

Request for Records Disposition Authority

Records Schedule Number **DAA-0116-2013-0001**
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 **Major Subdivision**
Major Subdivision **Administrative Office (Adm., Audit, and Assessments Records)**
Schedule Subject **Administrative Management Records, Audits, and Management Review and Studies**

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
13	2	11	2

GAO Approval

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

Sequence Number	
1	AO-16K Strategic Plans Disposition Authority Number: DAA-0116-2013-0001-0001
2	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. Disposition Authority Number: DAA-0116-2013-0001-0002
3	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. Disposition Authority Number: DAA-0116-2013-0001-0003
4	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. Disposition Authority Number: DAA-0116-2013-0001-0004
5	AO-27b Management Review Report Working Papers Disposition Authority Number: DAA-0116-2013-0001-0005
6	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. Disposition Authority Number: DAA-0116-2013-0001-0006.
7	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. Disposition Authority Number: DAA-0116-2013-0001-0007
8	AO-22a1 AO Audit Reports. Official Record Set Disposition Authority Number: DAA-0116-2013-0001-0008
9	AO-22a2-AO Audit Reports. Audit Documentation Disposition Authority Number: DAA-0116-2013-0001-0009
10	AO-22a3-AO Audit Reports. All Other Copies Disposition Authority Number: DAA-0116-2013-0001-0010
11	AO-22b1 Resolution of Financial Irregularities Files. Records of reported fiscal irregularities that include physical loss or deficiency and improper payments. Records in

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| | clude court notification of irregularity, audit analysis, and report of findings and conclusions. |
| 12 | Disposition Authority Number: DAA-0116-2013-0001-0011 |
| | 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. |
| 13 | Disposition Authority Number: DAA-0116-2013-0001-0012 |
| | 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. |
| 14 | Disposition Authority Number: DAA-0116-2013-0001-0013 |
| | AO-22c Bankruptcy-Related Matters. |
| 15 | Disposition Authority Number: DAA-0116-2013-0001-0014 |
| | AO-22d GAO Audits, Reviews and Studies. |
| | Disposition Authority Number: DAA-0116-2013-0001-0015 |

Records Schedule Items

Sequence Number	
1	<p>AO-16K Strategic Plans</p> <p>Disposition Authority Number DAA-0116-2013-0001-0001</p> <p>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.</p> <p>Final Disposition Permanent</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? No</p> <p>Disposition Instruction</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after date of issuance or when no longer needed for reference purposes, which ever is later.</p> <p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives? Unknown unknown</p> <p>How frequently will your agency transfer these records to the National Archives? Unknown unknown</p>
2	<p>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.</p> <p>Disposition Authority Number DAA-0116-2013-0001-0002</p> <p>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.</p>

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 10 years old.

Additional Information

GAO Approval Not Required

3

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.

Disposition Authority Number DAA-0116-2013-0001-0003

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.

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? No

Disposition Instruction

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after issuance or when no longer needed for reference purposes, whichever is later.

Additional Information

	<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>Unknown unknown</p> <p>Unknown unknown</p>
4	<p>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.</p> <p>Disposition Authority Number</p> <p>3. All other copies of reports or studies.</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>GRS or Superseded Authority Citation</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p>	<p>DAA-0116-2013-0001-0004</p> <p>Temporary</p> <p>Active</p> <p>Yes</p> <p>No</p> <p>NC1-116-84-2, Item 9 and NC1-116-84-4, Item3</p> <p>Destroy when no longer needed for reference purposes.</p> <p>Not Required</p>
5	<p>AO-27b Management Review Report Working Papers</p> <p>Disposition Authority Number</p> <p>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.</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</p>	<p>DAA-0116-2013-0001-0005</p> <p>Temporary</p> <p>Withdrawn</p> <p>Yes</p> <p>No</p>

electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-116-10-1

Withdrawn Status Explanation This item is a filing instruction that identifies extra copies of documents already scheduled under N1-116-10-1.

Disposition Instruction

Retention Period Destroy when subsequent review report is issued, or when 5 years old, whichever is sooner. Do not transfer to a FRC.

Additional Information

GAO Approval Not Required

6 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.

Disposition Authority Number DAA-0116-2013-0001-0006

1. Official record is maintained by the office responsible for developing and coordinating the survey, questionnaire or information request.

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 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

GAO Approval Not Required

7 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.

Disposition Authority Number **DAA-0116-2013-0001-0007**

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.

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 **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

GAO Approval **Not Required**

AO-22a1 AO Audit Reports. Official Record Set

Disposition Authority Number **DAA-0116-2013-0001-0008**

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.

Final Disposition **Permanent**

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 **Withdrawn to re-evaluate the disposition.**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year. Transfer to the FRC 5 years after cut off.**

Transfer to the National Archives for Accessioning **Offer to NARA when 10 years old.**

8

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**

9

AO-22a2-AO Audit Reports. Audit Documentation

Disposition Authority Number **DAA-0116-2013-0001-0009**

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.

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 5 years old.**

Additional Information

GAO Approval **Not Required**

10

AO-22a3-AO Audit Reports. All Other Copies

Disposition Authority Number **DAA-0116-2013-0001-0010**

Kept 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

11

Retention Period Destroy/delete when no longer needed for reference.

Additional Information

GAO Approval Not Required

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.

Disposition Authority Number DAA-0116-2013-0001-0011

Financial irregularities dealing with potential fraud, waste, or abuse.

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

GRS or Superseded Authority Citation N1-116-03-5, Item 2

Disposition Instruction

Retention Period Destroy 5 year(s) after case is closed.

Additional Information

GAO Approval Not Required

12

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.

Disposition Authority Number DAA-0116-2013-0001-0012

Financial irregularities dealing with improper payments or payments error events.

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

13

GRS or Superseded Authority Citation N1-116-03-5, Item 2

Disposition Instruction

Retention Period Destroy 5 year(s) after resolution of event.

Additional Information

GAO Approval Not Required

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.

Disposition Authority Number DAA-0116-2013-0001-0013

All other resolutions of financial irregularities.

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

GRS or Superseded Authority Citation N1-116-03-5. Item 2

Disposition Instruction

Retention Period Destroy/delete when 5 years old.

Additional Information

GAO Approval Not Required

14

AO-22c Bankruptcy-Related Matters.

Disposition Authority Number DAA-0116-2013-0001-0014

Audit documentation and final reports related to bankruptcy trustee and debtor audit matters for Chapter 7, Chapter 13, and bankruptcy administrator program.

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

15

GRS or Superseded Authority Citation	N1-116-86-1, Item 8
Disposition Instruction	
Retention Period	Destroy/Delete when 10 years old.
Additional Information	
GAO Approval	Not Required
AO-22d GAO Audits, Reviews and Studies.	
Disposition Authority Number	DAA-0116-2013-0001-0015
Working files containing responses to information requested by GAO, background documentation and correspondence between the AO and GAO.	
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	Retain for 5 years after final GAO report is issued. Destroy when no longer needed.
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
05/17/2013	Certify	Edward Dukes	Deputy Records Officer	Office of Court Administration - Public Access and Records Management Division
03/18/2014	Submit for Concurrency	David Weber	for	National Archives and Records Administration - Records Management Services
03/26/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/26/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/28/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist