the Administrative Office, determined by an Administrative Office management official or by NARA to have historic value. Example of studies meeting this criteria include initiation or closure of major national programs, reorganization and/or consolidation of major national programs, studies provided to Congress or the executive branch, and/or studies supporting a major program initiative at the courts but not included in the records of the Judicial Conference committee of jurisdiction. When more than one office is involved in writing a report, the office responsible for producing the final report maintains the official record.
Is this item media neutral?	Yes

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Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 20 year(s) after issuance or when no longer needed for reference purposes, whichever is later.
ADDITIONAL INFORMATION	
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0116-2013-0001-0004		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	AO-27a3-Management Review and Reports and Studies. Final reports of administrative, operational, and/or program management reviews. Also includes studies conducted, documenting findings and recommendations pertaining to major programs, congressional or executive branch initiatives.		
Item Description	3. All other copies of reports or studies.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
NC1-116-84-2, Item 9 and NC1-116-84-4, Item3	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Temporary		
Retention Period	Other: Destroy when no longer needed for reference purposes.		

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ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0116-2013-0001-0005		STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION			
Item Title	AO-27b Management Review Report Working Papers		
Item Description	Working papers include background and support records such as analysis, drafts, edits, interim reports, statistical data and related correspondence. When more than one office is involved in writing a report, the office responsible for producing the final report maintains the official record.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
N1-116-10-1	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
DO NOT USE. This item was withdrawn and not approved. ERA 2.0 does not have a withdrawn item status. Withdrawn Status Explanation: This item is a filing instruction that identifies extra copies of documents already scheduled under N 1-116-10 / 1 . on 10/19/2023.			
Final Disposition	Temporary		
Retention Period	Other: Destroy when subsequent review report is issued, or when 5 years old, whichever is sooner. Do not transfer to a FRC.		
ADDITIONAL INFORMATION			
Are any of the records covered by this item national security classified?			
GAO Approval Required	No		

DAA-0116-2013-0001-0006	STATUS: Active
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ITEM GENERAL INFORMATION	
Item Title	AO-27c1 Surveys. Surveys, questionnaires and other special one-time or periodic information requests that are distributed to multiple locations for research purposes. Includes surveys and information requests recommended or endorsed by Judicial Conference committees or advisory groups.
Item Description	1. Official record is maintained by the office responsible for developing and coordinating the survey, questionnaire or information request.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Retain for a minimum of 5 years. Destroy 10 years after completion of the survey, or when no longer needed for reference, whichever is sooner.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0116-2013-0001-0007		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	AO-27c2-Surveys. Surveys, questionnaires and other special one-time or periodic information requests that are distributed to multiple locations for research purposes. Includes surveys and information requests recommended or endorsed by Judicial Conference committees or advisory groups.	
Item Description	2. Copies and other supporting documents, including individual survey responses, maintained by the office(s) responsible for the review and approval of all surveys, questionnaires or information requests.	
Is this item media neutral?	Yes	

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Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Retain for a minimum of 5 years. Destroy 10 years after cut off or when not longer needed for reference, whichever is sooner.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0116-2013-0001-0008	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	AO-22a1 AO Audit Reports. Official Record Set
Item Description	One copy of all final audit reports. Includes cyclical court financial and compliance audits. Also includes internal audits of AO office and programs, Judiciary operational financial activities, special audits, and audit of Criminal Justice Act (CJA) grants to community defender organizations.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item was withdrawn and not approved. ERA 2.0 does not have a withdrawn item status. Withdrawn Status Explanation: Withdrawn to re-evaluate the disposition. on 10/19/2023.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at the end of the calendar year. Transfer to the FRC 5 years after cut off.

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Are there multiple instructions for this item?	No
Transfer Instruction	Other: Offer to NARA when 10 years old.
ADDITIONAL INFORMATION	
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0116-2013-0001-0009		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	AO-22a2-AO Audit Reports. Audit Documentation	
Item Description	Records that include all relevant material (excluding the final report) obtained or developed in connection with managing and conducting an audit. Also includes records relating to background information, correspondence, and working papers.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy/Delete when 5 years old.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0116-2013-0001-0010		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	AO-22a3-AO Audit Reports. All Other Copies	
Item Description	Kept for reference purposes.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy/delete when no longer needed for reference.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0116-2013-0001-0011	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	AO-22b1 Resolution of Financial Irregularities Files. Records of reported fiscal irregularities that include physical loss or deficiency and improper payments. Records include court notification of irregularity, audit analysis, and report of findings and conclusions.
Item Description	Financial irregularities dealing with potential fraud, waste, or abuse.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded Explanation in Part?
N1-116-03-5, Item 2	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy 5 year(s) after case is closed.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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DAA-0116-2013-0001-0012		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	AO-22b2 Resolution of Financial Irregularities Files. Records of reported fiscal irregularities that include physical loss or deficiency and improper payments. Records include court notification or irregularity, audit analysis, and report of findings and conclusions.	
Item Description	Financial irregularities dealing with improper payments or payments error events.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-116-03-5, Item 2	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Destroy 5 year(s) after resolution of event.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0116-2013-0001-0013		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	AO-22b3 Resolution of Financial Irregularities Files. Records of reported fiscal irregularities that include physical loss or deficiency and improper payments. Records include court notification of irregularity, audit analysis, and report of findings and conclusions.	
Item Description	All other resolutions of financial irregularities.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-116-03-5. Item 2	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy/delete when 5 years old.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0116-2013-0001-0014	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	AO-22c Bankruptcy-Related Matters.
Item Description	Audit documentation and final reports related to bankruptcy trustee and debtor audit matters for Chapter 7, Chapter 13, and bankruptcy administrator program.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-116-86-1, Item 8	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy/Delete when 10 years old.
ADDITIONAL INFORMATION	

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0116-2013-0001-0015		STATUS: Active		
ITEM GENERAL INFORMATION				
Item Title	AO-22d GAO Audits, Reviews and Studies.			
Item Description	Working files containing responses to information requested by GAO, background documentation and correspondence between the AO and GAO.			
Is this item media neutral?	Yes			
Is this item a Big Bucket?				
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS				
Does this item supersede existing disposition authorities?	No			
Is this item a deviation from the GRS?	No			
DISPOSITION INSTRUCTION				
Final Disposition	Temporary			
Retention Period	Other: Retain for 5 years after final GAO report is issued. Destroy when no longer needed.			
ADDITIONAL INFORMATION				
Are any of the records covered by this item national security classified?				
GAO Approval Required	No			

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Signatory Information

Action	User	Date
Approve	David Ferriero	03/28/2014