

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-170-77-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 04/22/2021 (updated 8/12/2022)

NOTE: If the manual number does not appear in the lists below, then it was not scheduled on NC1-170-77-01

ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
<p>These items, unless subsequently superseded, may be used by the agency to disposition records.</p> <p>It is the responsibility of the user to verify the items are still active.</p>	<p>The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.</p>
<p>010-01 Suspense Files 010-02 Office General Management Files 010-03 Duty Roster Files 010-04 Duty Reporting Files 020-01 Office General Personnel Files 020-02 Employee Record Card Files 060-01 Policy and Precedent Files 060-02 Reading (Chron) Files 060-03 Agreement Files 060-05 Staff Visit Files 060-06 Reference Paper Files 060-07 Reference Publication Files 060-08 Technical Material Reference Files 101-01 Emergency Planning Files 101-02 Emergency Reporting Files 110-02 Table of Organization Files 120-01 Operation Planning Files 120-02 Operating Procedure Files 130-01 Program Development Files 130-02 Program and Budget Guidance Files 130-03 Budget Estimate Files 130-04 Congressional Budget Justification Files</p>	<p>Current authority approved on N1-170-86-001 for the following:</p> <p>160-01 Manpower Authorization Files</p> <p>Current authority approved on N1-170-87-001 for the following:</p> <p>860-05 Training Program Files</p> <p>Current authority approved on N1-170-89-001 for the following:</p> <p>110-01 Organization Planning Files 201-01 Inspection Coordination Files/Unassigned 201-02 Integrity Control Files/Unassigned 220-04 Security Information Access Case Files 220-11 Security Equipment Files 220-12 Physical Security Survey Files 220-13 Security Container Record Files 310-01 Claim Operating Policy Files 310-02 Claim Journal and Index Files</p>

NC1-170-77-001 (corrected 8/12/2022)

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<p>130-05 Funding Program Files 130-06 Program and Budget Input Files 140-01 Management Improvement Project Files 140-02 Management Improvement Project Background Files 140-03 Work Simplification Proposal Files 150-01 Management Survey Case File 150-02 Management Survey Background Files 160-02 Manpower Survey Files 160-03 Manpower Staffing Standard Files 160-04 Manpower Statistical Data Files 210-01 Personnel Security Clearance Files 210-02 Security Briefing and Debriefing Files 210-03 Security Awareness Files 220-01 Security Classification Files 220-02 Security Regrading Files 220-05 Security Information Release Files 220-06 Security Information Exchange Files 220-07 Top Secret Document Record Files 220-08 Top Secret Material Accountability Files 220-14 Security Container Information Files 230-09 COMSEC Reporting Files 230-10 COMSEC Investigation Reporting Files 240-01 Badge Identification Issue Files 240-02 Badge Identification Accountability Files 240-03 Parking Permit Control Files 240-05 Guard Reporting Files 310-04 Claim Investigation Reporting Files 310-05 Personal Property Claim Files 310-06 Tort Claim Files 310-07 Contract Adjustment and Claim Determination Files 310-08 Foreign Claim Files (later known as "Innocent Third Party Claims Files") 310-09 Local Foreign Claim Files 310-10 DEA Property Damage Claim Files 330-01 Litigation Case Files 330-04 Witness Appearance Files 360-01 Legislation Files 360-03 Congressional Correspondence Files 360-04 Congressional Investigation Files 360-05 Congressional Visit Reporting Files 370-04 Feature Story Review Files</p>	<p>310-03 Claim Reporting Files 360-02 Legislation Comment Files 370-01 Public Appearance Schedule Reporting Files 370-02 Public Information Reporting Files 370-03 News Media and Release Files 370-13 Statistical Material Clearance Files 480-07 Procurement Misconduct Case Files/480-05 520-01 Position Number Log Files 530-03 Special Deferment Files 560-03 Employee Evaluation Record Files 560-06 Career Referral Files 601-12 Other Regional or District Investigative Files 610-01 Federal Assistance Program Files 610-02 Federal Assistance Program Reporting Files 830-02a1 Training Aids Files 940-05 Project Case Files 1030-04 Safety Award Files 1130-01 Library Voucher Files 1150-03 Reproduction Equipment Information Files 1220-06 Defendant Data (Statistics) System 1220-10 Automated Records and Consummated Orders System/Diversion Analysis and Detection System (ARCOS/DADS) 1220-12 System to Retrieve Information from Drug Evidence (STRIDE) 1330-06 Directives Development and Editing Files</p> <p>Current authority approved on N1-170-94-001 for the following:</p> <p>060-04 Committee Files 220-09 Security Compromise Files 301-01 Legal Opinion Precedent Files 301-02 Legal Assistance Case Files 330-02 Judicial Information Release Files 330-03 Appearance as Counsel in Civil Court Files 330-05 Vehicle Seizure Files 601-09 Cooperating Individual Files 1220-07 Drug Abusers Reporting System</p>
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NC1-170-77-001 (corrected 8/12/2022)

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<p>370-05 Research Clearance Files 370-06 Contractor Information Release Files 370-07 DEA Authored Information Clearance Files 370-08 Public Inquiry Files 370-09 DEA Community Relations Files 370-10 Information Publication Distribution Files 370-11 Commercial Authorship Approval Files 370-12 Charity Contribution Files 370-14 Statistics Reporting Files 480-01 Contract Statutory Restriction Files 480-03 Individual Item Pricing Files 480-04 Cost and Price Analysis Files 480-05 Buy American Act Files 480-06 Contract Review Files 480-08 Debarred Bidder List Files/480-06 480-09 Bidder List Files/480-07 490-13 Procurement Expedition Files 490-14 Tax Exemption Certificate Files 490-15 Photographic Inspection Files 490-16 Laboratory Test Reporting Files 550-02 Expert and Consultant Data Files 570-01 Hours of Work Files 570-02 Employee Service Case Files 590-04 Employee Suggestion Control and Subject Index Files 601-01 Jurisdictional Responsibility Files 601-02 Investigative Technique Files 601-03 Enforcement Confidential Fund Files 601-04 Enforcement Program Files 601-05 Criminal Investigator Cross-Designation Files 601-06 Enforcement Activities Reporting Files 601-10 Enforcement Journal Files 601-11 Foreign Country Files 630-02 Controlled Substances Theft/Loss Report 630-04 Controlled Substances Reporting Files 630-07 Controlled Substances Order Form Files 801-01 Training Facility Requirement Files 801-05 School Reporting Files 801-08 Instructor Information Files 810-01 Individual Training Record Files</p>	<p>Current authority approved on N1-170-01-001 for the following:</p> <p>901-03 Evidence Accountability Files 940-06 Technical Report Reference Files</p> <p>Current authority approved on N1-170-04-002 for the following:</p> <p>170-02 Internal Review Files</p> <p>Current authority approved on DAA-0170-2013-0004 for the following:</p> <p>601-08 General Investigative Files</p> <p>Current authority approved on DAA-0170-2014-0004 for the following:</p> <p>630-05 Registration Application Files 1220-09 Controlled Substances Act Registration Records</p> <p>Current authority approved on DAA-0170-2015-0001 for the following:</p> <p>801-07 Training Media Files</p> <p>Current authority approved on DAA-0170-2015-0003 for the following:</p> <p>170-01 GAO Audit Reporting Files</p> <p>Current authority approved on DAA-0170-2017-0001 for the following:</p> <p>230-01 COMSEC Management Files 230-02 COMSEC Supply Correspondence Files</p>
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810-02 Proficiency Test Files
820-01 Foreign Training Program Files
820-04 Foreign National Personnel Files
820-05 Foreign Training Reporting Files
830-01 Training Aids Program Files
830-03 Training Aid Work Order Files
860-04 Training Reporting Files
860-07 Record of Training Files
901-01 Laboratory Case Files
901-02 Index Book Files
901-04 Laboratory Reporting Files
930-01 R&D Planning Files
930-02 DEA Scientific Advisory Committee Files
930-03 Scientific Research Schedule Files
930-04 Unfunded Study Files
930-05 Problem Statement Files
930-06 Information-to-Industry Briefing Files
930-07 Unsolicited Proposal Files
940-01 Foreign Scientific Information Files
940-02 Project Control Files
940-03 Project Register Files
940-04 Project Reporting Files
940-07 Scientific and Raw Data Files
980-02 Telephone Toll Call Reporting Files
980-03 Communications Equipment Record Files
1001-01 Medical Review Files
1040-02 Accident Experience Files
1220-08 Ballistics Intelligence Tables System
1220-11 Narcotics and Dangerous Drugs Information System (NADDIS)
1320-03 Congressional Authorization Files
1320-06 Microfilming Job Files
1330-01 Publication Record Set Files
1330-02 Publication Reference Set Files
1330-03 Publication Manuscript Files
1330-04 Publication Deviation Files
1330-05 Publication Approval Files

230-03 COMSEC Item Register Files
230-04 COMSEC Daily Inventory Files
230-05 COMSEC Accounting Reporting Files
230-06 Crypto-Area Visitor Register Files
230-07 COMSEC Inspection Files
230-11 Encrypted Traffic Reporting Files
230-12 Encrypted Message Text Files
970-01 Communication Representation Files
970-02 Telecommunication Facility Project Files
970-03 Communication Facility Lease Request Files
970-04 Radio Frequency Files
970-05 Communication Operation Instruction Files
980-01 Telephone Service Work Order Files
990-01 Communications Center Operation Files
990-02 Communications Center Message Files
990-03 Monitor Reel Tape Files
990-04 Service Message Files
990-05 Operator's Number Sheet Files
990-06 Multiple Address and Book Message Processing Files

**Current authority approved on
DAA-0170-2017-0006 for the following:**

630-01 Drug Evaluation Files
630-03 Drug Schedule Files
630-06 Import/Export Permit Files
630-08a1 Manufacture and Purchase Quota Files
630-08a2
630-08b
630-09 Registration Journal Voucher Files
630-10 Drug Identification Label Files

**Current authority approved on
DAA-0170-2017-0007 for the following:**

201-03 Internal Security Investigative Case Files/Integrity Case Files
201-04 Internal Security Investigative General Files/Integrity General Files
510-02 Personnel Inspection Files

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**Current authority approved on
DAA-0060-2017-0009 for the following:**

801-02 Training Operation Files
801-03 Training Evaluation Files
801-04 School Planned Input Files
801-06 Target Practice Files
820-02 Foreign Training Program Control Files
820-03 Training Assistance Files
830-02a2
830-02b
860-01 Training and Promotion Agreement Files
860-02 School Planning Files
860-03 School Admission Files
860-06 Contract Training Files
860-08 Training Material Files

**Consult the General Records Schedule
for the following:**

020-03 Office Personnel Information Files
020-04 Standard of Conduct File
020-05 Time and Attendance Report Files
220-03 Classified Material Access Files
220-10 Security Inspection and Survey Files
220-15 Classified Document Inventory Files
240-04 Key Accountability Files
401-01 Paid Vendor Invoice Files
401-02 Paid Government Obligation Files
401-03 Paid Travel Voucher Files
401-04 Paid Purchase Order Files
401-05 Unpaid Purchase Order Files
401-06 Paid Government Travel Request Card
Files
401-07 Unpaid Government Travel Request Card
Files
401-08 Paid Transportation Schedule Files
401-09 Paid Government Bill of Lading Files
401-10 Unpaid Government Bill of Lading Files
401-11 Reimbursable Moving Expenses and Taxes
Withheld

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

	<p>401-12 Travel Advance Card Files 401-13 Imprest Fund Account Files 401-14 Imprest Fund Shortage Files 401-15 Travel Accountability Files 401-16 Monthly Disbursement and Collection Document Files 401-17 Certification of Deposit Files 401-18 Mechanized Accounting Document Files 401-19 Mechanized Accounting Transaction Report Files 410-01 Accounting Journal Files 410-02 General Ledger Files 410-03 Subsidiary Ledger Files 410-04 Trial Balance Files 410-05 Subsidiary Monthly Payment Files 410-06 Biweekly Accounting Station List Files 410-07 Summary Accounting Reporting Files 480-02 Determination and Finding Files 480-10 Small Business Information Files 480-11 Small Business Program Survey Files 490-01 Transactions for \$10,000 or Less Files/Small Purchase Files 490-02 Unsuccessful Bid Files 490-03 Transactions for More than \$10,000 Files 490-04 Open-End Contract Information Files 490-05 Master, Open-End and Call-type Contract Files 490-06 Contract Standard Drawing and Specification Files 490-07 Nonaction Bid Invitation Files 490-08 Rejected Bid Files 490-09 Procurement Register Files 490-10 Procurement Action Reporting Files 490-11 Procurement Inspection Files 490-12 Contracting Officer Designation Files 501-01 EEO Reporting Files 501-02 EEO Survey Files 501-03 EEO Complaint Case Files/EEO Complaints System Files 501-04 EEO Affirmative Action Plan Files 501-05 EEO Special Emphasis Program Files 510-01 Personnel Program Reporting Files 510-03 JUNIPER Printout Files 510-04 JUNIPER Microfiche Files</p>
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	<p>510-05 Payroll Systems Printout Files</p> <p>520-02 Master Position Description Files</p> <p>520-03 Organization Files</p> <p>520-04 Position Standard Files</p> <p>520-05 Position Standard Development Files</p> <p>520-06 Differential and Allowance Files</p> <p>520-07 Wage Rate Files</p> <p>530-01 Civil Service Certificate Files</p> <p>530-02 Re-employment Files</p> <p>540-01 Qualification Standard Files</p> <p>540-02 Active Employment Application Files</p> <p>540-03 Inactive Employment Application Files</p> <p>550-01 Official Personnel Folder Files</p> <p>550-03 Employment and Financial Interest Statement Files</p> <p>550-04 Notification of Personnel Action Files</p> <p>560-01 Referral and Selection Files</p> <p>560-02 Placement Consideration Files</p> <p>560-04 Career Management Files</p> <p>560-05 Occupational Inventory Files</p> <p>560-07 Career Trainee Input Requirement Files</p> <p>570-03 Misconduct Appeal and Grievance Case Files</p> <p>580-01 Reduction-in-Force Data Files</p> <p>580-02 Competitive Level Files</p> <p>580-03 Retention Register Files</p> <p>590-01 Incentive Awards Committee Meeting Records</p> <p>590-02 Incentive Awards Reporting Files</p> <p>590-03 Incentive Award Case Files</p> <p>1001-02 Health Record Files [Later changed to Employee Medical Folder (EMF) Files]</p> <p>1030-01 Safety Program Files</p> <p>1030-02 Safety Hazard Files</p> <p>1030-03 Safety Awareness Files</p> <p>1040-01 Accident Case Files</p> <p>1101-01 Property Receipt Files</p> <p>1101-02 Equipment Record Files</p> <p>1101-03 Property Accountability Transfer Files</p> <p>1101-04 Equipment Loan Files</p> <p>1101-05 Report of Survey Files</p> <p>1101-06 Reports of Survey Register Files</p> <p>1101-07 Property Officer Designation Files</p>
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	<p>1101-08 Packaging and Handling Deficiency Reporting Files</p> <p>1101-09 Excess Property Reporting Files</p> <p>1101-10 Equipment and Supply Requisition Files</p> <p>1110-01 Facilities Utilization Files</p> <p>1110-02 Floor Plan Files</p> <p>1110-03 Facilities Services Files</p> <p>1110-04 Building Lease Management Files</p> <p>1120-01 Vehicle Authorization Files</p> <p>1120-02 Vehicle Control Files</p> <p>1120-03 Vehicle Identification Plate Files</p> <p>1120-04 Vehicle Operating Cost and Performance Reporting Files</p> <p>1120-05 Vehicle Disposition Files</p> <p>1130-02 Shelf List Card Files</p> <p>1130-03 Library Catalog Files</p> <p>1140-01 Travel Request Files</p> <p>1140-02 Conference Travel Files</p> <p>1140-03 Passport Files</p> <p>1150-01 Printing Equipment Control Files</p> <p>1150-02 Printing Report File</p> <p>1150-04 Printing Job Jacket File</p> <p>1150-05 Illustration and Drawing Files</p> <p>1150-06 Photographic Negative Files</p> <p>1160-01 Publication Requisition Files</p> <p>1160-02 Status of Publication Files</p> <p>1160-03 Initial Distribution Files</p> <p>1160-04 Accountable Form Receipt and Issue Files</p> <p>1160-05 Accountable Form Authorization Files</p> <p>1160-06 Publication Stock Record Card Files</p> <p>1160-07 Publication History and Stock Usage Files</p> <p>1170-01 Mail Loss and Shortage Files</p> <p>1170-02 Mail Routing Guide Files</p> <p>1170-03 Accountable Mail Receipt Files</p> <p>1170-04 Mail Control Files</p> <p>1170-05 Mail Hours of Collecting Files</p> <p>1170-06 Mail Production Files</p> <p>1201-01 Data Systems Specifications Files</p> <p>1201-02 System Test Documentation Files</p> <p>1201-03 File Specifications Files</p> <p>1201-04 User Guide Files</p> <p>1201-05 Output Specifications Files</p> <p>1201-06 ADP Report Files</p>
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	<p>1201-07 Information Retrieval Routine Files 1210-01 ADP Work Files 1210-02 ADP Test Files 1210-03 Initial Data Abstract Files 1210-04 Initial Data Reference Files 1210-05 Initial Data Card/Tape Abstract Files 1210-06 Initial Data Source Files 1210-07 Intermediate Data Input/Output Files 1210-08 Valid Transaction Files 1210-09 Information Retrieval System Master Reference Files 1210-10 Security Backup Files 1220-01 Housekeeping System Master Files 1220-03 Re-formatted Files 1301-01 Forms Management Reporting Files 1301-02 Forms Numerical Files (Internal) 1301-03 Forms Numerical Files (External) 1301-04 Forms Functional Files 1301-05 Forms Number Registration Files 1310-01 Reports Control Files 1310-02 Reports Control and Output Register Files 1320-01 Records Management Survey Files 1320-02 Records Management Survey Background Files 1320-04 Records Disposition Standard Files 1320-05 Records Locator and Disposition Files 1320-07 Records Holding Files</p>
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REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO. NC 1 170 77 1	
DATE RECEIVED 22 FEB 1977	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<i>6-23-78</i> Date	<i>James L. Greene</i> Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Drug Enforcement Administration

2. MAJOR SUBDIVISION
Management Analysis Division

3. MINOR SUBDIVISION
Records Management Section

4. NAME OF PERSON WITH WHOM TO CONFER James L. Greene	5. TEL. EXT 382-3333
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6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 2/11/77	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>James L. Greene</i> James L. Greene	E. TITLE Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Attached for approval by NARS is the DEA Functional File System which contains the DEA records schedule (Appendix 07D) and the retention plan of permanent records (Appendix 07H).		

115-107

Agency copy of schedule delivered to James L. Greene June 25/78
sent to A11 PRC NY 6-29-78 537
Attachment A NNB, NNG, IVNR, NNV

PERMANENT RECORDS PROPOSED FOR
TRANSFER TO ARCHIVES

<u>File No. & Title</u>	<u>Method of Filing</u>
0601 Policy and Precedent Files	Chronologically
060-03 Agreement Files	By name of agency
110-01 Organization Planning Files	By region number or name of activity
120-01 Operation Planning Files	By name of planned operation
130-01	
130-03	
130-04 Congressional Budget Justification Files	Chronologically
140-01 Management Improvement Project Files	By project title
150-01 Management Survey Case Files	By project title
170-01 GAO Audit Reports Files	Chronologically
170-02 Internal Review Files	By region number or name of activity
301-01 Legal Opinion Precedent Files	Chronologically
360-01 Legislation Files	By name of legislation
370-03 News Media and Release Files	Chronologically

<u>File No. & Title</u>	<u>Method of Filing</u>
370-14 Statistics Report Files	Chronologically
601-01 Jurisdictional Files	By agency or name of activity
601-04 Enforcement Program Files	By program title
601-06 Enforcement Activities Reporting Files	By report title
601-11 Foreign Country Files	By region number and alphabetically by country
630-08 Manufacture and Purchase Qyota Files	By name of drug
830-02 Training Aids Files	By type of training device
930-02 DEA Scientific Advisory Committee Files	Chronologically
1330-01 Publication Record Set Files	By type of publication

PERMANENT RECORDS PROPOSED FOR
TRANSFER TO ARCHIVES

<u>File No. & Title</u>	<u>Volume on Hand¹</u>	<u>Annual Volume for Transfer to Archives¹</u>
060-01 Policy and Precedent Files	0.25	0.15
060-03 Agreement Files	0.25	0.15
110-01 Organization Planning Files	4.75	0.75
120-01 Operation Planning Files	0.25	0.25
130-01 Program Development Files	4.00	0.50
130-03 Budget Estimate Files	3.00	0.50
130-04 Congressional Budget Justification Files	8.00	0.75
140-01 Management Improvement Project Files	0.25	0.25
150-01 Management Survey Case Files	4.00	1.25
170-01 GAO Audit Reports Files	6.00	0.75
170-02 Internal Review Files	1.00	0.25
301-01 Legal Opinion Precedent Files	0.25	0.15
360-01 Legislation Files	0.50	0.25
370-03 News Media and Release Files	2.50	0.75

¹Volume in cubic feet

Attachment D

<u>File No. & Title</u>	<u>Volume on Hand¹</u>	<u>Annual Volume for Transfer to Archives¹</u>
370-14 Statistics Report Files	4.50	0.75
601-01 Jurisdictional Files	0.50	0.15
601-04 Enforcement Program Files	4.00	0.25
601-06 Enforcement Activities Reporting Files	0.25	0.15
601-11 Foreign Country Files	8.00	1.75
630-08 Manufacture and Purchase Quota Files	1.50	0.15
830-02 Training Aids Files	0.25	0.15
930-02 DEA Scientific Advisory Committee Files	1.25	0.25
1330.01 Publication Record Set Files	12.50 14.00	5.15 1.15

¹Volume in cubic feet

DEA MISSION STATEMENT AND RESPONSIBILITIES

The mission of DEA is to enforce the controlled substances laws and regulations of the United States of America and to bring to the criminal and civil justice system of the United States or any other competent jurisdiction, those organizations, and principal members of organizations involved in the growing, manufacture or distribution of controlled substances appearing in or destined for the illicit traffic in the United States; and to recommend and support non-enforcement programs aimed at reducing the availability of illicit controlled substances on the domestic and international market.

In carrying out its mission, DEA is the lead agency responsible for the development of overall Federal drug enforcement strategy, programs, planning and evaluation. DEA's primary responsibilities include:

1. coordination and cooperation with State and local law enforcement officials on mutual drug enforcement efforts and enhancement of such efforts by exploiting potential interstate and international investigations beyond local jurisdictions and resources;
2. investigation of and preparation for prosecution, major violators of controlled substances laws operating at interstate and international levels in keeping with established drug priority goals;
3. regulation and enforcement of compliance with the laws governing the legal manufacture and distribution of controlled substances;
4. management of a national narcotic intelligence system in cooperation with Federal, State, local and foreign officials to collect, analyze and disseminate data as appropriate;
5. operation under the policy guidance of the Cabinet Committee on International Narcotic Controls, all programs associated with drug law enforcement officials of foreign countries;
6. provision of training and research, scientific and technical and other support services that enhance DEA's overall mission;

Attachment E

7. liaison with the United Nations, Interpol and other organizations on matters relating to international narcotic control programs; and
8. coordination and cooperation with other Federal, State, and local agencies, and foreign governments in programs designed to reduce the illicit availability of abuse-type drugs on the United States market through non-enforcement methods, such as crop eradication, crop substitution, training of foreign officials, and the encouragement of knowledge and commitment against drug abuse.

ADMINISTRATIVE MANUAL
SUPPLEMENTAL TRANSMITTAL

Date 3/15/78

Transmittal No. 78-11

Chapter No. 07

Table Of Changes

REMOVE		INSERT		EXPLANATION OF CHANGES
PAGE	IDENTIFICATION	PAGE		
Appendix 07D, the following pages:	dated 1/31/77	Attached pages	Appendix 07D:	This is a revised issuance of Appendices 07D, 07H, and 07I of Subchapter 075, DEA Functional File System.
11-18		11-18		This revision provides changes to the retention and disposal standards of certain DEA files. In most instances, the revisions simplify the instructions regarding the stated time frames for retention and disposal of certain DEA files. These changes were caused by a revision of the General Records Schedules and a review of the DEA standards by the National Archives and Records Service.
25-28		25-28		
35-70		35-39		
43-48		43-48		
55-56		55-56		
61-66		61-66		
73-76		73-76		
79-82		79-82		
85-86		85-86		
91-92		91-92a		
95-96		95-96		File No. 601-07 is suspended pending resolution of conflict with Agents Manual Section 6227. Numbered Investigative Case Files will not be retired to the Federal records center.
111-112		111-112		
115-116		115-116		
123-130		123-130		
135-137		135-138		
Appendix 07H, pp. 1-4		Appendix 07H, pp. 1-4		
Appendix 07I, pp. 1-2, 7-8, and 9-10		Appendix 07I, pp. 1-2, 7-8, and 9-10		

NOTE: In accordance with agreements made by the Department of Justice in the current class action suit Segar, et al. v. Bell, et al., you are directed to discontinue the routine disposal of DEA files pertaining to Special Agents (1811 series). This requirement will remain in effect until further notice.

Robert B. Beaman
ADMINISTRATOR

ADMINISTRATIVE MANUAL
SUPPLEMENTAL TRANSMITTAL

Date 1/31/77

Transmittal No. 77-15

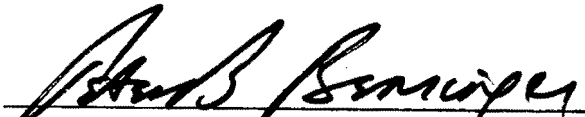
Chapter No. 07

Table Of Changes

REMOVE		INSERT	EXPLANATION OF CHANGES
PAGE	IDENTIFICATION	PAGE	

Sections 0751 and 0752 and associated Tables of Contents	dated 3/1/74 dated 7/9/74	Subchapter 075, Table of Contents, and Appendices 07D through 07I (attached)	<p>This is the initial issuance of the DEA Functional File System (FFS), Subchapter 075.</p> <p>This subchapter describes the DEA Functional File System; provides guidance and procedures for establishing and maintaining uniform, economic, and efficient files; and describes the standards for orderly disposition of records, with specific procedures for their retirement or destruction.</p> <p>This issuance supersedes BNDD Order 53, Field Administrative File Classification System, and the Federal Bureau of Narcotics Comprehensive Records Control Schedules No. 1 and 2, and all amendments thereto.</p>
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Distribution


 ADMINISTRATOR

ADMINISTRATIVE MANUAL

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CHAPTER 07 RECORDS MANAGEMENT

Subchapter 075 DEA Functional File System

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 - 0750.42 Disposal of Records
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 - 0750.74 Office of Record
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CHAPTER 07 RECORDS MANAGEMENT

Subchapter 075 DEA Functional File System

0750 INTRODUCTION

0750.1 PURPOSE

A. This directive describes the DEA Functional File System; provides guidance and procedures for establishing and maintaining uniform, economic, and efficient files; and describes the standards for the orderly disposition of records with specific procedures for their retirement or destruction.

B. The major functional file categories of the DEA Functional File System will be used as a basis for reconstructing the subject classification guide of the DEA Directives System and developing the Reports Management and Control System.

0750.2 OBJECTIVE. FFS is designed to increase the technical and administrative usefulness of DEA records, expedite the disposition of records when they are no longer needed, facilitate the preservation of records having permanent value, and simplify the training of files personnel.

0750.3 SUPERSESSION. The DEA Functional File System supersedes the Bureau of Narcotics and Dangerous Drugs Order 53 (Field Administrative File Classification System) and the Federal Bureau of Narcotics Comprehensive Records Control Schedules No. 1 and 2, and all amendments thereto.

0750.4 AUTHORITY

0750.41 Records Management

A. The statutory basis for the management of Federal records is contained in Public Law 754 (81st Congress), which vests in the Administrator of the General Services Administration general supervision of this activity in the Federal Government and assigns to the head of each executive department and agency the responsibility for the execution of the records management program.

B. 44 U.S.C. 3101 states that, "The head of each Federal agency shall make and preserve records containing adequate and proper

documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency."

C. Subpart 101-11.4 of the Federal Property Management Regulations (FPMR) requires each Federal agency to compile and maintain a records control schedule for all major groups of records in its custody having importance in terms of content, bulk, or space and equipment occupied.

D. Title 8 of the GAO Manual for Guidance to Federal Agencies describes GAO concerns with agency fiscal and program records, and identifies those records whose proposed disposition must be approved by GAO.

0750.42 Disposal of Records. The legal basis for disposal of records of the United States Government which have insufficient administrative, legal, fiscal, research, or other value to warrant their further preservation is governed by the provisions of the Records Disposal Act of 1943, as amended by the Act of July 6, 1945. Records accumulated by the Drug Enforcement Administration in the course of the performance of official business will not be destroyed or removed without proper authority. Public law provides stringent penalties for the willful and unlawful destruction or removal of public records (18 U.S.C. 2071).

0750.5 POLICY. The policy of DEA is to limit the creation of records to those essential for the efficient conduct of business and to ensure that records which are created are administered efficiently in all elements of DEA in accordance with statutory requirements.

0750.6 DEFINITIONS

A. Accountable Officers' Accounts. Specific fiscal documents, prepared by DEA accountable officers, which are required by the General Accounting Office (GAO) to be maintained for audit.

B. Cutoff. Terminating files at regular intervals to permit their transfer, retirement, or disposal in complete blocks. Under this process, a file is terminated regularly (at the end of a specified period of time or event), and a new file is established. Administrative and program files (less fiscal files) may be cutoff at the end of the calendar or fiscal year. Fiscal files will be cutoff at the end of the fiscal year. See paragraph C, Appendix 07D for instructions.

C. Disposition Standards. Procedures that provide for the cutoff, transfer, retirement, or destruction of files. Disposition standards for all DEA files are contained in Appendix 07D.

D. Federal Records Center (FRC). An activity established for the receipt, maintenance, servicing and disposition of files. Files stored in records centers have been retired so that they can be maintained and administered more economically and efficiently in a central facility.

E. Files. The term "files" includes any papers, photographs (including films), microforms, photographic copies, punched cards, paper or magnetic tapes, or maps, regardless of physical form or characteristics, accumulated or maintained in filing equipment, in boxes, or on shelves, in occupied offices or storage space. Material not considered as files includes publications and blank forms stocked for filling requisitions, and reproduction material such as stencils, masters, plates, etc.

F. Housekeeping Records. Records reflecting routine administrative functions that are common to all DEA activities. These records are shown in Appendix 07D.

G. Microfilming. The technique of producing miniature film images or records.

H. Office of Record. The office designated to maintain official files. Normally, it is the office that created or received correspondence relating to its assigned functions. This requirement does not negate other offices from maintaining similar files that are pertinent to an office's area of operation. The offices of record for Headquarters files are shown in Appendix 07I.

I. Program Records. Records reflecting the substantive programs of DEA. These records are shown in Appendix 07D.

J. Record Copy. The file copy of a document maintained in the office of record, but exclusive of reading or daily file copies, or other copies maintained for convenience or reference.

K. Records. Title 44, Section 3301, of the United States Code defines "records" as "all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved

only for convenience of reference, and stocks of publications and of processed documents are not included." The term "record" includes not only paper documentation but also all other records media such as microfilm, sound recordings, magnetic tapes, and all other machine-readable devices. All these records, regardless of how produced, are subject to the restraints and controls discussed in this title.

L. Retention Period. The length of time based on an event or chronological period, that a file must be kept before it is destroyed. See paragraph C, Appendix 07D for instructions. Files not authorized for destruction have a retention period of "permanent." Permanent records that are to be maintained by Headquarters offices of record are identified in Appendix 07H.

M. Retirement. The movement of records from an agency's files area to a records center.

N. Transfer. The movement of records from one agency, office, etc., to another organization.

0750.7 RESPONSIBILITIES

0750.71 *Records Management Section, Management Analysis Division.* The Records Management Section (MGTR) has the overall responsibility for DEA-wide files program direction, guidance, and technical assistance. This responsibility includes the following functions:

- A. Plans, formulates and prescribes basic files management policies, assistance, standards, and procedures.
- B. Inspects and surveys the files in organizational levels for conformance with the prescribed procedures and advises the appropriate officials of findings and recommendations for improvement.
- C. Serves as liaison with the Federal records center, the National Archives and Records Service (NARS), and other agencies on matters related to records management.
- D. Serves as the records officer for DEA and for the Headquarters Offices.
- E. Offers permanent DEA records to NARS.

0750.72 *Headquarters and Field Managers.* Heads of Offices (Headquarters), Regional Directors, and Laboratory Directors are responsible for the supervision and execution of records management in their respective activities. Each Regional and Laboratory Director will designate a records officer to discharge assigned records management functions.

0750.73 *Records Officer.* Overall duties are to implement the records program of the Headquarters or field activity, applying management techniques to files organization and disposition; to conduct surveys and to apprise the Records Management Section of the results of the field records program at least once every three years; and to prescribe corrective action.

0750.74 *Office of Record*

A. Appendix 07I contains a listing of those Headquarters Offices which are the office of record for DEA files. The office of record is responsible for maintaining the record copy and associated documentation to ensure a complete account of actions taken, commitments made, and the results of actions taken in discharging assigned functions.

B. Headquarters Offices (office of record) that are responsible for maintaining permanent records are shown in Appendix 07H.

C. Regional Offices will designate activities as an office of record for regional files and will maintain an alphabetical listing of regional files (indicating the office of record) in the format shown in Appendix 07I.

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0751 SYSTEM OVERVIEW

0751.1 DESCRIPTION. The DEA Functional File System (FFS) is a method of identifying and arranging DEA records to facilitate their reference and disposition. This system will be used by all DEA activities. The DEA Functional File System identifies types of files by a file number, describes the documents filed under the respective file number, and provides instructions regarding the disposition of files for the associated file number. The FFS also provides guidance on files maintenance, including methods of organizing files to facilitate their use and disposition, and procedures to ensure efficient and economical use of file equipment, supplies, and space.

0751.2 FILE CATEGORIES. Within the FFS, DEA records are grouped into 14 major functional file categories. The first category is for Office Housekeeping and General Program Files; the remaining 13 categories (Specific Program Files) relate to functions of the Drug Enforcement Administration. File categories and series are as follow:

<u>Major Functional File Category</u>	<u>File Series</u>
Office Housekeeping and General Program Files	000
Planning, Management, and Budgeting Files	100
Inspection, Security, and Protection Services Files	200
Legal, Legislative, and Informational Services Files	300
Accounting and Procurement Files	400
Equal Opportunity and Personnel Files	500
Enforcement and Drug Control Files	600
Intelligence Files	700
Training and Education Files	800

Science and Technology Files	900
Occupational Health and Safety Files	1000
Administrative Support Files	1100
Automatic Data Processing Files	1200
Records Management Files	1300

0751.3 *DISPOSITION STANDARDS.* The disposition standards are mandatory and cannot be altered without prior written approval from the Records Management Section. The file disposition standards for the FFS are contained in Appendix 07D. Each standard consists of three parts: file number, description, and disposition.

0751.4 *FILES CONVERSION*

A. Files Cut-Off. Generally, administrative and program files (less fiscal files) are cutoff at the end of the calendar year, fiscal files are cutoff at the end of the fiscal year; and new file folders are prepared. This procedure will be used for the cutoff of 1976 files and the establishment of 1977 files, and will continue for subsequent files under FFS. Files for 1976 and prior years that are on hand in an office will be retained, destroyed, or retired in accordance with the disposition standards in Appendix 07D. Cutoff and maintenance of such program files as enforcement investigative case files, general investigative files, cooperating individual files, intelligence files, laboratory files, and internal security files will be in accordance with the instructions outlined in the DEA Agents, Laboratory Operations, and Internal Security Manual, respectively.

B. Continuity of Files. When bringing 1976 files forward or setting up 1977 files, the following procedures will be used:

1. Cross-reference the files titles of the previous files (1976) to Appendix 07D or the alphabetical listing of DEA files in Appendix 07I as a means of identifying the corresponding file titles in FFS.

2. Verify the file contents of the previous file (1976) against the file description of the specific file in Appendix 07D to ensure compatibility of file material. In some instances, it may be necessary to subdivide the previous file (1976) into

several different file numbers or consolidate several 1976 file folders.

3. Organize the 1977 files according to Section 0754, arranging the file guides and folders in proper sequence and preparing folder labels. File folder labels are required to be changed on 1976 files when they are brought forward with 1977 files.

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0752 BASIC FILE GROUP

The initial step in organizing files is to determine the basic file group. General guidelines are provided herein of the requirements that necessitate division of documents in a particular group.

0752.1 SUBJECT FILES. This file series is used where individual transactions are specific in subject content or involve individual topics, individuals, or organizations. The purpose of the subject file is to provide complete documentation on each subject or functional area and a source of reference on various subjects and functions.

0752.2 CASE OR PROJECT FILES. This type of file contains material relating to a specific action, event, person, organization, location, product, or thing. The documents may cover one or more subjects concerning a case or project, but will always be found under a specific title or number. A distinguishing feature in case or project files is the similarity in the nature of papers within each case folder constituting the total files. Papers within each file are generally arranged in chronological order, with the most recent papers placed at the front of the folder. Case or project files are normally terminated upon occurrence of an event or action and placed in an inactive file. Case files may be filed alphabetically by name, title, country, or organization, or numerically to permit ease of filing.

0752.3 REFERENCE FILES. These types of files are organized collections of materials used for convenient reference. They are sometimes called "convenience files" or "working files." This material may include extra copies of documents which are officially recorded elsewhere, books, periodicals, copies of reports, studies, drawings, manuals, pamphlets, and catalogs. Reference files should be reviewed periodically and only those which are current and of significant reference value should be retained. The files are kept current on a continuing basis by replacing superseded material and removing obsolete material.

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0753 FILING ARRANGEMENTS

After determining the proper files grouping, the next step is to select a method of arranging each file group based on the feature by which the file is most often requested. Within the basic arrangement selected, one or more arrangements may be used for further breakdown or subdivision. For example, geographically arranged documentation may be further arranged by organization; documentation filed by subject may be further arranged chronologically.

0753.1 ALPHABETICAL. This system is used to arrange files by name of persons, companies, or agencies in alphabetical sequence. Files maintained by names of persons will be arranged alphabetically by surname and thereunder by first name and middle initial in accordance with the standard rules for alphabetical filing contained in Appendix 07E.

0753.2 CHRONOLOGICAL. This system is used to arrange files in date sequence when the date is the primary means of reference. It is useful for keeping documents in small, manageable groups, usually by year, month, and day. Reading and suspense files are examples of files which are arranged by date.

0753.3 GEOGRAPHICAL. This system is used to arrange files by geographical location, such as area, country, state, or county. It is used when the geographical location is the primary means of reference. Files are arranged in alphabetical sequence, first by the name of the main geographical area, such as a state; then by the next most important subdivision required for reference, such as counties, or cities.

0753.4 NUMERICAL. This system is used to arrange files identified and referred to by number, such as bills of lading, requisitions, and purchase orders.

0753.5 ORGANIZATIONAL. This arrangement is used when the name of the organization is the primary means of reference. Organizational arrangement is fundamentally an alphabetical arrangement of organizations as they relate to each other.

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0754 FILING DOCUMENTS

The procedures described in this section are designed to provide maximum efficiency in preparing papers for file; maintaining records; and in using and labeling file folders, file guides, and file containers.

0754.1 INSPECTION OF PAPERS

0754.11 Completeness. Papers received for file will be checked to ensure that all actions have been completed, and if so, that all papers which should be included to fully document the action are attached.

A. *Incomplete Actions.* If it appears that all necessary actions have not been completed, the paper will be placed in suspense or otherwise controlled to permit follow-up action as necessary and to ensure that the matter in question will not be cutoff prior to completion of final action.

B. *Insufficient Documentation.* If action is complete, but essential documentation is missing, an attempt will be made to obtain the missing papers or copies of the papers. If the attempt fails, a notation of the action taken to obtain the missing papers, and the result, will be placed on the file papers.

0754.12 Unnecessary Material. Unnecesssary documents such as used envelopes, routing slips, and extra copies will be discarded. When the original of a paper is available, all copies will be discarded, except that a copy containing additional information needed for record purposes (e.g., signature or initials of concurring officials) will be retained and filed.

0754.2 ASSEMBLY OF PAPERS. Correspondence will be assembled and filed under the date of the latest action as indicated below:

0754.21 Separating Correspondence. A separate "chain" of correspondence normally develops in completing an action. It consists of the basic paper (the paper starting the action), any replies in continuation of the action, enclosures, and supporting

papers forming a part of the entire correspondence action. These papers will be assembled in top-to-bottom order as follows:

- A. The latest action.
- B. The basic paper (incoming document).
- C. Enclosures or attachments in numerical or alphabetical sequence.
- D. Internal staff papers which support the action (studies, coordinating actions, etc.).

0754.22 Related Papers. Papers which are directly related or contain specific reference to earlier papers on the same subject will be combined with those papers only if reference requirements clearly necessitate such action. If combination is deemed necessary, the related papers will be assembled separately under the method described above. The related papers will then be stapled on top of the earlier papers and will be filed by date of the latest action. In such cases, it may be desirable to make a cross-reference to be filed under the date the earlier papers were filed.

0754.3 FASTENING OF PAPERS. The fasteners described below may be used to hold papers together. Straight pins and paper clips will not be used for fastening papers that are filed, except that paper clips may be used in a suspense file.

0754.31 Staples. Wire staples may be used to fasten related loose papers together.

0754.32 Prong Fasteners. Prong fasteners may be used in the following situations:

- A. When file material on an action is too thick to fasten with wire staples.
- B. When a file containing several separate but related actions is frequently used outside the immediate file area.
- C. When a file is loaned for use outside the files area.

0754.33 String and Tape. String and cloth tape may be used to hold bulky material together only when the use of fasteners is not practicable, or when an impression seal is required over the fastening.

0754.4 CLASSIFICATION OF PAPERS. Classify papers by function, not by subject. Correct classification of papers under FFS often requires that the subject of individual documents be ignored during file classification. Papers are filed, regardless of subject, under the file number that documents the performance of functions, processes, or actions in performing the assigned programs of the office filing the documents. For example, a request for approval of a form would be filed under file number 1301-02 in the Records Management Section, which is responsible for the forms management function. However, a copy of the same paper may be filed under file number 560-04 (Career Management Files), assuming that the Career Management and Development Section originated the request. The paper was filed under 560-04 because the Career Management and Development Section is responsible for the career management program and the paper documents action taken regarding career management functions. For a description of the documents most frequently filed under a specific file number, see Appendix 07D.

0754.5 POSTING FILE NUMBERS

A. The file number will be placed on the document in the upper right margin (providing the file number was not recorded when the document was originated), taking care that it does not obscure the contents of the paper.

B. When the physical characteristics of a document make it self-identifying for filing purposes, the posting of the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are reference copies of publications and mail control forms.

0754.6 BACKING SHEETS. Backing sheets may be used when the file material is sufficiently thick to require a prong fastener, or when protection is required for papers which have begun to fray or wear due to frequent handling. When backing sheets are used, 220 weight paper stock is sufficiently durable. Heavier backing sheets waste space in file containers.

0754.7 CROSS-REFERENCE. A cross-reference is a paper filed under one file number to show the location of material filed elsewhere. Cross-references will be prepared only when essential to finding needs. Cross-references may be used when:

A. A document pertains to more than one function or action, and it is probable that reference to the document may be by any of the functions or actions to which it pertains.

B. A document pertains to individuals, organizations, or geographical locations, and is not filed by the name or names under which requests are anticipated.

0754.8 USE OF FILE GUIDES, FOLDERS, AND LABELS. All files will be labeled regardless of location, volume, or physical characteristics. Labels with complete identifying data are essential for accurate filing, retrieval, and disposition of documents.

0754.81 Guides. Guides are used to divide files and identify each division so that filing and finding particular folders, papers, cards, or other file material are facilitated. In addition, guides provide support for the material in the file.

0754.82 Folders. Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers. When the material in the folder reaches the normal capacity of the folder (normally three-fourths of an inch) a second folder should be prepared. The second folder should begin at a logical point, such as at the beginning of a month, calendar quarter, etc.

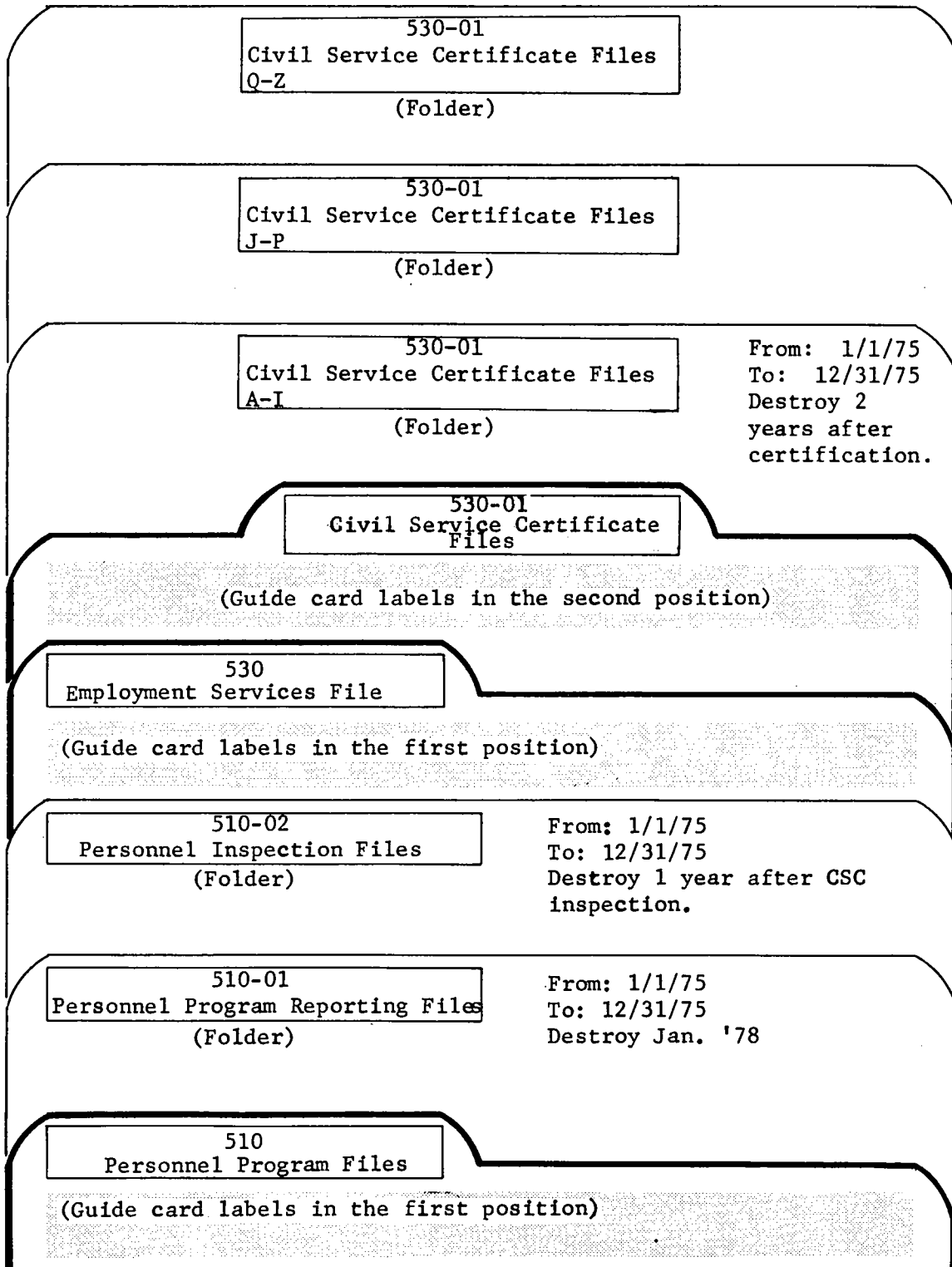
0754.83 Label Captions. Label captions for file guides and file folders should be typed on gummed labels. Drawer and binder labels should be prepared on card stock paper.

0754.84 Guide Label Caption Data. The first or left position of the guide is used for the primary subjects, with the second position being used for secondary subjects and the third position for tertiary subjects. The minor functional file category may be considered as the primary subject. See Exhibit 1.

A. Guides will be arranged in files so that the tabs are in a uniform position in the file drawer. Guides normally are placed in a file at the beginning of each minor functional files category. The guides will be labeled with the functional file category numerical classification. For example, guides identifying the minor functional files category of Personnel Program Files would be labeled as Personnel Program Files 510.

B. If a still more definitive breakdown is required, the functional file number identifying the individual file series would be used in the second or third position on the guide. For example: Civil Service Certificate Files 530-01.

ARRANGEMENT OF GUIDES, FOLDERS, AND LABELS



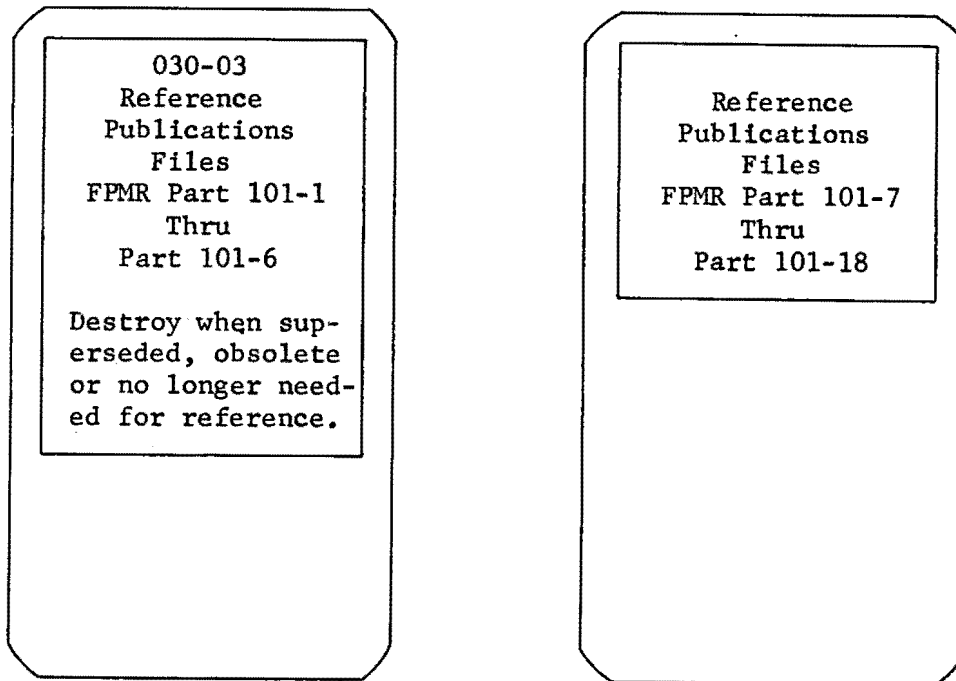
C. When a large volume of records is accumulated under a single file number, and a further subdivision is necessary, guides may be prepared reflecting this internal arrangement.

0754.85 Folder or Binder Label Caption Data. File labels will include the file number, file title, disposition instructions, and the inclusive dates of the file (annotation of the calendar or fiscal year, CY 77, FY 78, is acceptable for files that are maintained on a calendar or fiscal year basis). When a file series with the same disposal standard consists of several folders or binders (e.g. Civil Service Certificate Files, 530-01), each containing a segment of the file series, only the label of the first folder or binder in the series need show the file number, file title, disposition instructions, and inclusive dates of the file. Each label of other folders or binders in the same files series need bear only the file number and identification of the file segment; the inclusive dates of the file may be shown, when applicable. Examples of folder and binder label caption data are shown in Exhibits 1 and 2.

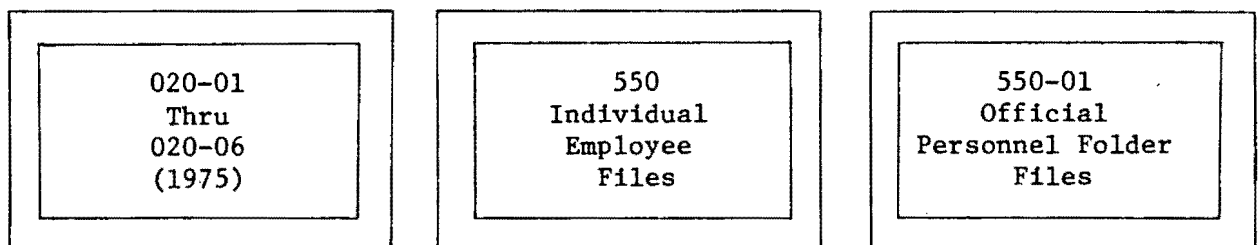
0754.86 Drawer Label Caption Data. The file drawer label will bear the file numbers and the year of accumulation as shown in Exhibit 2. When a file drawer is used for two years of files, both years will be identified on the drawer label. The major functional file category may be shown on the drawer label.

0754.9 CHARGE-OUT RECORD. A Charge-Out Record (Optional Form 23 or Form DEA-285) should be completed when papers are removed from a file. A follow up or tracing time should be established (5-10 workdays) to preclude loss of the papers.

ARRANGEMENT OF BINDER AND DRAWER LABELS



Examples of Binder Labels



Examples of Drawer Labels

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0755 DISPOSITION AND RETIREMENT OF RECORDS

0755.1 DISPOSITION OF RECORDS

0755.11 Guidelines

A. One of the primary objectives of the DEA records management program is to preserve records of continuing value, systematically eliminate all other records, and remove less active records from office space to low-cost storage space at the expiration of their utility. The purpose of this action is to increase materially the usefulness of records preserved and reduce substantially the cost and effort of record keeping.

B. The value of records is determined first by their use as administrative tools, second by their use as legal or other official evidence, and finally by their use as material for historical or other research. In general, the records which are the most authoritative, informative, and valuable in conducting administrative operations are also the most important for historical or other research purposes. However, only a relatively small proportion of the total volume of files accumulated is of sufficient value to justify preservation as a part of the permanent Archives of the United States. For the remaining records, a period of time usually can be determined during which their value diminishes or disappears.

0755.12 *Disposition Standards.* Disposition of DEA records (including those records of the Federal Bureau of Narcotics and the Bureau of Narcotics and Dangerous Drugs and other records that are on-hand and created prior to the implementation of FFS) will be accomplished in accordance with the criteria set forth in Appendix 07D. These standards provide for the systematic destruction or retirement of DEA records to a Federal records center.

0755.13 Disposition of Personal Papers and Official Records

A. Papers of a private or nonofficial character which pertain only to an individual's personal affairs that are kept in the office of a DEA official will be clearly designated as non-official and will at all times be filed separately from the official records. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of the official files.

B. Official records involve materials made or received either pursuant to Federal law or in connection with the transaction of public business. Personal papers include material pertaining solely to an individual's private affairs. Correspondence designated "personal," "confidential," or "private," etc., but relevant to the conduct of public business, is nonetheless an official record subject to the provisions of Federal law pertinent to the maintenance and disposal of such records. Official records are public records and belong to the office rather than to the officer.

C. The legal definition of records (44 U.S.C. 3301) specifically excludes "extra copies of documents preserved only for convenience of reference." Such extra copies of documents are commonly regarded as nonrecord materials and are disposable without reference to the requirements of chapter 33, Title 44, United States Code. A DEA official may accumulate for convenience of reference extra copies of papers and other materials which he has drafted, reviewed, or otherwise acted upon. When deposited in a research institution, extra copies can serve the needs of historical scholarship. DEA officials may be permitted to retain these extra copies, provided that such retention would not (1) diminish the official records of the agency; (2) violate confidentiality required by national security, privacy, or other interests protected by law; or (3) exceed normal administrative economies.

0755.14 Unlawful Removal or Destruction

A. DEA employees should be aware that (1) the alienation and destruction of records in agency custody is governed by specific provisions of chapter 33, Title 44, United States Code, and (2) criminal penalties are provided for the unlawful removal or destruction of Federal records (18 U.S.C. 2071) and for the unlawful disclosure of certain information pertaining to national security (18 U.S.C. 793, 794, and 798).

B. The DEA records officer (Records Management Section) will be notified of any actual or threatened unlawful loss or removal of official records. Disposal of Federal records can occur only as a result of authorization of NARS approved records control schedules or provisions of general records schedules covering records common to one or more Federal agencies.

0755.2 GAO RECORDS (ACCOUNTABLE OFFICERS' ACCOUNTS)

A. The General Accounting Office (GAO) is responsible for determining the retention and disposal of certain fiscal records (accountable officers' accounts) created by DEA, which are legally records of GAO from the moment of their creation. Accountable officers' accounts, accumulated by DEA fiscal organizations for site audit by GAO auditors, consist of the following specific documents or their equivalent: statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers. These records are identified in the Detail Accounting Files (401) and Summary Accounting Files (410) of Appendix 07D.

B. DEA forms used in lieu of standard form vouchers or schedules and machine-readable versions of accountable officers' accounts, produced with GAO approval, are included in this definition of accountable officers' accounts.

C. If the integrated accounting system approved by GAO requires that certain documents support vouchers and/or schedules, they should be included in the site audit collection of documents. Otherwise, all other records having fiscal connotation or created by DEA fiscal organizations are DEA records disposable under DEA disposition standards. These records include memorandum copies of site audit documents.

D. Records Management Section (MGTR), in coordination with the Controller, will obtain required GAO approval regarding retention and disposal of DEA records accumulated by DEA accountable officers' accounts.

E. Any audited accounts and all unaudited accounts more than one full fiscal year old may be transferred to Federal records centers without special permission from GAO. Requests to transfer accountable officers' accounts which are less than one year old and unaudited will be submitted to MGTR in order to obtain approval from GAO.

F. Accountable officers' accounts at overseas locations will be retained a minimum of three years before transfer to a Federal records center.

0755.3 RETIREMENT OF RECORDS

0755.31 *Criteria.* Records that exceed the established retention periods in the DEA Functional File System may be transferred to a Federal records center, providing the following conditions are met:

A. The records have a retention period of three years or longer remaining.

B. The records are not referred to more than twice a month for each file drawer.

C. There is one cubic foot, or more, of records available for transfer.

0755.32 *Transfer Priorities.* Priority should be given to the removal of records from office space, space that is convertible to office use, leased space, and filing equipment which can be utilized for storing current records.

0755.33 *Supporting Records Centers*

A. Inactive records having long term or permanent value should be retired to one of the Federal records centers listed in Appendix 07F.

B. Records retired by Headquarters Offices will be transferred to the Washington National Records Center.

C. Records retired by domestic Regions and Laboratories will be sent to the nearest Federal records center.

D. Records retired by the foreign Regions will be transferred to the Washington National Records Center.

E. Regional Offices will control the retirement of records by the District Offices to ensure that duplicate records are not transferred to a records center by both the Regional Office and its District Offices. This requirement does not necessitate that a physical comparison be made of records that are retired by the District Offices. As a minimum, adequate review should be made of the SF-135 before the District Office transfers the records to the records center.

0755.34 *Classified Records.* The priorities cited in paragraph 0755.32 above are extended to classified records. The activity (Headquarters or field) responsible for the records will coordinate with the Office of Internal Security for approval of classified records, prior to transferring the records to a records center. Handling procedures for transferring records will conform to Chapter 82 of the DEA Internal Security Manual.

0755.35 *Transferring Records to FRC*

A. Records Transfer and Receipt Form. Transfer of records to a Federal records center (FRC) requires completion of a Records Transmittal and Receipt (Standard Form 135) and Continuation Sheet (SF-135a). This form provides a record of the transfer of custody of the files to the records center, restrictions on their use, and an inventory to aid the records center in providing future reference services. A completed SF-135 is shown in Exhibit 3.

B. Accession Number.

1. An accession number is required for each series of records that are transferred to the records center. A "series" of records is a block of records having the same disposal authority and the same disposal date. The accession number that is recorded on SF-135, consists of three parts: first, the DEA records group number "170"; second, the last two digits of the fiscal year; and third, a sequential number, repeated on a fiscal year basis, which is assigned for each records shipment. Actual construction of the accession number is shown below:

170	-	77	-	0013
Records Group		Fiscal Year		Sequential Number

2. Records Management Section will assign accession numbers for Headquarters Offices, foreign Regional Offices, Baltimore Regional Office, Special Testing & Research Laboratory, Mid-Atlantic Regional Laboratory, and the Mid-Atlantic Field Office of Internal Security.

3. Domestic Regional Offices and Laboratories will obtain accession numbers from the supporting records center for each records series listed on SF-135. The domestic Regional Office will be the central point of contact with the supporting records center. The foreign Regional Office will be the central point of contact with MGTR.

C. Processing of SF-135.

1. An original and two copies of SF-135 must be received at the records center at least two weeks (ten workdays) before the desired shipment date. Headquarters and foreign Regional Offices will provide an original and three copies of SF-135 to MGTR, of which one copy will be retained by MGTR and the remaining copies forwarded to the Washington National Records Center (NARS). Domestic Regional Offices and Laboratories will forward SF-135 directly to the supporting records center.

2. If the transfer of records is approved by NARS, the records center will annotate block 6(j) of SF-135 with the shelf location in the records center where each record series will be stored, and return two copies of SF-135 to the agency, indicating that the records may be transferred to the records center. The records must be shipped within 30 days after receipt of SF-135 from the records center or the accession paperwork must be resubmitted. Prior to shipping the records, one copy of the returned SF-135 will be placed in the first box of each accession. The second copy is retained by the DEA activity as a suspense copy. Upon receipt of the records in the center, the shipment copy will be signed and returned to the agency for its files.

D. Transfer of GAO Records. A separate SF-135 is to be prepared for the transfer of GAO records (accountable officers' accounts), since these records must not be mixed with other DEA records. When transferring GAO records to a records center, indicate that these are GAO records in the series description of SF-135 for Detail Accounting Files (401) and Summary Accounting Files (410).

0755.36 Shipping Records. Records will be shipped to the records center in fiberboard boxes, size 14-3/4" X 9-1/2, FSN 8115-00-117-8344. The records will be packaged in the boxes as shown in Exhibit 4. A Records Retirement Data Label (Form DEA-267a, Exhibit 5) will be completed using a black felt marker and affixed to the front (short side) of the box, for each box that is sent to a records center. Each new series of records should begin with box number 1.

0755.37 Supply of Boxes and Labels. Headquarters Offices will obtain records boxes from Administrative Services Division. Regional Offices and Laboratories will purchase the records boxes from the Federal supply service at catalog price. Federal records centers no longer distribute records boxes to agencies. DEA activities may requisition labels, Form DEA-267a, from Administrative Services Division.

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE
1

OF
PAGES

1. TO (Complete the address for the appropriate records center serving your area)

**Federal Archives and Records Center
General Services Administration**

Washington National Records Center
Washington, D.C. 20409

As shown in FPMR 101-11.410-1 ▶

2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (Signature and title) John Mason Management Analysis Division	DATE 10/7/76
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Phillip Strahorn (Records Officer) Records Management Section (202) 382-3333	
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and title)	DATE

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt copy of this form will be sent to this address)

Drug Enforcement Administration
Management Analysis Division
1405 I Street N. W.
Washington, D.C. 20537

Fold line

6. RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
170	77	0013	4	1-4	Records Management Surveys, Jan - Dec 1975	R	DEA Schedule No. 1, Item 1320-01	Jan 80				
170	77	0014	3	1-3	Organization Planning Files Jan - Dec 1975	R	DEA Schedule No. 1, Item 110-01 a(2)	Jan 80				

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Exhibit 3

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

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FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for *each* series of records listed on the form. A series consists of records having the same disposal authority and disposal date, that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARS record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.
- (e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- (f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

<i>Code</i>	<i>Restrictions</i>
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use/witnessed disposal <i>not required</i> (specify in column (f))
W	Restricted use/witnessed disposal <i>required</i> (specify in column (f))
N	No restrictions

Exhibit 3
Page 2

- (h) **Disposal Authority.** For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) **Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

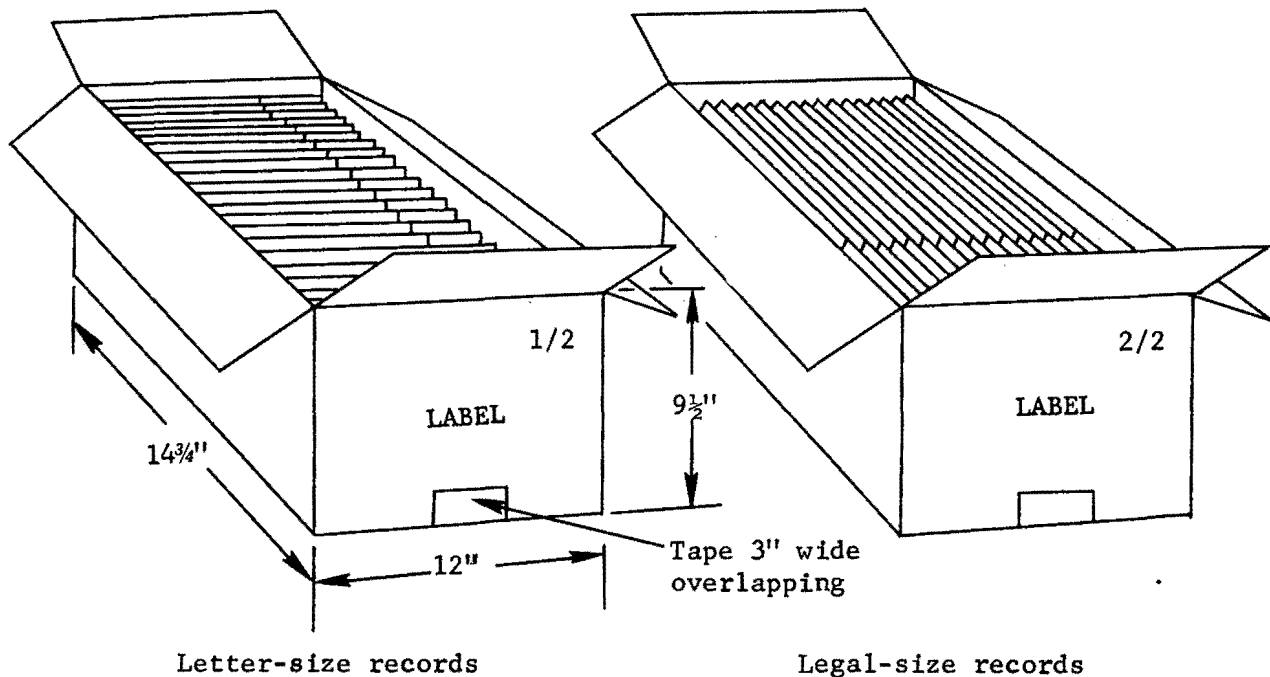
Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

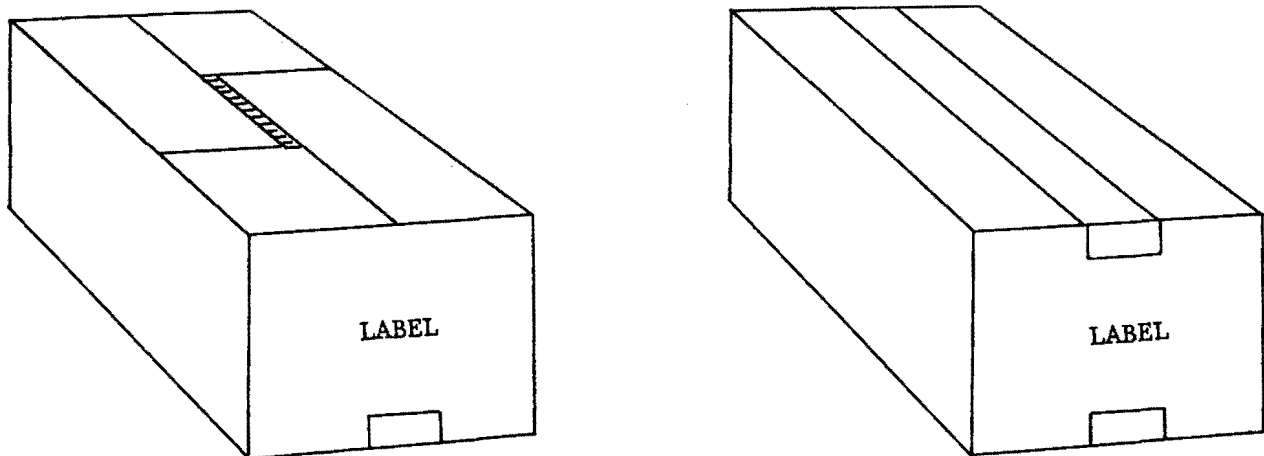
- (j) **Location.** The records center annotates the shelf location of the first carton for each series of records.
- (k) **Shelving Plan.** The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) **Automatic Disposal.** The records center enters either *Y* (yes) to indicate automatic disposal applies or *N* (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

PACKING RECORDS IN STANDARD-SIZE RECORD SHIPPING CONTAINERS



Packing arrangements for records retirement



Methods of closing top flaps of boxes for shipping records to a record center

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ACCESSION NO. <i>170-77-0013</i>	CARTON NO. <i>1 of 4</i>
AGENCY <i>Drug Enforcement Administration</i>	DIVISION <i>Management Analysis Division</i>
BRIEF DESCRIPTION OF RECORDS <i>Records Management Surveys</i>	

DEA-267a
(4/74)

FEDERAL RECORDS CENTER

0755.38 Retrieval of Records. Retired records may be retrieved from a records center by the DEA activity which created them, by completing a Reference Request (Optional Form 11). The request must include the accession number and records center location number as shown on the returned copy of SF-135; the requester's name, telephone number, office, and location. Use of files on the premises of the records center is encouraged, when practicable. Headquarters Offices and foreign Regional Offices will coordinate requests with the Records Management Section prior to obtaining records from the Washington National Records Center.

0755.39 Records Retirement Log

1. A log will be maintained in the format shown in Exhibit 6 for records that are transferred to a records center. Each completed log sheet will be retained until all the records listed thereon have been destroyed.

2. MGTR will maintain a log of the records that are transferred by Headquarters Offices.

3. The Regional Office will maintain a log of records that are transferred by the Regional and District Offices.

4. Each Laboratory will maintain a log for records that are transferred.

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CHAPTER 07 RECORDS MANAGEMENT

Subchapter 075 DEA Functional File System

0756 FILES SUPPLIES AND EQUIPMENT

0756.1 STANDARD FILES EQUIPMENT. Standard equipment that is listed in the GSA supply catalog and the Federal supply schedules will be used in preference to nonstandard items.

0756.11 File Cabinets. Careful consideration should be given to selecting the equipment best suited for a particular files operation. The five-drawer filing cabinets have been standardized because they provide 25 percent more filing area in the same amount of floor space than the four-drawer cabinets.

0756.12 Containers for Safeguarding Classified Material. Classified documents and material will be stored in security containers as authorized in security regulations.

0756.13 Shelf Filing. Shelf filing equipment costs less than standard filing cabinets, requires less office space, and permits ease of filing operations. Standard shelf filing may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. Shelf filing units are not authorized for storage of classified material unless the units are located within a security vault and approval is obtained from the Office of Internal Security. Consider shelf filing when records total 50 cubic feet or more and when:

- A. The purchase of new filing equipment is contemplated.
- B. Additional space for filing operations is required and only a limited amount of space is available.
- C. The filing station is in a relatively permanent location.
- D. The area is relatively free from excessive dust and is not subject to infestation by rodents.

0756.2 STANDARD FILES SUPPLIES. The standard files supplies listed below will be utilized to the maximum extent practicable.

0756.21 *Kraft Folders*. Kraft folders will meet the majority of filing requirements since most records are current for a relatively short period of time before they are retired or destroyed. Kraft folders are square cut, bottom scored for 3/4-inch expansion, and are available in legal and letter size.

0756.22 *Pressboard Folders*. Pressboard folders are recommended for case or project files. This folder may also be used for subject files that require extensive use in handling. The standard pressboard folders are gray, three-position cut, with 1-inch expansion.

0756.23 *Guide Cards*. The standard guide cards are gray pressboard, available in letter and legal size.

0756.24 *Labels*. Standard labels are pressure sensitive, self-ashesive, and available in various colors.

0756.3 *REQUESTING SUPPLIES AND EQUIPMENT*. Requests for additional files equipment or any specialized files equipment and supplies will be submitted to Administrative Services Division in accordance with Section 0317 of the Administrative Manual. Administrative Services Division will coordinate such requests with MGTR. The request will include complete justification of need and anticipated savings. The requesting activity will ensure that the following actions are taken before requesting filing equipment or supplies:

- A. Records are identified and maintained according to instructions of the DEA Functional Files System.
- B. All temporary records eligible for destruction have been destroyed.
- C. All noncurrent permanent records have been retired to a Federal records center.
- D. Filing cabinets, including top and bottom drawers, are being fully used for material to conduct current business.
- E. All security filing cabinets not being used for classified material have been exchanged for nonsecurity type filing cabinets.

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0757 FILES SPACE

Files space includes all floorspace in current files areas occupied by files equipment and personnel involved in maintaining and servicing files. To conserve space, files should be transferred to records centers or destroyed in accordance with the disposition instructions in Section 0755 and Appendix 07D.

0757.1 SELECTION. Proper selection and use of files space aids in assuring conservation of personnel, equipment, and space; rapid and economical filing and reference; and protection of files. Determination of the physical location of files will be based on the following:

- A. Files will be located as conveniently as practicable in relation to the persons or offices they serve.
- B. Classified files which are not maintained in security file cabinets will be maintained in an approved security vault.
- C. Space should be adequate for present and anticipated files maintenance and service needs. Inadequate space often results in filing and finding delays and in low work output. The proper amount of files space for files or file room will be determined based on the following criteria:

1. Maximum quantity of file material which is required to be maintained at any one time. This is the volume of files on hand at the end of the calendar year or fiscal year plus the estimated expansion for similiar files to be accumulated during the next year.

2. Minimum number of file containers required for the volume of files determined under 1 above, based on two linear feet of records for file drawers with an outside depth of 28 inches, and 1.5 linear feet for file drawers with an outside depth of 25 inches. Floorspace for file containers will be based on space actually occupied by the containers plus essential access and working space. An allowance of six square feet of space normally is adequate for a letter-size file cabinet, including essential access and working space.

3. The minimum floorspace required for necessary desks, chairs, tables, racks, storage cabinets, machines, etc., based on the space actually occupied plus necessary access and working space.

D. Space should be suitable for requirements of the file operation. The following space features should be considered when selecting file space, since these features effect efficiency of operation, and safety, health, and morale of files personnel:

1. Ventilation and heating should be comparable to that in space in which other administrative-type operations are performed.

2. Lighting should be comparable to that provided for normal office space and should be free from glare caused by sunlight, exposed bulbs, or distracting reflections.

3. The floor should be of sufficient strength to support the weight of the files equipment and personnel.

0757.2 *LAYOUT*. Correct positioning of files, equipment, and supplies in relation to files personnel and the operation assures the greatest physical ease for the largest number of files personnel and the best use of personnel, space, and equipment. The following principles will be applied to the layout of the files space:

A. The main workflow (records for filing and requests for files) should follow straight lines with a minimum of travel, backtracking, and cross-movement.

B. Persons frequently working together or using the same equipment should be located near each other.

C. Use of files should be appropriate to the work involved. For example:

1. The best lighted and ventilated space away from movement and noise should be used for work requiring the closest attention and concentration.

2. Classified material should be located away from doors, windows, and other files to minimize unauthorized access.

3. Files personnel who are required to receive material for files and requests for files should be located near the entrance to the files space.

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Subchapter 075 DEA Functional File System

0758 MICROFILMING RECORDS

0758.1 PROCEDURES. Subpart 101-11.5 of the Federal Property Management Regulations provides the procedures for requesting authority to dispose of microfilmed records, standards to be used by Federal agencies for microfilming records, criteria for using microfilm copies of permanent records, standards for storing microfilm copies of permanent records, and information concerning microfilm services available from the National Archives and Records Service (NARS). Subpart 101-11.5 is reproduced as Appendix 07G.

0758.2 LEGAL STATUS

A. The legal status of microfilm documents is contained in 28 U.S.C. 1732 and 44 U.S.C. 2112. Federal statutes provide for the legality and admissibility as evidence of records made by any photographic, photostatic, microfilm, microcard, miniature, photographic, or other process which accurately reproduces or forms a durable medium for so reproducing the original.

B. To be legally acceptable, such microfilm documents must be produced in the regular course of business and be satisfactorily identified.

0758.3 BENEFITS OF MICROFILMING RECORDS

A. Microfilming of documents should show cost savings, except when overriding intangible or other benefits clearly outweigh the absence of such savings.

B. Microfilming should provide for:

1. Reduction in the volume of paper documents.
2. Disposal of paper documents converted to microfilm.
3. Control over reproduction of microfilm to paper copies.
4. Early destruction of paper copies produced.
5. Maximum use and sharing of microfilm equipment.

0758.4 MICROFILMING PERMANENT OR NONPERMANENT RECORDS

A. DEA activities that propose to microfilm permanent or non-permanent records in order to dispose of the original records, will provide the following information to Records Management Section, Management Analysis Division, prior to actual microfilming of the records:

1. Subject matter or contents of the records to be microfilmed.
2. Physical type of records, e.g., books, cards, correspondence, etc.
3. DEA functional file numbers of the records.
4. Period covered, from (year) to (year).
5. Number of years the microfilmed records must be maintained.
6. Proposed disposition of documents after they are converted to microfilm, i.e., destroy, retain for (specify) years, or other means (describe).
7. A statement attesting that the DEA activity can meet the microfilming standards of Subpart 101-11.5 for permanent records or for nonpermanent records that are to be held for 10 years or more, as applicable.

B. Records Management Section will request authorization to dispose of the original records from the National Archives and Records Service (NARS). Only after authorization is obtained from NARS will disposition of the permanent or nonpermanent records be accomplished.

0758.5 COMPUTER OUTPUT MICROFILM (COM). The requirements in subsection 0758.4 apply to COM.

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0759 ANNUAL SUMMARY OF RECORDS HOLDINGS

0759.1 USE. The Annual Summary of Records Holdings (Standard Form 136) is required by GSA Federal Property Management Regulations 101-11.102.7 and is used to plan for future growth of records storage space by Federal records centers.

0759.2 REPORTING OFFICES

A. *Headquarters.* Each Office at DEA Headquarters is required to submit a summary of records holdings. Reports from sections, divisions, and staff offices will not be consolidated at Office level.

B. *Field.* Regional, Laboratory, and Internal Security Field Offices are required to submit a summary of records holdings. Regional Offices must submit a separate report for the Regional Office and each District Office.

0759.3 REPORT REQUIREMENTS

A. General

1. The reporting period is from October 1 of the previous year to September 30 of the current year.

2. Headquarters and field Offices are to submit one copy of SF-136 to the Management Analysis Division by October 12 of each year. Reports will be reviewed by the Management Analysis Division and a consolidated report submitted to Department of Justice by October 20 of each year.

B. *Preparation of SF-136.* General instructions for preparation of SF-136 are shown on the reverse side of the form. Supplementary instructions are provided below: (See Exhibit 7.)

1. Item 1, "On Hand Beginning of Period," may be an estimate of records holding for the previous year, if a report was not submitted.

2. Columns (a) and (e) are to be completed by Headquarters offices.

3. Columns (c) and (e) are to be completed by field offices.

4. Columns (b) and (d) are to be left blank, since official staging, holding, or other storage areas are not maintained for DEA.

5. Items 1 through 4 are not totaled vertically. The reported figures are used to derive a net gain (cubic feet) of records for the reporting period.

6. Item 5 "Magnetic Tape" is applicable only to ADP tapes. It does not include MTST tapes/cassettes or voice recording tapes/cassettes.

7. In order to maintain a record of the volume of files that are destroyed locally during the fiscal year, the volume of files destroyed may be entered on the Records Retirement Log. At the end of the fiscal year, the data may be abstracted from the log, summarized and entered on SF-136.

<p>ANNUAL SUMMARY OF RECORDS HOLDINGS (See Instructions on reverse before completing form)</p>	<p>Interagency report control No: 1094-GSA-AN</p> <p>Reporting period (From - To) October 1, 197_ - September 30, 197_</p> <p>From (Reporting unit) Administrative Services Division</p>
<p>To: Drug Enforcement Administration Management Analysis Division Records Management Section</p>	

VOLUME OF RECORDS (cubic feet)

STATUS—ACTION	DEPARTMENTAL		FIELD		TOTAL (e)
	Current File Rooms and Offices (a)	Staging, Holding and Other Storage Areas (b)	Current File Rooms and Offices (c)	Staging, Holding and other Storage Areas (d)	
1. On hand—beginning of period	680				680
2. Transferred to: a Fed. Records Centers or National Archives b Other agencies	24				24
	0				0
3. Destroyed	6				6
4. On hand—end of period	674				674
5. Magnetic tape (Number of reels included in item A)					No. of Reels

CERTIFICATION:

The records holdings reported on this form are adequately covered by current and operational Records Control Schedules as provided by Sub-part 101-11.4, "Disposition of Federal Records" of the Federal Property Management Regulations.

Yes No (If "No", please attach explanation)

Remarks: (Include comments on significant increases or decreases in holdings, any plans for records cleanout campaigns, or any other significant records disposition matters).

Name of person with whom to confer Patricia H. Moore		Phone Number 333-3333
Date Prepared Oct 9, 197_	Title Chief, Administrative Services Division	Signature s/Lowell G. Brennings

FILES DISPOSITION STANDARDS

A. DISPOSITION STANDARDS. Each file disposition standard consists of three parts: file number, description, and disposition.

1. File Number. The file number that is assigned to a file serves to identify the documents it contains for filing and reference. A file number, by its composition, represents three significant elements: the major or primary functional files category, the minor or secondary functional files category, and the numerical sequence in which the file is described under the minor functional files category. For example, file number 310-06 (Tort Claims Files) represents:

File Number	3	10	-	06
Major Functional File Category	300			
Minor Functional File Category		310		
Sequence of File Description				06

In the aforementioned example, "300" is the major functional file category for Legal, Legislative, and Informational Services Files; "310" is the minor functional file category for Claim Investigating and Processing Files; and "06" is the sixth file described under Claim Investigation and Processing Files.

2. Description. To assist individuals in filing documents, a short narrative description is provided for the types of documents that are most frequently filed under a particular file number. The narrative description is not intended to be all inclusive, but is merely a guide for categorizing documents within a respective file number.

3. Disposition. The disposition instructions for DEA files are based on specific retention periods, the occurrence of an event, or accomplishment of an action.

B. FILE CATEGORIES. DEA files are grouped into 14 major functional file categories which contain file numbers, descriptions, and disposition instructions for those records that are created and maintained by DBA activities. No modification (addition or deletion) of the disposition standards, major/minor functional file categories, or the file number sequence is permitted without

prior written approval from the Records Management Section. The 14 major functional file categories are further subdivided into minor functional file categories as follows:

Major/Minor Files Functional Category

- 000-Office¹ Housekeeping and General Program Files
 - 010-Office General Administrative Files
 - 020-Office Personnel Files
 - 060-General Program Files

- 100-Planning, Management, and Budgeting Files
 - 101-Emergency Planning Files
 - 110-Organization Planning Files
 - 120-Operation Planning Files
 - 130-Programming and Budgeting Files
 - 140-Management Improvement Files
 - 150-Management Survey Files
 - 160-Manpower Utilization Files
 - 170-Auditing Services Files

- 200-Inspection, Security, and Protective Services Files
 - 201-Inspection Files
 - 210-Personnel Security Files
 - 220-Information Security Files
 - 230-Communications Security Files
 - 240-Protective Services Files

- 300-Legal, Legislative, and Informational Services Files
 - 301-Legal Opinion and Assistance Files
 - 310-Claim Investigating and Processing Files
 - 330-Litigation Files
 - 360-Legislative and Congressional Liaison Files
 - 370-Informational Services Files

- 400-Accounting and Procurement Files
 - 401-Detail Accounting Files
 - 410-Summary Accounting Files
 - 480-Procurement Files
 - 490-Individual Procurement Transaction Files

¹The term "Office" refers to organizational elements down to section chief level of DEA Headquarters and equivalent organizational elements in the field.

- 500-Equal Employment Opportunity and Personnel Files
 - 501-Equal Employment Opportunity Files
 - 510-Personnel Program Files
 - 520-Personnel Position and Pay Files
 - 530-Employment Services Files
 - 540-Employment Application Files
 - 550-Individual Employee Files
 - 560-Promotion, Placement, and Career Management Files
 - 570-Personnel Welfare and Grievance Files
 - 580-Personnel Reduction-In-Force Files
 - 590-Incentive Awards Committee Files

- 600-Enforcement and Drug Control Files
 - 601-Enforcement Files
 - 610-Enforcement Grant Program Files
 - 630-Drug Control Files

- 700-Intelligence Files
(to be developed)

- 800-Training and Education Files
 - 801-Enforcement Program Training Files
 - 810-Enforcement Individual Training Files
 - 820-Foreign National Training Files
 - 830-Training Aids Files
 - 860-DEA Employee Training Files

- 900-Science and Technology Files
 - 901-Forensic Laboratory Files
 - 930-Research and Technology Study, Proposal, and Requirements Files
 - 940-Research and Development Control Files
 - 970-Communications Requirements Files
 - 980-Communications Services Files
 - 990-Communications Center Operations Files

- 1000-Occupational Health and Safety Files
 - 1001-Medical Program Files
 - 1030-Safety Program Files
 - 1040-Accident Files

- 1100-Administrative Support Files
 - 1101-Property Management Files
 - 1110-Facilities Management Files
 - 1120-Motor Vehicle Management Files
 - 1130-Library Files
 - 1140-Personnel Movement and Travel Files
 - 1150-Reproduction Services Files
 - 1160-Publications Supply Files
 - 1170-Mail Services Files

1200-Automatic Data Processing Files

1201-ADP Documentation Files

1210-ADP Processing Files

1220-ADP Master Files

1300-Records Management Files

1301-Forms Management Files

1310-Reports Management and Control Files

1320-Records Maintenance and Disposition Files

1330-Publication Management Files

C. *GENERAL DISPOSITION INSTRUCTIONS.* The following instructions govern the application of retention periods for files maintained in FFS.

1. Files having a retention period of 1 month will be cutoff at the end of each month, held for 1 month (optional), and destroyed.

2. Files having a retention period of 3 months will be cutoff at the end of each quarter, held for 3 months (optional), and destroyed.

3. Files having a retention period of 6 months will be cutoff semi-annually as of June 30th and December 31st of each year, held 6 months (optional), and destroyed.

4. Files having a retention period of 1 year will be cutoff at the end of the calendar or fiscal year, held for 1 year (optional), and destroyed.

5. Files having retention periods of more than 1 year will be cutoff at the end of each calendar or fiscal year, held for 1 year (optional), and transferred to a Federal records center, providing the files meet the criteria in 0755.3.

6. Files which are *disposable* when an event occurs (e.g., superseded or obsolete) or an administrative action is accomplished, will be withdrawn from the active file when the event occurs or administrative action is accomplished, and destroyed.

7. Files which are *disposable* after a specified retention period following the occurrence of an event or the accomplishment of an administrative action (e.g., audit, final payment, or completion of a project) will be withdrawn from the active file when the event occurs or the administrative action is accomplished and will be placed in an inactive file. The inactive file will be cutoff and disposition accomplished in the same manner as for other files with comparable retention periods.

8. Permanent files will be cutoff at the end of each calendar or fiscal year, held for the period indicated in the disposition for files listed in Appendix 07D and retired to the records center.

9. Files which are to be retired after a specified retention period following the occurrence of an event or the accomplishment of an administrative action will be withdrawn from the active file when the event occurs or the administrative action is accomplished and retired to the records center.

10. Retention periods in the Disposition paragraph (e.g., 3 years, 5 years, etc.) will be converted to a specific cutoff, transfer or retirement date and applied to all files that are on-hand in an office.

OFFICE GENERAL ADMINISTRATIVE FILES

These files relate to the performance of routine administrative operations and in obtaining housekeeping-type services from the offices and staff sections responsible for providing them.

File No. Description

010-01 Suspense Files. Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or transitory papers being held for reference may be destroyed on a given date.

Note: File numbers are not required on the following papers or on labels of file drawers or folders in which the papers in suspense files are:

a. A note or other reminder to submit a report or to take some other action.

b. The file copy, of an outgoing communication, filed by the date on which a reply is expected.

c. Papers which may be destroyed in 30 days or less as being without further value.

Disposition: a. Destroy papers of the type described in subparagraph a after action is taken. b. Withdraw papers of the type described in subparagraph b when reply is received. If suspense copy is an extra copy, destroy it; if it is the file copy, incorporate it with other papers for file. c. Destroy papers of the type described in subparagraph c on date under which they were suspended.

010-02 Office General Management Files. Documents relating to the internal management or general administration of an office. Included are:

a. Documents relating to office procedures, hours of duty, and individual duties.

b. Documents relating to office participation in charitable affairs, such as blood donations and contributions to philanthropic or charitable associations.

File No.

Description

c. Documents similar to the categories listed above that do not pertain to the performance of the mission functions of the office and are not described elsewhere in this schedule.

Disposition: Destroy 1 year after requirement is completed. Earlier destruction is authorized.

010-03

Duty Roster Files. Documents used for recording recurring and routine duties performed by personnel within an office, including special duties performed on a rotating basis.

Disposition: Destroy 3 months after last entry.

010-04

Duty Reporting Files. Documents prepared by duty officer or by personnel performing similar duty. Included are daily activity reports containing an account of the activities performed and similar or related documents.

Disposition: Destroy 6 months after performance of duty.

OFFICE PERSONNEL FILES

These files are maintained by operating officials and are used in administering of DEA employees within the organizational segments which are under their control.

<u>File No.</u>	<u>Description</u>
020-01	<p><u>Office General Personnel Files.</u> Documents that relate to the day-to-day administration of DEA employees in individual offices. Included are papers that relate to attendance at work; copies of reports of attendance and overtime, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Government medical services, including X-rays and immunizations; notices and lists of individuals to receive training; and comparable or related papers.</p> <p><u>Disposition:</u> Destroy 1 year after notification of action.</p>
020-02	<p><u>Employee Record Card Files.</u> Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.</p> <p><u>Disposition:</u> Destroy when information is obsolete or superseded.</p>
020-03	<p><u>Office Personnel Information Files.</u> Documents pertaining to the administration of individual employees which are duplicated in, or which are not appropriate for inclusion in the Official Personnel Folder. Included are copies of Position Descriptions (OF 8); notice that individuals have been cleared for classified material; other documents related to personnel security retained copies of reports and other papers relating to individual injuries; letters of appreciation and commendation; records reflecting training received by individuals; documents reflecting the assigned responsibilities of individuals; copies of performance appraisal; off duty employment information; and comparable papers.</p> <p><u>Disposition:</u> a. Offices (Less Foreign Regions): Review at end of calendar year and destroy documents which have been superseded. b. Foreign Regions: (1) Transfer of employee: Forward file to receiving office. (2) Separation of employee: Destroy after separation of employee from agency.</p>

<u>File No.</u>	<u>Description</u>
020-04	<p><u>Standard of Conduct File.</u> Documents relating to procedures used to assure that all personnel fully understand the standards of conduct and ethics required of them. For example, procedures requiring that each individual periodically read applicable directives and sign a memorandum indicating that the directives are understood.</p> <p><u>Disposition:</u> Destroy after the next periodic application of the procedure.</p>
020-05	<p><u>Time and Attendance Report Files.</u> Copies of time and attendance reports that are prepared on each employee for each pay period.</p> <p><u>Disposition:</u> Destroy 3 years after payroll calendar year.</p>

GENERAL PROGRAM FILES

These files accumulate in any office to document performance of its assigned functions. Abbreviated titles have been used to identify these general program files. The abbreviated title, alone, will not be used for labeling files. Abbreviated titles will be preceded by a title prefix that describes the records to be filed. For example, 060-06 Accounting Reference Paper Files, 060-07 Procurement Reference Publication Files.

<u>File No.</u>	<u>Description</u>
060-01	<p><u>Policy and Precedent Files.</u> Extra copies of documents establishing policy or precedent for future and continuing action. Normally policy and precedent files are maintained at the operating level, and consist of copies of standing operating procedures, and statements of policy or procedure, and other documents duplicated in functional files.</p> <p><u>Disposition:</u> a. Office of the Administrator: (1) Record copy of documents establishing policy or precedent action: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy when superseded or obsolete. b. Other Offices: Destroy when superseded or obsolete. Earlier disposal of portions of the file or the entire file is authorized.</p>
060-02	<p><u>Reading (Chron) Files.</u> Copies of outgoing communications, arranged chronologically, and maintained for periodic review by staff members.</p> <p><u>Disposition:</u> Destroy 1 year after date of communication. Earlier disposal is authorized.</p>
060-03	<p><u>Agreement Files.</u> Documents relating to agreements between elements of DEA, between DEA and other Federal agencies, or between DEA and other non-Federal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations and DEA for the purpose of providing or obtaining various types of support services. Included are agreements, amendments, review comments, related correspondence, and similar documents.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: (1) Record copy of agreement and</p>

File No. Description

amendments and substantive interagency correspondence: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 6 years after supersession, cancellation, or termination of the agreement. b. Other offices: Destroy 3 years after supersession, cancellation, or termination of the agreement.

060-04

Committee Files. Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions. They include joint, inter-departmental, and international committees in which DEA participates; as well as committees within all echelons and elements of DEA. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices; agenda, minutes, and reports of committee meetings; and related documents.

*Disposition: a. International committees:
(1) Records of office of senior DEA representative: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old.
(2) Records of offices of other committee members: Destroy when 10 years old. b. Inter-departmental and intra-departmental committees: (1) Records of office of committee secretary: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Records of offices of committee members: Destroy when 10 years old.*

060-05

Staff Visit Files. Documents relating to scheduled or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. This definition is not applicable to visits made in connection with a specific process or case, which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

File No. Description

Disposition: a. Office performing visit: Destroy 1 year after completion of next comparable visit or on completion of related study. b. Office visited: Destroy 2 years after visit, except recurring staff visits will be destroyed on completion of the next visit.

060-06

Reference Paper Files. Documents used to facilitate, control, or supervise the performance of a specific function, process, or action as distinguished from those official records necessary for documenting performance of a function, process, or action. Although accumulated reference papers may relate to varied subjects and functions, they should bear a title relating them to the function, process, or action with which they are used. Reference paper files consist of the following types of documents:

- a. Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparation of communication, a study, an investigation, a survey, an inspection, or other action. This definition does not include official and quasi-official recommendations, coordinating actions, and other documents which contribute to or result from preparation of the communication or other record.
- b. Cards, listings, indexes, and similar documents used for facilitating and controlling work.
- c. Documents received for general information purposes that require no action and are not required for documentation of specific functions.
- d. Extra copies of documents maintained by action officers which reflect actions taken by the action officer. Such files should not be established unless absolutely necessary.
- e. Copies of documents accumulated by supervisory offices, such as chiefs of offices, divisions, or sections. These documents duplicate the record copy filed elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.

File No. Description

Disposition: a. Documents described in subparagraph a: Cutoff on completion of the communication, study, survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.
b. Documents described in subparagraph b: Destroy when no longer needed to facilitate or control work.
c. Documents described in subparagraphs c, d, and e: Destroy after 1 year. Earlier destruction is authorized.

060-07 Reference Publication Files: Copies of publications issued by any element of DEA, other Government agencies, and non-governmental organizations maintained for reference within an office.

Disposition: Destroy when superseded or obsolete.

060-08 Technical Material Reference Files. Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, and charts retained for reference purposes only.

Disposition: Destroy when superseded or obsolete.

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EMERGENCY PLANNING FILES

These files relate to the processes of planning for and providing assistance to civil authorities or agencies because of emergency conditions. The subject content relates to assistance as a result of civil unrest, violation of Federal law, natural disaster, and emergency conditions that may result from an enemy attack.

File No. Description

101-01 Emergency Planning Files. Documents relating to emergency planning, including planning for continuity of operations, domestic disturbances, civil defense, and other emergencies requiring pre-conceived plans. Included are plans, instructions, changes to plans, coordinating actions, and other documents relating to emergency planning.

Disposition: Destroy when plans are superseded or obsolete.

101-02 Emergency Reporting Files. Documents relating to emergency situations and reflecting such information as assistance provided to agencies or populations, and other participation in emergency operations. Included are initial, daily, interim, and final emergency operations, reports, and related documents.

Comp. Schedule No. 1:
Item 28

Disposition: Destroy 2 years after submission of report.

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ORGANIZATION PLANNING FILES

These files relate to the establishment of organizations and functions and their relationships to each other.

<u>File No.</u>	<u>Description</u>
110-01	<p><u>Organization Planning Files.</u> Documents relating to the establishment of and changes in organization, functions, and relationships of DEA activities. Included are staff studies; reports of working groups; minutes of committee meetings and staff conferences; documents relating to overall functions and programs; copies of organization and functions plans, manuals, and charts; copies of published directives implementing establishment or change; copies of documents relating to office staffing and personnel strength; and ceiling authorization documents. Also included are documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require evaluation and approval by Management Analysis Division or comparable office; and related documents.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: (1) Approved record copies of *charts and statements of* substantive organizational functions and programs, studies, reports, minutes of meetings and conferences: Permanent. Transfer to Federal records center when 3 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 5 years after approval of organizational structure. b. Other Offices: Destroy when superseded or obsolete.</p>
110-02	<p><u>Table of Organization Files.</u> Documents relating to initiation, development, preparation, review, and approval of tables of organization. Included are drafts; copies of published tables of organization (including machine prepared or photo-copies); coordination, review, and approval actions; and related papers.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: Destroy 5 years after superseded or obsolete. b. Other offices: Destroy table of organization documents when superseded or obsolete.</p>

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TRANS OF 78-11 ADMINISTRATIVE MANUAL 3/15/78

OPERATION PLANNING FILES

These files relate to planning and methods to best accomplish assigned functions and programs.

<u>File No.</u>	<u>Description</u>
120-01	<p><u>Operation Planning Files.</u> Documents relating to the preparation, coordination, and approval of operational plans which are applicable to or involve the resources and functions of DEA. They do not relate to plans described elsewhere in this schedule or to plans confined to specific functional areas which are not a segment of the overall plan. Included are copies of the approved plans, comments, recommendations, contributions, approvals, and disapprovals regarding the plans; and other directly related papers.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: (1) Record copy of approved substantive operating plans: Permanent. Transfer to Federal records center when 3 years old. Offer to NARS when 15 years old. (2) Destroy other documents 5 years after requirements in plan are completed or terminated. b. Other Offices: Destroy when superseded or obsolete.</p>
120-02	<p><u>Operating Procedure Files.</u> Documents relating to the establishment of and changes in such matters as operating procedures and production methods. Included are studies, coordinating actions, copies of standing operating procedures and procedures manuals, comparable documents, and related papers.</p> <p><u>Disposition:</u> Destroy documents when superseded or obsolete.</p>

PROGRAMMING AND BUDGETING FILES

First Line of Type

Documents created in the development of time-phased schedules for obtaining personnel, facilities, material, and funds required to meet the broad objectives established by DEA plans.

File No.	Description
130-01	<p><u>Program Development Files.</u> Documents relating to the preparation, coordination, approval, and issue of the Five-Year Program document that translates the objectives established by plans (including management-by-objectives) into time-phased schedules of accomplishment. These program documents are approved by the DEA Administrator and thereafter serve as the basis for development by the DEA Staff of the more detailed program and budget guidance to DEA activities. Included are summary and detail data sheets, program change requests, minutes of meetings of review committees, coordinating actions, approvals, summary tables, and related papers.</p> <p>*Disposition: a. Office performing DEA-wide staff responsibility: Destroy 15 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved.*</p>
130-02	<p><u>Program and Budget Guidance Files.</u> Documents relating to the development, review, approval, and issue of program and budget guidance. Included are program objectives; summary budgets; directives requiring staff preparation, revision, or updating of program and budget guidance to DEA activities, including statements of policies, priorities, standards and workloads; coordinating actions; operating schedules; and related papers.</p> <p>*Disposition: a. Office performing DEA-wide staff responsibility: Destroy 8 years after close of fiscal year involved. Cutoff at the end of current fiscal year. b. Other offices: Destroy 5 years after close of fiscal year involved.</p>
130-03	<p><u>Budget Estimate Files.</u> Documents created in the DEA Staff preparation, review, and consolidation of budget estimates and in their submission to the Department of Justice for incorporation in the DOJ budget. Included are budget estimates prepared by</p>

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File No. Description

DEA Staff activities for their functional areas of responsibility, minutes of budget committee meetings; briefings, and presentations on the budget estimates for review offices in the Department of Justice and Office of Management and Budget; and related papers.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 15 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved.

130-04

Congressional Budget Justification Files. Documents accumulated by DEA Staff in defending DEA budget estimates before Congress and Congressional Committees. Included are copies of opening statements, documents reflecting expected questions and answers thereto, prepared testimony, coordinating actions, resumes of congressional hearings, and related papers.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of agency budget justification document: Permanent. Transfer to Federal records center 5 years after close of fiscal year involved. Offer to NARS when 15 years old. (2) Other documents: Destroy 8 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved.

130-05

Funding Program Files. Documents relating to quarterly allowances and supplemental allowances provided to operating activities. Documents used to authorize operating activities to incur obligations necessary to permit operation while Congress and OMB complete appropriation and apportionment of funds for the new fiscal year.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 8 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved.

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<u>File No.</u>	<u>Description</u>
130-06	<p><u>Program and Budget Input Files.</u> Documents relating to the furnishing of data for program and budget guidance, formulation, and execution. They reflect data for the various program elements, such as enforcement, training, education, communications, material, construction, maintenance, and transportation. Included are schedules, coordination papers, justifications, minutes of meetings, plans, and related documents.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: Destroy 8 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved.</p>

MANAGEMENT IMPROVEMENT FILES

These files result from planning and carrying out an organized program for finding and installing more effective, efficient, or economical ways of doing work through application of management analysis techniques.

