

Request for Records Disposition Authority

Records Schedule Number: DAA-0578-2013-0002
Schedule Status: Approved
Agency or Establishment: United States Bankruptcy Courts
Record Group / Scheduling Group: Records of the United States Bankruptcy Courts
Records Schedule applies to: Major Subdivision
Major Subdivision: Bankruptcy Administrators
Schedule Subject: D(2) Bankruptcy Administrator Program Records
Internal agency concurrences will be provided: No

Background Information: Section 302(d)(3)(I) of the Bankruptcy Judges, United States Trustees, and Family Farmer Bankruptcy Act of 1986, Pub. L. 99-554, 100 Stat. 3119, 3123, provides the statutory authority for the Judicial Conference of the United States to establish the bankruptcy administrator program.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	0	11	2

GAO Approval

Outline of Records Schedule Items for DAA-0578-2013-0002

Sequence Number	
1	D(2)a(1)-General Administrative Records-Individual case cash receipts and disbursement ledger. Disposition Authority Number: DAA-0578-2013-0002-0001
2	D(2)a(2). General Administrative Records-General ledger. Disposition Authority Number: DAA-0578-2013-0002-0002
3	D(2)a(3). General Administrative Records-Bank records, monthly statements, monthly bank reconciliations, cancelled checks, and deposit slips. Disposition Authority Number: DAA-0578-2013-0002-0003
4	D(2)a(4). General Administrative Records-All documentation related to the financial administration of the estate. Disposition Authority Number: DAA-0578-2013-0002-0004
5	D(2)b(1)-Bankruptcy Administration Management Files-Chapter 7 asset, Chapter 9, Chapter 11, Chapter 12, and Chapter 15 bankruptcy files. Disposition Authority Number: DAA-0578-2013-0002-0005
6	D(2)b(2) Bankruptcy Administration Management Files-Chapter 7 no-asset bankruptcy files. Disposition Authority Number: DAA-0578-2013-0002-0006
7	D(2)b(3) Bankruptcy Administration Management Files- Chapter 13 bankruptcy files. Disposition Authority Number: DAA-0578-2013-0002-0007
8	D(2)b(4) Bankruptcy Administration Management Files- Trustees semi-annual and annual reports and budgets. Disposition Authority Number: DAA-0578-2013-0002-0008
9	D(2)b(5) Bankruptcy Administration Management Files-Audits of trustees or bankruptcy administrators debtor audits. Disposition Authority Number: DAA-0578-2013-0002-0009
10	D(2)b(6)(a) Audio recordings or transcripts of meetings of creditors and equity security holders held pursuant to 11 USC §341(a). Cases filed under Chapter 7, 9, 11, 12, 13, and 15 of title 11 USC. Disposition Authority Number: DAA-0578-2013-0002-0010
11	D(2)b(6)(b) Audio recordings or transcripts of meetings of creditors and equity security holders held pursuant to 11 USC §341(a). All cases under Title 11, USC, where audio recordings may require an extended period of retention for one of more of the following pending matters: • collecting assets of the estate; • determining the appropriateness of discharge; • obtaining relevant information about the affairs of the debtor; • investigating the organization structure of the debtor; • fixing compensation of professional persons; • investigating or prosecuting criminal conduct, including but not limited to perjury

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| 12 | Disposition Authority Number: DAA-0578-2013-0002-0011
D(2)b(7) Bankruptcy Administration Management Files-Bankruptcy Criminal Referral Files. |
| 13 | Disposition Authority Number: DAA-0578-2013-0002-0012
D(2)b(8) Bankruptcy Administration Management Records-Credit Counseling and Debtor Education Provider Files.
Disposition Authority Number: DAA-0578-2013-0002-0013 |

Records Schedule Items

Sequence Number	
1	<p>D(2)a(1)-General Administrative Records-Individual case cash receipts and disbursement ledger.</p> <p>Disposition Authority Number DAA-0578-2013-0002-0001</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 Any case cash receipts and disbursement records are filed item 5, Bankruptcy Administration Management Files, which contain all financial records related to the case.</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 3 years following the date on which the trustee was discharged from the case.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>D(2)a(2). General Administrative Records-General ledger.</p> <p>Disposition Authority Number DAA-0578-2013-0002-0002</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? No</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 7 year(s) after the end of the fiscal year of the ledger.</p>

WITHDRAWN

3	Additional Information	
	GAO Approval	Not Required
	D(2)a(3). General Administrative Records-Bank records, monthly statements, monthly bank reconciliations, cancelled checks, and deposit slips.	
	Disposition Authority Number	DAA-0578-2013-0002-0003
	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 following date they were issued.
4	Additional Information	
	GAO Approval	Not Required
	D(2)a(4). General Administrative Records-All documentation related to the financial administration of the estate.	
	Disposition Authority Number	DAA-0578-2013-0002-0004
	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	All financial administration documentation is retained in item 5, Bankruptcy Administration Management Files.
	Disposition Instruction	
Retention Period	Destroy 2 year(s) after the date on which the trustee was discharged from the case.	
Additional Information		
GAO Approval	Not Required	

WITHDRAWN

5 D(2)b(1)-Bankruptcy Administration Management Files-Chapter 7 asset, Chapter 9, Chapter 11, Chapter 12, and Chapter 15 bankruptcy files.

Disposition Authority Number DAA-0578-2013-0002-0005

Records include: work papers, correspondence, hearing, trial, or other notes, financial statements, inventories, and other documents created or edited in preparation for a hearing, meeting of creditors, deposition, inspection, or other case-related event, whether held or not.

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 5 year(s) after the case is closed.

Additional Information

GAO Approval Not Required

6 D(2)b(2) Bankruptcy Administration Management Files-Chapter 7 no-asset bankruptcy files.

Disposition Authority Number DAA-0578-2013-0002-0006

Records include: work papers, correspondence, hearing, trial, or other notes, financial statements, inventories, and other documents created or edited in preparation for a hearing, meeting of creditors, deposition, inspection, or other case-related event, whether held or not.

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 90 days after reviewing the trustee's no asset report or when no longer needed for reference purposes, whichever is later.

7	Additional Information	
	GAO Approval	Not Required
	D(2)b(3) Bankruptcy Administration Management Files- Chapter 13 bankruptcy files.	
	Disposition Authority Number	DAA-0578-2013-0002-0007
	Records include: work papers, correspondence, hearing, trial, or other notes, financial statements, inventories, and other documents created or edited in preparation for a hearing, meeting of creditors, deposition, inspection, or other case-related event, whether held or not.	
	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 2 year(s) after the date the trustee is discharged.	
8	Additional Information	
	GAO Approval	Not Required
	D(2)b(4) Bankruptcy Administration Management Files- Trustees semi-annual and annual reports and budgets.	
	Disposition Authority Number	DAA-0578-2013-0002-0008
	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		

9	GAO Approval	Not Required
	D(2)b(5) Bankruptcy Administration Management Files-Audits of trustees or bankruptcy administrators debtor audits.	
	Disposition Authority Number	DAA-0578-2013-0002-0009
	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	
10	GAO Approval	Not Required
	D(2)b(6)(a) Audio recordings or transcripts of meetings of creditors and equity security holders held pursuant to 11 USC §341(a). Cases filed under Chapter 7, 9, 11, 12, 13, and 15 of title 11 USC.	
	Disposition Authority Number	DAA-0578-2013-0002-0010
	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	Except as provided in section (2)below, destroy/delete the audio recordings 2 years after the date of the conclusion of the meeting of creditors.
Additional Information		
GAO Approval	Not Required	

11	<p>D(2)b(6)(b) Audio recordings or transcripts of meetings of creditors and equity security holders held pursuant to 11 USC §341(a). All cases under Title 11, USC, where audio recordings may require an extended period of retention for one of more of the following pending matters: • collecting assets of the estate; • determining the appropriateness of discharge; • obtaining relevant information about the affairs of the debtor; • investigating the organization structure of the debtor; • fixing compensation of professional persons; • investigating or prosecuting criminal conduct, including but not limited to perjury</p> <p>Disposition Authority Number DAA-0578-2013-0002-0011</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>Disposition Instruction</p> <p>Retention Period Delete/Destroy 2 years after the conclusion of the applicable pending matters(s).</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
12	<p>D(2)b(7) Bankruptcy Administration Management Files-Bankruptcy Criminal Referral Files.</p> <p>Disposition Authority Number DAA-0578-2013-0002-0012</p> <p>Records include referral documentation and all supporting documentation, whether or not part of the referral.</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? No</p> <p>Disposition Instruction</p>

13	Retention Period	Destroy 10 year(s) after the date of referral or when case is closed, whichever is later.
	Additional Information	
	GAO Approval	Not Required
	D(2)b(8) Bankruptcy Administration Management Records-Credit Counseling and Debtor Education Provider Files.	
	Disposition Authority Number	DAA-0578-2013-0002-0013
	Records include applications, tax returns, and government certifications.	
	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 10 year(s) after the end of the fiscal year of the application.
	Additional Information	
GAO Approval	Not Required	

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
06/27/2013	Certify	Omar Herran	Judiciary Records Officer	US Courts - Administrative Office
01/22/2015	Submit for Concurrence	David Weber	for	National Archives and Records Administration - Records Management Services
02/03/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
02/04/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
02/05/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist