

# Guide to Judiciary Policy

Vol. 10: Public Access and Records  
Ch. 6: Records Management

## Appx. 6B: Records Disposition Schedule 2

This schedule covers the disposition of the records of the United States district courts, bankruptcy courts, territorial district courts, Judicial Panel on Multidistrict Litigation, U.S. Court of Federal Claims and predecessor courts, U.S. Court of International Trade, and the Special Court, Regional Rail Reorganization Act of 1973.

This schedule has been approved by the Judicial Conference of the United States and the Archivist of the United States and is mandatory. It applies to existing records of these courts, councils, and conferences, except the personal files of judges. The Archivist of the United States retains the authority to accession, as part of the National Archives and Records Administration (NARA), any records having historical or other value upon the expiration of the retention period specified in this schedule. **See:** [44 U.S.C. chapter 21](#). Selection criteria for historical preservation will be developed and revised by NARA in consultation with court officials and other historical and academic parties.

To the extent that the retention period specified in this schedule may vary from any statutory provision, the longer period of retention, whether in the statute or in the schedule, applies. Records of historical value are designated “Permanent” in this schedule. Court officials should also consult the [General Records Schedule \(GRS\)](#) issued by NARA for the appropriate retention periods for general/other non-case file administrative records that are not addressed in the following schedule.

The Federal Records Centers (FRC) are facilities operated by NARA for the storage and servicing of records of federal agencies pending their disposal or permanent transfer to NARA. Court records stored in FRCs remain in the legal custody of the judiciary. Once court records are transferred to NARA, they are in the Archivist’s legal custody. Temporary records with a disposition of five years or less should be stored at the courthouse.

Records Disposition Schedule 2	
Type of Record	Disposition
<b>A. CASE RECORDS.</b> All records resulting from the docketing and processing of a case in a court that pertain to that particular case.	
<b>1. Expunged records.</b>	Temporary. Destroy upon entry of court order of expunction.  (N1-021-86-1, Item A1)

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<b>2. Sealed records.</b> Those case records which have been sealed by court order while such court order is in effect.	
a. Records sealed for protection of the defendant under 18 U.S.C. § 5038 or 21 U.S.C. § 844(b) [repealed].	Temporary. Destroy as directed by the court. Do not transfer to an FRC.  (N1-021-86-1, Item A2a)
b. Other temporarily sealed records.	Maintain and transfer to an FRC in accordance with retention period for related case file. For sealed records later determined to be permanently sealed, FRCs will apply the instructions in Item c.  (N1-021-86-1, Item A2b)
c. Permanently sealed records.	Maintain at the court location in a separate file from the related case file. When the order sealing the records is vacated by the court, dispose of in accordance with the pertinent provisions of this schedule for the related case file.  (N1-021-86-1, Item A2b)
<b>3. Docket sheets.</b>	
a. Dockets of U.S. commissioners in petty offense cases.	Temporary. Destroy 5 years after final action.  (N1-021-86-1, Item A3a)
b. All other docket sheets.	Permanent. Machine readable tapes of dockets are to be transferred to NARA with complete documentation when cases are closed, and the records become inactive.  (N1-021-86-1, Item A3b)
<b>4. Case indices.</b>	Permanent. Machine readable tapes of indices are to be transferred to NARA with

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<b>Type of Record</b>	<b>Disposition</b>
	complete documentation when cases are closed, and the records become inactive.  (N1-021-86-1, Item A4)
<b>5. Judgment and order books.</b>	Permanent. Transfer to NARA when 25 years old.  (N1-021-86-1, Item A5)
<b>6. Non-electronic criminal case files</b> , including transcripts and minutes.	
a. Case files dated 1969 or earlier.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-021-11-1, Item 6a)
b. Case files dated 1970 or later which were terminated during or after trial.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-021-11-1, Item 6b)
c. Non-trial criminal cases relating to treason and national security, including the following offense codes: 9740, 9751, 9752, 9753, 9754, 9755, 9770, 9780, 9790, 9791; or to embezzlement, fraud, or bribery by a public official, including offense codes 4350 and 7100.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-021-11-1, Item 6e1)
d. Non-trial cases resulting in death penalty.	Permanent. Transfer records to NARA 30 years after close of case.  (DAA-0021-2013-0005-0004)
e. Any criminal case file determined by court officials or NARA to have historical value.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-021-11-1, Item 6c)
f. Non-trial criminal cases that:	
(1) Result in sentences of 15 years or less (other than those selected as permanent in sections a–d above).	Temporary. Destroy 15 years after close of case.

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
	(DAA-0021-2013-0005-0006)
(2) Result in sentences between 15 and 30 years (other than those selected as permanent in sections a–d above).	Temporary. Destroy 30 years after close of case.  (DAA-0021-2013-0005-0007)
(3) Result in life sentences (other than those selected as permanent in sections a–d above) or sentences longer than 30 years.	Temporary. Destroy 75 years after close of case.  (DAA-0021-2013-0005-0008)
g. Misdemeanor and petty offense proceedings conducted by U.S. magistrate judges in cases not assigned a district court docket number. ( <b>Note:</b> As used in this schedule, the term misdemeanor includes minor offenses prior to the Federal Magistrates Act of 1979.)	Temporary. Destroy 5 years after close of case.  (N1-021-11-1, Item 6d)
h. All other case files not included above.	Temporary. Destroy 15 years after close of case.  (N1-021-11-1, Item 6g)
<b>7. Non-electronic civil case files</b> , including transcripts and minutes.	
a. Domestic relations, adoption, mental incompetency, and probate files of the District of Columbia as defined in <a href="#">Pub. L. No. 91-358</a> , and similar case files maintained by territorial district courts.	Permanent. Transfer records to NARA 15 years after close of case.  (DAA-021-2013-0007-0001)
b. Other civil case files.	
(1) Case files dated 1969 or earlier.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-021-10-2, Item 7b (1))
(2) Case files dated 1970 or later which are multi-district litigations, class actions, or go to trial.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-021-10-2, Item 7b (2))
(3) Civil cases with the following nature of suit codes:  <b>192</b> (State Fair Trade Act); <b>210</b> (Land Condemnation); <b>310</b> (Airplane); <b>315</b> (Airplane Product Liability);	Permanent. Transfer records to NARA 15 years after close of case.

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
<p><b>371</b> (Truth-in-Lending); <b>400</b> (State Reapportionment); <b>410</b> (Anti-Trust); <b>430</b> (Banks and Banking); <b>440</b> (Civil Rights – Other); <b>441</b> (Civil Rights Voting Cases); <b>460</b> (Deportation); <b>461</b> (Deportation Review); <b>463</b> (Habeas Corpus – Alien Detainee); <b>470</b> (RICO); <b>535</b> (Prisoner Petition – Death Penalty); <b>710</b> (Fair Labor Standards Act); <b>730</b> (Labor Management Reporting and Disclosure Act); <b>740</b> (Railway Labor Act); <b>810</b> (Selective Service Act); <b>830</b> (Patent Cases); <b>862</b> (Black Lung); <b>880</b> (Review of Enforcement); <b>890</b> (Other Statutory Act); <b>892</b> (Economic Stabilization Act); <b>893</b> (Environmental Matters); <b>894</b> (Energy Allocation Act); <b>900</b> (Appeal Fee Determination); <b>910</b> (Domestic Relations); <b>930</b> (Probate); <b>950</b> (Constitutionality of State Statutes); <b>970</b> (Narcotic Addict Rehabilitation).</p>	<p>(N1-021-10-2, Item 7b (3))</p>
<p>(4) Civil cases that progress to or past the “issue joined” stage before closing with the following nature of suit codes:</p> <p><b>160</b> (Stockholder Suits); <b>191</b> (Employee Relations); <b>220</b> (Foreclosure); <b>240</b> (Torts to Land); <b>245</b> (Torts Product Liability – Real Property); <b>360</b> (Other Personal Injury); <b>362</b> (Medical Malpractice); <b>365</b> (Personal Injury – Product Liability); <b>368</b> (Asbestos); <b>370</b> (Fraud); <b>442</b> (Civil Rights – Employment); <b>443</b> (Civil Rights – Housing/Accommodations); <b>444</b> (Civil Rights – Welfare); <b>445</b> (Americans with Disabilities Act – Employment); <b>446</b> (Americans with Disabilities Act – Other); <b>462</b> (Naturalization Application); <b>465</b> (Other Immigration Action); <b>480</b> (Consumer Credit); <b>490</b> (Cable/Satellite TC); <b>510</b> (Motions to Vacate Sentence); <b>530</b> (Prisoner Habeas Corpus); <b>540</b> (Prisoner Petitions – Mandamus); <b>550</b> (Civil Rights); <b>555</b> (Prison Conditions); <b>610</b> (Agricultural Penalty); <b>820</b> (Copyright); <b>850</b> (Securities and Exchange Commission); <b>891</b> (Agricultural Acts); <b>895</b> (FOIA).</p>	<p>Permanent. Transfer records to NARA 15 years after close of case.</p> <p>(N1-021-10-2, Item 7b (4))</p>
<p>(5) Any civil case file determined by court officials or NARA to have historical value.</p>	<p>Permanent. Transfer records to NARA 15 years after close of case.</p> <p>(N1-021-10-2, Item 7b (5))</p>

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<b>Type of Record</b>	<b>Disposition</b>
<p>(6) All other case files not included above.</p> <p><b>100</b> (Admiralty); <b>110</b> (Insurance);  <b>120</b> (Marine (Contract)); <b>130</b> (Miller Act);  <b>140</b> (Negotiable Instrument); <b>150</b> (Recovery of Overpayment and Enforcement of Judgment);  <b>151</b> (Recovery of Overpayment of Medicare);  <b>152</b> (Student Loans); <b>153</b> (Veteran’s Benefits);  <b>190</b> (Other Contracts); <b>193</b> (Hospital Care Act);  <b>195</b> (Contract Product Liability); <b>196</b> (Franchise);  <b>230</b> (Rent, Lease, Ejectment); <b>290</b> (All Other Real Property); <b>320</b> (Assault, Liable, and Slander);  <b>330</b> (Federal Employers Liability); <b>340</b> (Marine Personal Injury); <b>345</b> (Marine Products Liability);  <b>350</b> (Motor Vehicle); <b>355</b> (Motor Vehicle Product Liability); <b>361</b> (Workmen’s Compensation); <b>380</b> (Other Personal Property Damage); <b>385</b> (Property Damage Product Liability); <b>420</b> (Bankruptcy Trustee);  <b>421</b> (Bankruptcy Transfer); <b>422</b> (Bankruptcy Appeal);  <b>423</b> (Bankruptcy Withdrawal); <b>430</b> (Banks and Banking); <b>450</b> (Commerce); <b>625</b> (Drug-Related Seizure of Property); <b>630</b> (Liquor Laws); <b>640</b> (Railroad and Truck); <b>650</b> (Airline Regulations);  <b>660</b> (Occupational Safety and Health); <b>690</b> (Other Forfeiture and Penalty Act); <b>720</b> (Labor-Management Relations); <b>750</b> (Welfare Pension Plan Disclosure);  <b>790</b> (Other Labor Litigations); <b>791</b> (Employment Retirement Income Security Act); <b>840</b> (Trademark);  <b>860</b> (Social Security); <b>861</b> (Social Security Health Insurance); <b>863</b> (Social Security Disability Insurance);  <b>864</b> (Social Security Supplemental Security Income);  <b>865</b> (Social Security Retirement and Survivors’ Benefits); <b>870</b> (Taxes); <b>871</b> (IRS Third Party);  <b>875</b> (Customer Challenge); <b>920</b> (Insanity);  <b>940</b> (Substitute Trustee); <b>990</b> (Other); <b>992</b> (Local Jurisdictional Appeal).</p>	<p>Temporary. Destroy 15 years after close of case.</p> <p>(N1-021-10-2, Item 7b (6))</p>
<p><b>8. Case files of the former Court of Claims.</b> The Federal Courts Improvement Act of 1982 transferred jurisdiction of trial cases to the U.S. Claims Court (subsequently renamed the U.S. Court of Federal Claims) and jurisdiction of appeal cases to the U.S. Court of Appeals for the Federal Circuit.</p>	<p>Permanent. Transfer to NARA when 25 years old.</p> <p>(N1-021-86-1, Item A8)</p>
<p><b>9. Case files of the United States Court of International Trade.</b></p>	

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
a. Test or trial cases.	
(1) Cases dealing with antidumping countervailing duty issues, trade adjustment assistance, and cases which NARA, in consultation with court officials, have determined to have historical value.	Permanent. (N1-021-86-1, Item A9a (1))
(2) All other cases.	Temporary. Destroy 20 years after transfer to an FRC.  (N1-021-86-1, Item A9a (2))
b. Non-trial cases.	
(1) Cases decided by abandonment or dismissal.	Temporary. Destroy 5 years after transfer to an FRC.  (N1-021-86-1, Item A9b (1))
(2) Cases decided as a result of stipulation or agreement between parties.	Temporary. Destroy 10 years after transfer to an FRC.  (N1-021-86-1, Item A9b (2))
<p><b>10. Case files for the United States Court of Federal Claims</b> (formerly known as the United States Claims Court).</p> <p>The United States Court of Federal Claims was established by Congress in 1982, with nationwide jurisdiction over various money claims against the United States, in excess of \$10,000 (<a href="#">28 U.S.C. § 1346</a> and <a href="#">§ 1491</a>). The court hears suits involving government contracts, constitutional claims, tax refunds, Indian claims, civilian and military pay claims, patents and copyright matters, and vaccine injury claims. The court is also authorized to review agency decisions under various federal compensation programs.</p> <p>For purposes of this schedule, “close of case” occurs on the date of entry of final judgment that is not appealable. See: <a href="#">28 U.S.C. § 2412(d)(2)(G)</a> (“final judgment . . . means a judgment that is final and not appealable and includes an order of settlement”).</p>	
a. Cases dealing with Indian claims. Records resulting from the docketing and processing of materials in court and case files pertaining to Indian claims.	Permanent. Transfer to NARA 20 years after close of case.  (N1-502-11-1, Item 10a)

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
b. Vaccine case files.	
(1) Historically significant vaccine case files. Any vaccine case file determined by a judge, special master, court official or NARA to have historical value.	Permanent. Transfer to NARA 20 years after close of case.  (N1-502-11-1, Item 10b1)
(2) All other vaccine case files not deemed to have historic value.	Temporary. Destroy 10 years after close of case.  (N1-502-11-1, Item 10b2)
c. General jurisdiction case files. Records resulting from the docketing and processing of materials in court pertaining to general cases.	
(1) Case files that went to trial and terminated during or after trial.	Permanent. Transfer to NARA 20 years after close of case.  (N1-502-11-1, Item 10c1)
(2) Historically significant general jurisdiction case files. Any case file determined by a judge, court official or NARA to have historical value.	Permanent. Transfer to NARA 20 years after close of case.  (N1-502-11-1, Item 10c2)
(3) All other general jurisdiction case files not deemed to have historic value.	Temporary. Destroy 10 years after close of case.  (N1-502-11-1, Item 10c3)
d. Congressional Reference Cases. Congressional bills referred to the chief judge of the United States Court of Federal Claims for investigation and report to the appropriate house of Congress, as authorized by <a href="#">28 U.S.C. § 1492</a> and <a href="#">§ 2509</a> .	
(1) Congressional Reference Case Files. Records resulting from the docketing and processing of materials in court pertaining to investigation of bills, as requested by Congress.	Permanent. Transfer to NARA 20 years after close of case.  (N1-502-11-1, Item 10d1)
(2) Congressional Reference Review Panel Reports. Copies of the chief judge's memorandum transmitting the review panel's final report of Congressional Reference cases.	Permanent. Transfer to NARA 20 years after close of case.  (N1-502-11-1, Item 10d2)
e. Sealed Materials. Documents containing confidential information, including personal identifiers.	Process in accordance with the records disposition schedule for the corresponding case file.



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<b>Type of Record</b>	<b>Disposition</b>
	Sealed documents within permanent case files must be unsealed prior to legal transfer to NARA.
<b>11. Case files of the Special Court, Regional Rail Reorganization Act of 1973.</b>	Permanent.  (N1-021-86-1, Item A11)
<b>12. Territorial district court case files.</b>	Superseded by <a href="#">Item A(7) Non-Electronic Civil Case Files.</a>
<b>13. Miscellaneous case files.</b> Ancillary and supplementary proceedings not defined as civil actions including but not restricted to papers relating to foreign depositions, denial of prisoner in forma pauperis, grand jury witness immunity proceedings, and actions to enforce administrative subpoenas, <i>filed separately from civil and criminal files.</i>	
a. Any miscellaneous case file which NARA has determined in consultation with court officials to have historical value.	Permanent.  (N1-021-86-1, Item A13a)
b. Grand jury proceedings. <b>Note:</b> The recordings or reporters' notes, or any transcript prepared therefrom, <i>remain in the custody or control of the attorney for the government unless otherwise ordered by the court in a particular case.</i> Federal Rule of Criminal Procedure 6(e)(1).	Temporary. Destroy as directed by the court.  (N1-021-86-1, Item A13b)
c. Records concerning registration of documents to be used in foreign legal proceedings which have been assigned a miscellaneous case number.	Disposition not authorized. A legal authority allowing disposition of this record has not yet been approved. These records must be retained (cannot be disposed of) until an authority is approved.
d. Attorney disbarment proceedings. Records may be reciprocal or original. Records may consist of orders from another state or federal court, correspondence, orders, motions, notices to the attorney, notices of hearings, and briefs.	Permanent. Transfer to an FRC when 5 years old. Transfer to NARA when 25 years old.  (NC1-116-00-1, Item 1)
e. All other miscellaneous case files not specifically mentioned in 13 a-d.	Temporary. Destroy 10 years after date of last action.

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<b>Type of Record</b>	<b>Disposition</b>
	(N1-021-86-1, Item A13d)
<b>14. Non-electronic bankruptcy case files.</b>	
a. Cases dated 1940 or earlier.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)a)
b. Cases filed under the Bankruptcy Acts of 1800, 1841, and 1867.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)b)
c. Cases filed under the following chapters or subchapters of the Bankruptcy Acts of 1898 and 1978: <ul style="list-style-type: none"> <li>• Chapter VIII, Section 75 (Agricultural)</li> <li>• Chapter VIII, Section 77 (Railroad Reorganization)</li> <li>• Chapter IX (Political Subdivisions)</li> <li>• Chapter X (Corporate Reorganizations)</li> <li>• Chapter XV (Railroad Adjustments)</li> <li>• Chapter 7, Subchapter III (Stockbroker) and IV (Commodity Broker)</li> <li>• Chapter 9 (Municipality)</li> <li>• Chapter 11, Subchapter IV (Railroad Reorganization)</li> <li>• Case files containing orders issued by a court pursuant to Chapter XIV of the Act of 1898 or Section 908 of Title IX of the Merchant Marine Act.</li> </ul>	Permanent. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)c)
d. Cases filed under Chapter 12 of the Congressional Act of 1986, covering family farms and family fishermen.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)d)
e. Any bankruptcy case determined by court officials or NARA to have historical value.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)e)
f. All other case files.	
(1) 2.5% of non-trial case files retired by each district each year.	Permanent. Sampling will be done at the box level. Transfer records to NARA 15 years after

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
	close of case.  (N1-578-11-1, Item 14(1)f(1))
(2) Case files exclusive of 14 a–e, and not selected per 14f (1).	Temporary. Destroy 15 years after close of case.  (N1-578-11-1, Item 14(1)f(2))
g. Adversary proceedings files.	
(1) Proceedings terminated during or after trial.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)g(1))
(2) Proceedings files determined by court officials or NARA to have historical value.	Permanent. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)g(2))
(3) Proceedings files containing orders or judgments affecting title to or lien on real property entered prior to August 1, 1983, not included under items retention g (1) or g (2), above.	Temporary. Destroy 40 years after transfer to an FRC unless the court directs a longer retention period for a specific file.  (N1-578-11-1, Item 14(1)g(3))
(4) All other proceedings files.	
(a) 2.5% of non-trial case files retired by each district each year.	Permanent. Sampling will be done at the box level. Transfer records to NARA 15 years after close of case.  (N1-578-11-1, Item 14(1)g(4)(a))
(b) Proceedings files exclusive of g (1)– (3), and not selected in the sample taken per g(4)(a).	Temporary. Destroy 15 years after close of case.  (N1-578-11-1, Item 14(1)g(4)(b))
<b>15. Other bankruptcy records.</b>	
a. Bankruptcy claims registers, if maintained separately.	Temporary. Destroy 20 years

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	<p>after transfer to an FRC.</p> <p>(N1-021-86-1, Item A15a)</p>
<p>b. Records of the operations of trustees under Chapter XIII of the Bankruptcy Act of 1898 and Chapter 13 of the Bankruptcy Act of 1978 generated by computer whether or not maintained separately from the case file.</p>	<p>Temporary. Destroy 20 years after transfer to an FRC.</p> <p>(N1-021-86-1, Item A15b)</p>
<p>c. Judgment and order records, if kept separately.</p>	<p>Permanent. Transfer to NARA when 25 years old.</p> <p>(N1-021-86-1, Item A15c)</p>
<p>d. Orders of court directing deposit of monies in the Treasury of the United States pursuant to <a href="#">28 U.S.C. § 2042</a>, together with lists of the names and addresses of persons entitled to such monies.</p>	<p>Disposition not authorized. A legal authority allowing disposition of this record has not yet been approved. These records must be retained (cannot be disposed of) until an authority is approved.</p>
<p>e. Bankruptcy miscellaneous proceedings and records. Content includes a variety of bankruptcy miscellaneous proceedings, administrative actions, or court record transactions not specifically part of, or filed in, a bankruptcy case or adversary proceeding. These contain, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Requests to register a judgment in another district;</li> <li>• Motions for protective order or to quash a subpoena for a case pending in another district;</li> <li>• Requests to perpetuate testimony concerning a potential adversary proceeding pursuant to Fed. R. Bankr. P. 7027;</li> <li>• Requests to register a discharge order pursuant to Fed. R. Bankr. P. 4004(f);</li> <li>• Applications for writ of habeas corpus;</li> <li>• Case Management/Electronic Case File (CM/ECF) exemption and revocation privileges;</li> <li>• PACER-related access requests;</li> <li>• Cases transferred for limited purposes;</li> <li>• Any other miscellaneous court filing, proceeding, notice, or request not part of a bankruptcy case or an adversary proceedings file, or not identified by the court as ineligible for destruction, or not a record covered by another bankruptcy records disposition schedule authority.</li> </ul>	<p>Temporary. Destroy 15 years after date of issuance or 15 years after date of last action, whichever is later.</p> <p>(DAA-0578-2013-0001-0001)</p>

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
f. Attorney disbarment proceedings. Records may be reciprocal or original. Records may consist of orders from another state or federal court, correspondence, orders, motions, notices to the attorney, notices of hearings, and briefs.	Permanent. Transfer to an FRC when 5 years old. Transfer to NARA when 25 years old.  (DAA-0578-2013-0001-0002)
<b>16. Violation notices.</b>	Temporary. Destroy 90 days after posting and forfeiture of collateral or dismissal.  (N1-021-86-1, Item A16)
<b>17. Probation and pretrial files.</b>	
a. Supervision case files including investigation and supervision data.	Temporary. Destroy 20 years after termination of supervision.  (N1-021-86-1, Item A17a)
b. Investigation files on individuals not under supervision of probation office, including files of pretrial services agencies.	Temporary. Destroy 20 years after completion of investigation.  (N1-021-86-1, Item A17b)
c. Pretrial diversion case files.	Temporary. Destroy 20 years after termination of supervision.  (N1-021-86-1, Item 2A17c)
<b>18. Records of hearings.</b>	
a. Original court reporters' notes of proceedings, <a href="#">28 U.S.C. § 753(b)</a> .	
(1) Electronic sound recordings of arraignments, pleas, and proceedings in connection with the imposition of sentence in non-death penalty criminal cases assigned district court docket numbers and filed with the clerk of court in lieu of transcript.  <b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.	Temporary. Destroy 20 years after close of case.  (DAA-0021-2013-0004-0001)
(2) Notes or electronic sound recordings covering criminal death penalty cases or civil capital habeas	Permanent. Transfer to NARA 20 years after close of case or

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<b>Type of Record</b>	<b>Disposition</b>
<p>trial cases assigned district court docket numbers and filed with the clerk of court in lieu of transcript.</p> <p><b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.</p>	<p>when no longer needed by the court, whichever is later.</p> <p>(DAA-0021-2013-0004-0002)</p>
<p>(3) All other original notes or recordings.</p> <p><b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.</p>	<p>Temporary. Destroy when 10 years old.</p> <p>(DAA-0021-2013-0004-0003)</p>
<p>b. Tape logs.</p> <p><b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.</p>	<p>Temporary. File with original tape recordings of the proceedings and destroy the logs when the tapes are destroyed.</p> <p>(N1-021-86-1, Item A18b)</p>
<p>c. Electronic sound recordings of magistrate judge proceedings in:</p>	
<p>(1) Misdemeanor cases (above the level of petty offenses) not assigned district court docket numbers.</p> <p><b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.</p>	<p>Temporary. Destroy when 5 years old (tapes may be erased and reused).</p> <p>(N1-021-86-1, Item A18c (1))</p>
<p>(2) Petty offense cases not assigned district court docket numbers.</p> <p><b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.</p>	<p>Temporary. Destroy when 1 year old (tapes may be erased and reused).</p> <p>(N1-021-86-1, Item A18c (2))</p>
<p>(3) Civil cases.</p> <p><b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.</p>	<p>Temporary. Destroy when 10 years old.</p> <p>(N1-021-86-1, Item A18c (3))</p>

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<b>Type of Record</b>	<b>Disposition</b>
<p>d. Electronic sound recordings of first meetings of creditors under the Bankruptcy Act of 1898 and section 341 meetings under the Bankruptcy Act of 1978.</p> <p><b>Note:</b> When several types of cases or proceedings are included on a single tape, the recording should be retained for the longest period prescribed for any case or proceeding on the tape.</p>	<p>Temporary. Destroy when 6 months old (tapes may be erased and reused unless otherwise recommended by the presiding officer for a specific case).</p> <p>(N1-021-86-1, Item A18d)</p>
<p><b>19. Judicial Panel on Multidistrict Litigation (JPML).</b> The JPML was established in 1968 under <a href="#">28 U.S.C. § 1407</a>, which authorizes the Panel to transfer civil actions involving one or more common questions of fact in different districts to a single district for coordinated or consolidated pretrial proceedings. Also, under <a href="#">28 U.S.C. § 2112</a>, the Panel is authorized to consolidate multi-circuit petitions for review in a single circuit.</p>	
<p>a. JPML case files and related materials.</p>	
<p>(1) JPML case files. Case files related to motions for coordinated or consolidated pretrial proceedings regarding two or more civil actions filed in different judicial districts and concerned with one or more common questions of fact. The files include official pleadings, correspondence, orders of the JPML, transcripts, and other required documentation related to JPML hearings.</p>	<p>Temporary. Cut off case file at the end of the calendar year when case is closed. Destroy 15 years after the cutoff year.</p> <p>(N1-482-11-1, Item 19a1)</p>
<p>(2) Docket sheets.</p>	<p>Permanent. Transfer to NARA 20 years after close of case.</p> <p>(N1-482-11-1, Item 19a2)</p>
<p>(3) Historically significant JPML case files. Any JPML case file determined by the Clerk of the Panel for the JPML, or NARA, to have historical value.</p>	<p>Permanent. Cut off case file at the end of the calendar year when closed. Transfer to NARA 20 years after the cut off year.</p> <p>(N1-482-11-1, Item 19a3)</p>
<p>(4) Sealed records. Copies of sealed materials originally received by the district courts and also provided to the JPML for temporary use and reference purposes.</p>	<p>Temporary. Destroy, or return to the district court, when no longer needed for reference purposes.</p> <p>(N1-482-11-1, Item 19a4)</p>

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
(5) Orders files. Duplicate judges' orders, where the official record copy is filed with the corresponding JPML case file. This separate paper collection was used for reference purposes and contains materials from 1967 through 2010, organized by year and month of issuance. It is a closed series. JPML staff no longer use or require these reference files.	Temporary. The records are available for immediate destruction.  (N1-482-11-1, Item 19a5)
b. JPML administrative and operational files.	
(1) General inquiries, handled by JPML Executive or Clerk, regarding procedures, class actions, and multi-district litigation in general. Consist mostly of responses to prison inmates, and/or members of the public (pro se litigants), whose inquiries are outside the scope, procedures, and/or jurisdiction of the JPML.	Temporary. Cut off at the end of the calendar year when the response to the inquiry was issued. Destroy 1 year after cutoff, or when no longer needed for reference purposes, whichever is later.  (N1-482-11-1, Item 19b1)
(2) General procurement and financial files, including related correspondence regarding the acquisition of goods and services required by the JPML.	Temporary. Cut off at the end of the fiscal year. Destroy 7 years after the cutoff year.  (N1-482-11-1, Item 19b2)
(3) Attorney bench memoranda. Internal attorney work products, including background and case analyses and recommendations for the dispensation of JPML petitions.	Temporary. Destroy 3 years after issuance, or when no longer needed for reference purposes, whichever is later.  (N1-482-11-1, Item 19b3)
(4) JPML (transferee) judges' conference content files. Planning documents, itineraries, travel information, hotel, air and ground transportation, and other logistical materials created for the annual JPML Transferee Judges' Conference.	Temporary. Destroy 2 years after issuance, or when no longer needed for reference purposes, whichever is later.  (N1-482-11-1, Item 19b4)
(5) Panel hearing correspondence files. Schedules and agenda for the hearing sessions, copies of orders, notices of presentation of waiver of oral argument, and correspondence regarding the security coverage for the panel.	Temporary. Destroy 2 years after issuance, or when no longer needed for reference purposes, whichever is later. (N1-482-11-1, Item 19b5)
(6) Rules, policies, and procedures. Records and documentation describing JPML's local rules and internal policies and procedures.	Permanent. Transfer to NARA when superseded or no longer needed for reference purposes.



<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
	(N1-482-11-1, Item 19b6)
(7) Master docket reading files. Reference copies of letters, memoranda, publications, and other JPML documents which are maintained on-site as a reading file.	Temporary. Destroy when no longer needed for reference purposes.  (N1-482-11-1, Item 19b7)
<b>B. MISCELLANEOUS RECORDS OF PROCEEDINGS.</b>	
<b>1. Minute sheets.</b> Courts are encouraged to file minute sheets in the case file.	Permanent, if maintained outside the case file.  (N1-021-86-1, Item B1)
<b>2. Juror selection records.</b> Jury Management System/eJuror. Standardized, fully integrated automated jury management system to serve the Federal district courts. The master wheel includes source data from voter lists, drivers' licenses, and other source lists as dictated by the Jury Plan. Update cycle depends on local Jury Plan for Master Wheel Refill (1 to 4 years).	Temporary. Destroy 4 years after the master jury wheel has been emptied and refilled and all persons selected have completed jury service, unless extended by the court. <a href="#">28 U.S.C. § 1868</a> . Do not transfer to an FRC.  (N1-021-86-1, Item B2)
<b>3. Attorney admission records.</b>	
a. Rolls of attorneys admitted to practice. Records may consist of application letters, admission cards or computer listings, background materials, and records of court proceedings.	Permanent. Transfer to an FRC when 5 years old. Transfer to NARA when 25 years old.  (N1-116-00-1, Item 2)
b. Records relative to disciplinary actions. Records may consist of orders from another state or federal court, correspondence, orders, motions, notices to the attorney, notices of hearings, and briefs.	Temporary. Transfer to an FRC when 5 years old. Destroy when 50 years old.  (N1-116-00-1, Item 3)
c. Other records, including applications and certificates.	Temporary. Destroy when 5 years old.  (N1-021-86-1, Item B3c)
<b>4. Naturalization records.</b> Records contain materials such as: petitions for naturalization, monthly naturalization	Permanent. Transfer to NARA when 25 years old.

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
reports and correspondence, petitions for name changes, orders granting petitions for name changes, declarations of intentions, naturalization certificates, and indexes to certificates, <a href="#">8 U.S.C. § 1450</a> .	(N1-021-86-1, Item B4)
<b>5. Notice of federal tax liens.</b>	Temporary. Destroy 6 years and 30 days after the date of assessment indicated on the notice.  (N1-021-88-1, Item 1)
<b>6. Appointment of process agents by surety companies.</b>	Temporary. Destroy 7 years after date of revocation.  (N1-021-86-1, Item B6)
<b>7. Security copies of Certificates of Electors Voting for President and Vice President</b> deposited with the judge of the district in which the electors assembled pursuant to <a href="#">3 U.S.C. §§ 11</a> and <a href="#">13</a> .	Temporary. Destroy when 6 months old.  (N1-021-86-1, Item B7)
<b>8. Judicial Conduct and Disability Records.</b> Complaints filed under the Judicial Conduct and Disability Act ( <a href="#">28 U.S.C. §§ 351-364</a> ), alleging that a judge committed misconduct or is disabled. Items B.8.a. and B.8.b. relating to proceedings under the Judicial Conduct and Disability Act are confidential, and therefore disclosure-restricted, to the extent required by <a href="#">28 U.S.C. § 360</a> and by Rules 23 and 24 of the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings.	
a. Orders, memoranda of decision, and any reports or other items included therewith, issued by a Chief Judge, a circuit judicial council, the United States Judicial Conference Committee on Judicial Conduct and Disability and its predecessors and successors, or the Judicial Conference of the United States, in any proceeding under the Judicial Conduct and Disability Act (as codified in <a href="#">28 U.S.C. §§ 351-364</a> or elsewhere), the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings, and any other associated rules.	Permanent. Transfer paper records to NARA 10 years after final decision or action or when no longer needed for reference purposes, whichever is later.  (DAA-0021-2013-0003-0001)
b. Interim and miscellaneous materials not listed in Item (a) nor attached to a document listed in Item (a), that are created or received in any proceedings under the Judicial Conduct and Disability Act (as codified in <a href="#">28 U.S.C. §§ 351-364</a> or elsewhere), the Judicial Conference Rules	Temporary. Destroy 5 years after final disposition of complaint or when no longer needed for reference purposes, whichever is later.

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<b>Type of Record</b>	<b>Disposition</b>
for Judicial-Conduct and Judicial-Disability Proceedings, and any other associated rules. These materials may include but are not limited to: complaints, petitions for review and associated responses, special committee reports, notes, correspondence, and other items created or received during an inquiry or investigation.	(DAA-0021-2013-0003-0002)
<b>C. ADMINISTRATIVE RECORDS.</b>	
<b>1. Local unofficial personnel/supervisor files.</b> Local personnel files include correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action; fingerprint and background check records; and other records on individual employees duplicated in or not appropriate for the Official Personnel Folder.	Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.  (GRS 2.2, Item 080)
<b>2. Fair employment practices.</b>	
a. Employment Dispute Resolution (EDR) Official Discrimination Complaint Case Files – Informal Process.  Cases resolved that did not go to the formal process stage. Includes intake sheet, summary report, notes, supporting documentation and correspondence.	Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.  (GRS 2.3, Item 031)
b. EDR Official Discrimination Complaint Case Files – Formal Process.  Originating file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records.  <b>Note:</b> This item includes all records gathered in the informal process that became the formal process case file once a formal complaint is filed.	Temporary. Destroy 7 years after resolution of the case, but longer retention is authorized if required for business use.  (GRS 2.3, Item 032)
c. EDR Case Files that did not result in an EDR Complaint. Includes cases that did not result in an official or informal EDR complaint.	Temporary. Destroy 2 years after final resolution of case, but longer retention is authorized if required for business use.  (GRS 2.3, Item 033)
d. EDR employment statistics files.	Temporary. Destroy when 5 years old, but longer retention is authorized if required for

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
	business use.  (GRS 2.3, Item 035)
<b>3. Administrative grievance, disciplinary, and adverse action files.</b>	
a. Local adverse action and/or grievance plan or procedure maintained by the court.	Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later  (GRS 5.7, Item 030)
b. Documents, memoranda, or other records related to an adverse action, disciplinary action, or grievance maintained by the court.	Temporary. Destroy 7 years after case is closed.  (GRS 2.3, Item 060, 061, 062)
c. Copies of adverse action documents that are maintained in the OPF may also be maintained in a supervisor's local personnel folder (e.g., Request for Personnel Action, Remote Data Entry Notice)	Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.  (GRS 2.2, Item 080)
<b>4. Performance management files.</b>	
a. Performance management plan, if applicable, including compensation strategy and appraisal tool with rating levels or tiers, and payout date for discretionary step increases.	Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later.  (GRS 5.7, Item 030)
b. Individual records of employee performance including performance evaluation, performance plan upon which it is based, and rating, among other performance related materials.	Temporary. Destroy when 4 years old or after AO audit, whichever is later.  (DAA-0021-2014-0001-0001)
<b>5. Awards and bonuses files.</b>	
a. Employee recognition and/or bonus plans, as applicable maintained by the court.	Temporary. Destroy when 4 years old, after AO audit, or when no longer needed for reference, whichever is later.

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
	(DAA-0021-2014-0001-0002)
b. For each employee recognition award recipient, documentation that includes: name or ID, amount or cost of award, category or criteria, supporting justification, aggregate amount or cost of all awards received by the employee per year, and other related court-maintained documentation.	Temporary. Destroy when 4 years old, after AO audit, or when no longer needed for reference, whichever is later.  (DAA-0021-2014-0001-0003)
c. For each recruitment, retention, or relocation bonus documentation that includes name or ID, amount of bonus, service agreement, authorization, and other related court-maintained documentation.	Temporary. Destroy when 4 years old, after AO audit, or when no longer needed for reference, whichever is later.  (DAA-0021-2014-0001-0004)
<b>6. Employee Medical Folder (EMF).</b>	
a. Any court-maintained medical records related to Family and Medical Leave Act (FMLA), serious health condition for sick leave, medical emergency for Voluntary Leave Transfer Program donated leave, reasonable accommodation for disability, workplace injury not reported as, or related to, an Office of Workers Compensation Programs (OWCP) claim, fitness-for-duty or counseling records related to alcohol or drug treatment programs.	Temporary. Destroy 1 year after employee separation or transfer.  (GRS 2.7, Item 061)
b. Law Enforcement Officer (LEO) medical examination record. Includes any medical records related to a LEO pre-employment suitability or fitness-for-duty evaluation that are in the possession of the court pending a suitability or fitness-for-duty determination.	Temporary. Destroy 1 year after employee separation or transfer.  (GRS 2.7, Item 061)
c. OWCP claim. Court-maintained documents related to an OWCP claim. Including medical reports, copies of letters and decisions, and any other material that is part of the case file, regardless of its source. These documents are considered an alternate location for OWCP claim records, and under the jurisdiction of OWCP.	<b>See:</b> Guide, Vol. 12, § 750.30 (Workers' Compensation).
<b>7. TELEWORK FILES.</b>	
a. Telework Worksite Program Files. Records generated by the designated court telework coordinators and other related staff. Includes: <ul style="list-style-type: none"> <li>• Correspondence</li> <li>• Notes</li> </ul>	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
<ul style="list-style-type: none"> <li>• Policy implementation documents</li> <li>• Form development files</li> <li>• Planning records</li> <li>• Program evaluation documentation/data</li> <li>• Other related records generated by the agency or participating employees</li> </ul>	(GRS 2.3, Item 080)
b. Telework agreement for each employee who is eligible for telework, and duty station documentation, if applicable.	Temporary. Destroy 1 year after end of employee's participation in the program, but longer retention is authorized if required for business use.  (GRS 2.3, Item 081)
<b>8. Administrative training records.</b>	
a. Individual employee training records. Records documenting training such as information system security and training to develop job skills. Records may include: <ul style="list-style-type: none"> <li>• Completion certificates or verification documents for mandatory training</li> <li>• Mentoring or coaching agreements</li> </ul> Note: This item excludes academic transcripts, professional licenses, civil service exams, or documentation of mission-related training.	Temporary. Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.  (GRS 2.6, Item 030)
b. Non-mission employee training program records. Records about planning, assessing, managing, and evaluating an agency's training program: <ul style="list-style-type: none"> <li>• Plans, reports, and program evaluations</li> <li>• Employee skills assessments</li> <li>• Organizational and occupational needs assessments</li> <li>• Notices about training opportunities schedules, or courses</li> <li>• Employee training statistics</li> <li>• Mandatory training tracking and reporting files</li> <li>• Logistics and coordination documents</li> <li>• Agreements and similar records</li> <li>• Registration forms, employee attendance records</li> <li>• Syllabi, presentations, instructor guides, handbooks, lesson plans</li> <li>• Reference and working files on course content</li> <li>• Other course materials, such as presentations and videos</li> </ul>	Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.  (GRS 2.6, Item 010)

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
<ul style="list-style-type: none"> <li>• Student, class, or instructor evaluations</li> </ul>	
<p><b>9. Position classification files.</b> Court copies of</p> <ul style="list-style-type: none"> <li>• Position Classification Certification (Form AO 194)</li> <li>• Organization chart at the time of position approval for supervisory or managerial positions</li> <li>• Other classification related documentation</li> </ul>	<p>Temporary. Destroy 2 years after position is abolished, but longer retention is authorized if required for business use.</p> <p>(GRS 2.1, Item 020)</p>
<p><b>10. Job vacancy files.</b> Court recruitment files consisting of:</p> <ul style="list-style-type: none"> <li>• Copy of the vacancy announcement, job analysis, if applicable</li> <li>• Copy of newspaper advertisements (or other forms of advertising)</li> <li>• List of recruitment sources</li> <li>• Application materials with date of receipt</li> <li>• Ranking or rating criteria, if applicable (to include rating/scoring definitions and/or methodology)</li> <li>• List of applicants with designation or not qualified, qualified, and best qualified</li> <li>• List of applicants interviewed</li> <li>• List of interview questions used</li> <li>• New Appointment Applicants and Interviewees Worksheet (HR Manual, Chapter 2, Appendix 2), and</li> <li>• Other relevant recruitment documentation</li> </ul>	<p>Disposition Not Authorized</p>
<p><b>11. Drug testing files.</b> Includes records based on reasonable suspicion.</p>	<p>Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.</p> <p>(GRS 2.7, Item 130)</p>
<p><b>12. Employee Drug Test Acknowledgement of Notice Forms.</b> Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.</p>	<p>Temporary. Destroy when employee separates from testing-designated position.</p> <p>(GRS 2.7, Item 110)</p>
<p><b>13. Alternative Dispute Resolution (ADR) Records.</b> ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini trials, arbitration. The records covered by this schedule relate to techniques or processes used in an agency's ADR program in resolving dispute with or between its own</p>	

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
employees.	
<p>a. ADR Program Files. This item refers to the program management and routine activities of offices running processes. Includes:</p> <ul style="list-style-type: none"> <li>• Program related correspondence</li> <li>• Copies of statutes, regulations</li> <li>• Meeting minutes</li> <li>• Copies of records of financial payments and authorization to mediators and/or facilitators (excludes copies held by financial offices)</li> <li>• Evaluation records of ADR program</li> <li>• Other records relating to the overall administration of its ADR program.</li> </ul>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 010)</p>
<p>b. ADR Case Files – Informal Process. This item includes records that are not associated with another employee dispute, complaint, or grievance process. Includes:</p> <ul style="list-style-type: none"> <li>• Agreements to use ADR</li> <li>• Documentation of the settlement or discontinuance of the ADR case</li> <li>• Parties written evaluation of the process and/or the neutral third-party mediator</li> <li>• Correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR programs)</li> </ul>	<p>Temporary. Destroy 3 years after case is closed, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 011)</p>
<p>c. ADR Case Files-Formal Process. This item includes originals and copies of records generated in response to a referral from another dispute, grievance, or complaint process (like EDR complaints or grievances). Includes:</p> <ul style="list-style-type: none"> <li>• Agreements to use ADR</li> <li>• Documentation of the settlement or discontinuance of the ADR case</li> <li>• Parties written evaluation of the process and/or the neutral third-party mediator</li> <li>• Correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR programs)</li> </ul>	<p>Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 012)</p>
<b>D. PAYROLL, PAY AND BENEFITS ADMINISTRATION RECORDS.</b>	
<p>1. <b>Time and attendance files.</b> Sign-in/sign-out records, time cards, leave applications and approval of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approval; premium pay</p>	Disposition Not Authorized



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<b>Type of Record</b>	<b>Disposition</b>
authorizations; and other records documenting employees' presence at or absence from work.	
<b>2. Leave files.</b> Leave records. Leave balances and documentation of accrual and use.	Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.  (GRS 2.2, Item 041)
<b>3. Voluntary Separation Incentive Program.</b> Voluntary Separation Incentive Payment (VSIP) and Voluntary Early Retirement Authority (VERA) Files. VSIP or VERA Restructuring plans, including target universe and selection criteria, organizational charts, offer notices, acceptance notices, VSIP payment calculations and documentation of how selection criteria was applied (if applicable). Retention is based on 5-year repayment requirements.	Temporary. Destroy when 5 years old.  (GRS 2.2, Item 010)
<b>4. Benefits files.</b>	
a. Request for health benefits under spouse equity – Denied applications.	Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.  (GRS 2.4, Item 111)
b. Requests for health benefit under spouse equity – Successful applications, including those successfully appealed.	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.  (GRS 2.4, Item 110)
c. Documentation related to retirement assistance that includes correspondence, memoranda, annuity estimates, and other records used to assist retiring employees.	Temporary. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.  (GRS 2.5, Item 020)
<b>5. Reasonable accommodation files.</b>	
a. Documentation for an employee with a disability. Includes information created while receiving, coordinating,	Temporary. Destroy 3 years after separation.

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<b>Type of Record</b>	<b>Disposition</b>
reviewing, processing, approving, and reporting requests for reasonable accommodation including request for personal assistance under 5 U.S.C. §3102.	(GRS 2.3, Item 021)
<b>E. PROCUREMENT AND SUPPLY RECORDS.</b>	
<b>1. Financial records.</b> Records relating to the procurement of goods and services (e.g., contracts, requisitions, purchase orders), payment of bills, collection debts, accounting, and processing travel vouchers/authorizations.	Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.  (GRS 1.1, Item 010)
<b>2. Personal property records.</b> Includes documents relating to the acquisition and disposition of property.	Temporary. Destroy 7 years after date of final transaction.  (N1-021-86-1, Item C3)
<b>F. BUDGET FILES.</b>	
<b>1. Budget background records.</b> Contains 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.	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.  (GRS 1.3, Item 041)
<b>2. Budget execution records.</b> Records that offices create and receive in the course of implementing and tracking appropriations.	Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.  (GRS1.3, Item 020)
<b>G. Space, Facilities and Maintenance Records.</b> Facility, space, and equipment inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes repair and maintenance orders, requisitions, and related papers; maintenance and inspection logs and reports; job orders, service call records, action sheets, and repair logs; and work, shop, or job schedules.	
<b>1. Records documenting facility structure and long-term maintenance.</b>	Temporary. Destroy when 3 years old, but longer retention is authorized if required for

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
	business use.  (GRS 5.4, Item 70)
<b>2. Records tracking completion of custodial and minor repair work.</b>	Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.  (GRS 5.4, Item 71)
<b>3. Facility, space, vehicle, equipment, stock, and supply administrative and operational records.</b> Records relating to administering and operating facilities, space, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes: <ul style="list-style-type: none"> <li>• Statistical and narrative reports</li> <li>• Studies</li> <li>• Requests for space using Standard Form-81 or equivalent</li> <li>• Space assignments and directories</li> <li>• Inventories of property, equipment, furnishings, stock and supplies</li> <li>• Reports of survey regarding lost, damaged, missing, or destroyed property</li> <li>• Requisitions for supplies and equipment</li> <li>• Records tracking supply and procurement requirements</li> <li>• Records scheduling and dispatching vehicles, monitoring use, and reporting use</li> <li>• Related correspondence</li> </ul> <p><b>Note:</b> This item excludes records of supply and property procurement.</p>	Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.  (GRS 5.4, Item 010)
<b>H. ADMINISTRATIVE MANAGEMENT RECORDS.</b>	
<b>1. Internal administrative accountability and operational management control records.</b> Internal evaluations of accounting and administrative controls. Includes: <ul style="list-style-type: none"> <li>• Copies of internal and external directives outlining management control policy</li> <li>• Management control plans and records of the planning process</li> <li>• Records of management reviews</li> </ul>	Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.  (GRS 5.7, Item 010)

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
<ul style="list-style-type: none"> <li>• Risk analyses and risk profiles</li> <li>• Internal control over reports</li> <li>• Records tracking assignments, tasks, and responsibilities</li> <li>• Administrative correspondence</li> </ul> <p><b>Note:</b> This item excludes agency mission activities.</p>	
<p><b>2. Internal control review, response and mitigation management records.</b> Includes copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions.</p> <p><b>Note:</b> This item excludes records held by offices contributing to internal control review response and mitigation, but not responsible for overseeing it.</p>	<p>Temporary. Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.</p> <p>(GRS 5.7, Item 020)</p>
<p><b>I. ORGANIZATIONAL/GENERAL ADMINISTRATIVE FILES.</b></p>	
<p><b>1. Files on internal administration and housekeeping activities.</b> In general, these are records accumulated by individual offices that relate to office organization, staffing, procedures and communications and the expenditure of funds. Includes budget; day-to-day administration of office personnel such as travel and training; supplies, requests and receipts; and the use of office space. These papers do not serve as official documentation of the programs of the office.</p> <p><b>Note:</b> This item excludes records that relate only to the functions for which the office exists.</p>	<p>Temporary. Destroy when business use ceases.</p> <p>(GRS 5.1, item 010)</p>
<p><b>2. General correspondence files.</b> Includes all other administrative records.</p>	<p>Temporary. Destroy 5 years after close of file.</p> <p>(N1-021-86-1, Item C4)</p>

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
<b>J. RECORDS TRANSMITTAL AND RECEIPT FORM (<a href="#">SF 135</a>).</b>	Temporary. Maintain for 50 years. Do not transfer to an FRC.  (N1-021-86-1, Item C7)
<b>K. INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS.</b>	
<p><b>1. System and data security records.</b> Records relate to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines as well as system risk management and vulnerability analyses. Includes records such as:</p> <ul style="list-style-type: none"> <li>• System Security Plans</li> <li>• Disaster Recovery Plans</li> <li>• Continuity of Operations Plans</li> <li>• Published computer technical manuals and guides</li> <li>• Example and references used to produce guidelines covering security issues related to specific systems and equipment</li> <li>• Records on disaster exercise and resulting evaluations</li> <li>• Risk surveys</li> <li>• Service test plans</li> <li>• Test files and data</li> </ul>	Temporary. Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.  (GRS 3.2, Item 010)
<p><b>2. IT customer service files.</b> Technical and administrative help desk operational records. Includes:</p> <ul style="list-style-type: none"> <li>• Records of incoming requests (and responses) made by phone, email, web portal, etc.</li> <li>• Trouble tickets and tracking logs</li> <li>• Quick guides and “Frequently Asked Questions” (FAQs)</li> <li>• Evaluations and feedback about help desk services</li> <li>• Analysis and reports generated from customer management data</li> <li>• Customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports</li> </ul>	Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.  (GRS 5.8, item 010)
<b>3. IT asset and configuration management files.</b>	

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
a. Inventories of IT assets, network circuits, and building or circuitry diagrams. Includes equipment control systems such as databases of barcodes affixed to IT physical assets.	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.  (GRS 3.1, Item 020)
b. 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:	
(1) 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.	Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.  (GRS 3.1, Item 050)
(2) 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.	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.  (GRS 3.1, Item 020)
4. User identification, profiles, authorizations, and password files. Excludes records relating to electronic signatures.	
a. Systems requiring special accountability for access (e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records).	Temporary. Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
	(GRS 3.2, Item 031)
b. Systems not requiring special accountability for access. These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	Temporary. Destroy when business use ceases.  (GRS 3.2, Item 030)
<b>5. Computer security incident handling, reporting and follow-up records.</b>	Temporary. Destroy 3 years after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.  (GRS 3.2, Item 020)
<b>6. System backups and tape library records.</b>	
a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.	
(1) Incremental backup tapes.	Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.  (GRS 3.2, Item 040)
(2) Full backup tapes.	Temporary. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.  (GRS 3.2, Item 041)
b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in tape library. Also included list of holdings and control logs.	Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.  (GRS 3.2, Item 040)
<b>7. IT Operations and Maintenance Records. Records</b>	Temporary. Destroy 3 years

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
<p>relate to the activities associated with the operation and maintenance of the basic systems and services used to supply the agency and its staff with access to computer and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as:</p> <ul style="list-style-type: none"> <li>• Files identifying IT facilities and sites</li> <li>• Files concerning implementation of IT facility and site management</li> <li>• Equipment support services provided to specific sites</li> <li>• Inventories of IT assets, network circuits, and building and circuitry diagrams</li> <li>• Equipment control systems such as database of barcodes affixed to IT physical assets, and tracking of approved personally-owned devices</li> <li>• Requests for service</li> <li>• Work orders</li> <li>• Service histories</li> <li>• Workload schedules</li> <li>• Run reports</li> <li>• Schedules of maintenance and support activities</li> <li>• Reports on operations</li> <li>• Website administration</li> <li>• Records to allocate charges and track payment for software and services</li> </ul> <p><b>Note:</b> Records needed to support contracts should be in procurement files.</p> <p><b>Note:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained according to item 8.</p>	<p>after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated, or superseded, but longer retention is authorized if required for business use.</p> <p>(GRS 3.1, Item 020)</p>
<p><b>8. Configuration and Change Management Records.</b> 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 operation networks and systems. Includes records such as:</p> <ul style="list-style-type: none"> <li>• Data and detailed reports on implementation of systems, applications, and modifications</li> </ul>	<p>Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.</p>



<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
<ul style="list-style-type: none"> <li>• Application sizing, resource and demand management records</li> <li>• Documents identifying, requesting, analyzing, authorizing and documenting the implementation of possible changes and actual changes</li> <li>• Documentation of software distribution (including COTS software license management files) and release or version management</li> </ul> <p><b>Note:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained according to this item.</p> <p><b>Note:</b> Per NARA practice, documentation for electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p><b>Note:</b> Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	<p>(GRS 3.1, Item 030)</p>
<b>9. Surveillance records.</b>	
a. Routine. Records consist of courtroom security surveillance video or film of transmissions of courtroom proceedings.	<p>Temporary. Maintain video at court location for not less than 14 days nor more than 30 days. Media may be reused after expiration of retention period.</p> <p>(N1-021-10-1, Item 1A)</p>
b. Security incident	<p>Temporary. Maintain video until conclusion of investigation or such time as determined by order of the chief judge of the court. Media may be reused.</p> <p>(N1-021-10-1, Item 1B)</p>
<b>L. OTHER JUDICIARY COMPONENTS.</b>	
<b>1. Bankruptcy Administrator Program Records.</b> 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	

<b>Records Disposition Schedule 2</b>	
<b>Type of Record</b>	<b>Disposition</b>
statutory authority for the Judicial Conference of the United States to establish the bankruptcy administrator program.	
<b>a. General Administrative Records</b>	
(1) [Reserved]	
(2) General ledger.	Temporary. Destroy 7 years after the end of the fiscal year of the ledger.  (DAA-0578-2013-0002-0002)
(3) Bank records, monthly statements, monthly bank reconciliations, cancelled checks, and deposit slips.	Temporary. Destroy 7 years following date they were issued.  (DAA-0578-2013-0002-0003)
(4) [Reserved]	
<b>b. Bankruptcy Administration Management Files</b>	
(1) Chapter 7 asset, Chapter 9, Chapter 11, Chapter 12, and Chapter 15 bankruptcy files. 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.	Temporary. Destroy 5 years after the case is closed.  (DAA-0578-2013-0002-0005)
(2) Chapter 7 no-asset bankruptcy files. 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.	Temporary. Destroy 90 days after reviewing the trustee's no-asset report or when no longer needed for reference purposes, whichever is later.  (DAA-0578-2013-0002-0006)
(3) Chapter 13 bankruptcy files. 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.	Temporary. Destroy 2 years after the date the trustee is discharged.  (DAA-0578-2013-0002-0007)
(4) Trustees semi-annual or annual reports and budgets.	Temporary. Destroy when 10 years old.  (DAA-0578-2013-0002-0008)

<b>Records Disposition Schedule 2</b>	
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(5) Audits of trustees or bankruptcy administrators debtor audits.	Temporary. Destroy when 10 years old.  (DAA-0578-2013-0002-0009)
(6) Audio recordings or transcripts of meetings of creditors and equity security holders held pursuant to <a href="#">11 U.S.C. § 341(a)</a> .	
(a) Cases filed under Chapters 7, 9, 11, 12 13, and 15 of <a href="#">title 11 U.S.C.</a>	Temporary. Except as provided in section (b) below, destroy/delete the audio recordings 2 years after the date of the conclusion of the meeting of creditors.  (DAA-0578-2013-0002-0010)
(b) All cases under <a href="#">Title 11, U.S.C.</a> , where audio recordings may require an extended period of retention for one or more of the following pending matters: <ul style="list-style-type: none"> <li>• collecting assets of the estate;</li> <li>• determining the appropriateness of discharge;</li> <li>• obtaining relevant information about the affairs of the debtor;</li> <li>• investigating the organization structure of the debtor;</li> <li>• fixing compensation of professional persons;</li> <li>• investigating or prosecuting criminal conduct, including but not limited to perjury.</li> </ul>	Temporary. Destroy/delete 2 years after the conclusion of the applicable pending matter(s).  (DAA-0578-2013-0002-0011)
(7) Bankruptcy criminal referral files. Records include referral documentation and all supporting documentation, whether or not part of the referral.	Temporary. Destroy 10 years after the date of referral or when case is closed, whichever is later.  (DAA-0578-2013-0002-0012)
(8) Credit counseling and debtor education provider files. Records include applications, tax returns, and government certifications.	Temporary. Destroy 10 years after the end of the fiscal year of the application.  (DAA-0578-2013-0002-0013)