<u>File No.</u>	<u>Description</u>
140-01	<p><u>Management Improvement Project Files.</u> Documents relating to projects which result in initiation of changes in the manner or method of planning, directing, controlling, or doing work which results in increased effectiveness, efficiency, and economy. Included are studies, charts, coordination papers, recommendations, statistical data, and comparable or similar documents.</p> <p><u>Disposition:</u> a. Offices performing DEA-wide staff responsibility: (1) Record copies of approved studies that resulted in substantial savings or significant improvement in overall DEA work activity: Permanent. Transfer to Federal records center when 3 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 5 years after completion of project. b. Other offices: Destroy 5 years after completion of project.</p>
140-02	<p><u>Management Improvement Project Background Files.</u> Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file.</p> <p><u>Disposition:</u> Destroy 3 years after completion of related project.</p>
140-03	<p><u>Work Simplification Proposal Files.</u> Documents related to the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts, work counts, motion economy studies, layout studies, actions taken on proposals, and similar documents.</p> <p><u>Disposition:</u> Destroy 5 years after completion of project.</p>

MANAGEMENT SURVEY FILES

These files result from planning and executing surveys to examine operating methods, organizational structures, and missions. The surveys may originate as part of a planned schedule, as a request from an operating official, as a result of recommendations or observations by inspection teams, or as directed by higher authority.

<u>File No.</u>	<u>Description</u>
150-01	<p><u>Management Survey Case File.</u> Documents relating to the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services. Individual studies and surveys may range in scope from a comprehensive review of organization and all operating procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.</p> <p><u>Disposition:</u> a. Office conducting the survey or office sponsoring the contract: (1) Record copy of comprehensive survey or review of an entire office or region: Permanent. Transfer to Federal records center when 3 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy on completion of next comparable survey, or 8 years after survey. b. Office surveyed: Destroy on completion of next comparable survey, or 8 years after survey.</p>
150-02	<p><u>Management Survey Background Files.</u> Documents used in the collection of data for or during a management survey and accumulated in offices conducting or participating in the survey. Included are notes, statistical data, copies of standing operating procedures, organizational charts, functional charts, personnel data, and similar material collected for fact-finding or backup purpose and documents reflecting preliminary arrangements incidental to specific surveys, such as time schedules and security clearances.</p> <p><u>Disposition:</u> Destroy 8 years after survey.</p>

MANPOWER UTILIZATION FILES

These files accumulate from determining the allocation of manpower resources and the appraisal of the way these resources are used. Included are files which result from developing policies, criteria, and procedures; and files which reflect actual manpower allocations and appraisals.

<u>File No.</u>	<u>Description</u>
160-01	<p><u>Manpower Authorization Files.</u> Documents and supporting papers reflecting manpower spaces allocated to operating activities of DEA. Included are manning levels, or other instruments which limit, increase, or decrease the number of personnel allocated to specific organizational segments of DEA and related documents.</p> <p><u>Disposition:</u> a. Office responsible for DEA-wide allocation: Destroy 5 years after date of allocation document. b. Other offices: Destroy 3 years after date of allocation document.</p>
160-02	<p><u>Manpower Survey Files.</u> Documents relating to on-site and other appraisals of manpower requirements and utilization. Included are personnel inventory and appraisal reports, criteria studies, comments, justifications, and related documents.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: Destroy 5 years after survey. b. Other offices: Destroy 3 years after survey.</p>
160-03	<p><u>Manpower Staffing Standard Files.</u> Documents reflecting the development and issuance of manpower staffing standards and the provision of guidance in applying these yardsticks for measuring personnel requirements. Included are copies of manpower surveys, executive-type letters, messages, copies of staffing guides; coordinating actions and interpretations; and related documents.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>
160-04	<p><u>Manpower Statistical Data Files.</u> Documents used to provide a source of statistical data for use in manpower control activities such as forecasting, justifying, and analyzing current or projected manpower requirements and allocating manpower spaces. Included are reports and data concerning</p>

File No.

Description

such matters as: agent and administrative strength of organizational segments of DEA, strength by occupational speciality, and related documents.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after publication of statistical data. b. Other offices: Destroy 3 years after publication of statistical data.

AUDITING SERVICES FILES

These files relate to audits performed by the General Accounting Office in performance of their designated functions and to internal review and internal control audits performed by the Department of Justice and DEA.

<u>File No.</u>	<u>Description</u>
170-01	<p><u>GAO Audit Reporting Files.</u> Documents relating to reports of audit made by the General Accounting Office. Included are notices of intent to audit, copies of documents furnished GAO representatives, copies of tentative findings and recommendations, advance notice of major findings, reports of major findings, report of exit conferences, draft reports, final reports, followup progress reports, comments relating to the reports, and related documents.</p> <p><i>Note: Documents accumulated by offices other than those designated as central point of contact should be identified with the function of the accumulating office.</i></p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: (1) GAO contract audit reports: Dispose of in the same manner as the related contract files. (2) Final GAO reports, final replies to GAO reports and final replies to GAO draft reports: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (3) Remaining documents: Destroy when all related actions have been completed. b. Offices designated as central point of contact: Destroy 10 years after final report, except that GAO draft reports may be destroyed on receipt of final report.</p>
170-02	<p><u>Internal Review Files.</u> Documents relating to review and examination of DEA operations to insure proper protection of assets; compliance with policies, procedures, and objectives; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. These files accumulate as a result of DEA field offices making review of their own operations and DOJ and DEA Headquarters staff offices making review of DEA activities. Included are reports and directly related correspondence.</p>

File No. Description

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of final report of comprehensive review and replies thereto: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Destroy other documents 5 years after accomplishment of internal review. b. Other offices: Destroy 3 years after completion of internal review actions.

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INSPECTION FILES

These files relate to the inspections, investigations, and inquiries conducted by DEA inspectors.

<u>File No.</u>	<u>Description</u>
201-01	<p><u>Inspection Coordination Files.</u> Documents related to reviewing, controlling, coordinating, and consolidating planned inspections, surveys, and visits. Included are notifications of impending visits, requests for authority to make visits, itineraries, approvals, requests for changes, and related documents.</p> <p><u>Disposition:</u> Destroy 2 years after completion of inspection.</p>
201-02	<p><u>Integrity Control Files.</u> Documents related to the conduct of unannounced inspections of DEA activities. Included are the retained copy of the report sent to the inspected office or organization, supporting papers essential to and filed with the report, correspondence from the inspected office or organization indicating corrective action taken, and documents accumulated in staff offices that furnished members for the inspection team.</p> <p><u>Disposition:</u> Destroy 5 years after completion of inspection results.</p>
201-03	<p><u>Internal Security Investigative Case Files.</u> Reports related to investigations and inquiries of internal affairs including criminal or civil violations of laws and departmental codes, and integrity and security matters. Included are DEA reports (DEA-6) and supporting documents.</p> <p><u>*Disposition:</u> Transfer closed case files to Federal records center when 10 years old, in one-year groups. Destroy when 30 years old; i.e., 30 years from the date the file was opened.*</p>
201-04	<p><u>Internal Security Investigative General Files.</u> Reports of investigation that are limited in scope concerning a program or area of interest as defined in Appendix 84A, DEA Internal Security Manual.</p> <p><u>Disposition:</u> Transfer inactive files to Federal records center when 10 years old. Destroy *when 20 years old.*</p>

First Line of Type

PERSONNEL SECURITY FILES

These files accumulate from the administration of the security program relating to clearance of DEA personnel for access to classified information.

<u>File No.</u>	<u>Description</u>
210-01	<p><u>Personnel Security Clearance Files.</u> Documents containing information concerning the security clearance of individual personnel and the accreditation of personnel for access to classified files requiring special access authorizations. Included are cards, printouts, and other lists or indexes. This description does not include clearance documents filed in the official personnel folder.</p> <p><u>Disposition:</u> Destroy 20 years after date of last action.</p>
210-02	<p><u>Security Briefing and Debriefing Files.</u> Documents relating to security briefing and debriefing of personnel authorized access to classified material. Included are briefing statements, debriefing statements and certificates, and related papers.</p> <p><u>Disposition:</u> Destroy 1 year after separation or retirement of the individual, or when obsolete.</p>
210-03	<p><u>Security Awareness Files.</u> Documents relating to procedures used to obtain compliance with security directives by all personnel. For example, procedures requiring that each individual periodically read applicable security directives and sign a memorandum indicating that the directives are understood.</p> <p><u>Disposition:</u> Destroy after the next periodic application of the procedure.</p>

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INFORMATION SECURITY FILES

These records are created from the processes of safeguarding classified information in the interest of national security. These processes relate to the dissemination of classified information; the systems for classification, regrading and declassification; and the safekeeping and control of classified information.

<u>File No.</u>	<u>Description</u>
220-01	<p><u>Security Classification Files.</u> Documents relating to the security classification or regrading system involving the classification or downgrading of documents. Included are correspondence or memorandums on downgrading and reports on security classification, exclusive of other files described in this schedule.</p> <p><u>Disposition:</u> Destroy 5 years after classification or downgrading action.</p>
220-02	<p><u>Security Regrading Case Files.</u> Documents relating to the review of specific classified documents or equipment for the purpose of regrading the documents or equipment.</p> <p><u>Disposition:</u> Destroy 5 years after regrading action.</p>
220-03	<p><u>Classified Material Access Files.</u> Documents reflecting authorization to have access to classified files. They include forms containing an individual's name and signature, classification of files concerned, information desired, and signature of an official authorizing access.</p> <p><u>*Disposition:</u> Destroy 2 years after transfer, reassignment, or separation of the individual.*</p>
220-04	<p><u>Security Information Access Case Files.</u> Documents relating to the review of specific requests for access to classified files or equipment for purposes of research and study.</p> <p><u>Disposition:</u> Destroy 5 years after approval of review for access to files.</p>

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<u>File No.</u>	<u>Description</u>
220-05	<p><u>Security Information Release Files.</u> Documents relating to the review of classified documentary materials for purposes of dissemination or release of information to sources outside the agency, such as the review of manuscripts, photography, lecture, radio, television scripts, and other materials.</p> <p><u>Disposition:</u> Destroy 5 years after approval of review for release of classified information.</p>
220-06	<p><u>Security Information Exchange Files.</u> Documents relating to the exchange of security classified information with other Government agencies, industry, and foreign governments. Included are correspondence relating to the exchange of information, exchange agreements, and related documents.</p> <p><u>Disposition:</u> Destroy 10 years after approval of review for exchange of classified information.</p>
220-07	<p><u>Top Secret Document Record Files.</u> Documents used to record the names of persons having had access to the TOP SECRET document, and to record copies of extracts distributed.</p> <p><u>Disposition:</u> Destroy 1 year after related document is destroyed, transferred or downgraded.</p>
220-08	<p><u>TOP SECRET Material Accountability Files.</u> Documents reflecting the identity, receipt, dispatch, downgrading, source, movement from one office to another, destruction, and current custodian of all TOP SECRET material for which the TOP SECRET control officer is responsible.</p> <p><u>Disposition:</u> Destroy 5 years after all items on individual pages have been destroyed, downgraded, dispatched, or when entries are transferred to a new page.</p>
220-09	<p><u>Security Compromise Files.</u> Documents relating to investigations of alleged security violations, such as missing documents, unauthorized disclosure of information, unattended open security containers, documents not properly safeguarded and matters of a similar nature.</p> <p><u>Disposition:</u> Destroy 2 years after completion of final corrective or disciplinary action.</p>

<u>File No.</u>	<u>Description</u>
220-10	<p><u>Security Inspection and Survey Files.</u> Documents relating to inspections and surveys primarily conducted by security officers to determine the adequacy of measures taken to protect security information against the hazards of fire, explosion, sabotage, and unauthorized access. Included are reports, recommendations, and related papers.</p> <p><u>Disposition:</u> Destroy 3 years after recommendations and findings are completed and the action is considered closed.</p>
220-11	<p><u>Security Equipment Files.</u> Documents relating to the determination of uses and types of security equipment for protecting classified documents and material such as alarm systems, safes, and other security equipment.</p> <p><u>Disposition:</u> Destroy 10 years after security equipment determination.</p>
220-12	<p><u>Physical Security Survey Files.</u> Documents relating to surveys that are concerned with examination of the physical measures designed to safeguard personnel and prevent unauthorized access, sabotage, damage, or theft of equipment and facilities. Included are survey reports, recommendations, and related papers.</p> <p><u>Disposition:</u> Destroy 3 years after recommendations, findings, and required actions are completed.</p>
Comp. Schedule No. 1: Item 11	
220-13	<p><u>Security Container Record Files.</u> Forms placed on safes, cabinets, or vaults containing classified documents and used for providing a record of entry into the containers.</p> <p><u>Disposition:</u> Destroy 6 months after the date of last entry on the form, except forms involved in an investigation will be retained until completion of the investigation.</p>
220-14	<p><u>Security Container Information Files.</u> Up-to-date records of safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.</p>

File No. Description

Disposition: Destroy when superseded or on turn-in of the container.

220-15

Classified Document Inventory Files. Forms, ledgers, or registers maintained to show internal receipt, identity, routing, and final disposition of classified documents. These files are used to ascertain the status of all classified documents for which the receiving activity is responsible.

Disposition: Destroy 2 years after all classified documents recorded thereon have been transferred, destroyed, or when the entry is transferred to a new sheet.

COMMUNICATIONS SECURITY FILES

These files relate to communications security and consist of records, reports, and correspondence concerned with cryptosecurity, physical security of COMSEC material, transmission security, electronic security, and COMSEC logistics.

<u>File No.</u>	<u>Description</u>
230-01	<p><u>COMSEC Management Files.</u> Documents which are not of a routine nature and which are not specifically covered elsewhere in this schedule. These files include management documents related to communications security such as a determination as to cryptosystem and equipment authorized and required, and operational and procedural functions of the organization.</p> <p><u>Disposition:</u> Destroy 5 years after completion of required action.</p>
230-02	<p><u>COMSEC Supply Correspondence Files.</u> Documents relating to the routine supply of COMSEC material.</p> <p><u>Disposition:</u> Destroy 1 year after receipt of COMSEC material.</p>
230-03	<p><u>COMSEC Item Register Files.</u> Cards maintained to account for all COMSEC material and to show its receipt, movement, and final disposition.</p> <p><u>Disposition:</u> Destroy 1 year after close of the calendar year in which all items on individual cards have been disposed of as evidenced by destruction or transfer reports.</p>
230-04	<p><u>COMSEC Daily Inventory Files.</u> Documents reflecting daily inventories which are made at the end of each workday or between shifts. The documents contain the short titles of each item inventoried, the initials of the person making the inventory, and the date and time of the inventory.</p> <p><u>Disposition:</u> Destroy on completion of next quarterly inventory.</p>
230-05	<p><u>COMSEC Accounting Reporting Files.</u> Documents reflecting the receipt, possession, inventory, transfer, destruction and relief from accountability for accountable COMSEC material and documents. Included are destruction, transfer, inventory and</p>

<u>File No.</u>	<u>Description</u>
	possession reports; document vouchers; certificates of verification; relief from accountability; and related routine COMSEC accounting correspondence. <u>Disposition:</u> a. Change of custodian transfer reports: Destroy 1 year after relief from accountability of the former custodian. b. Other accountable documents: Destroy 5 years after relief from accountability of former custodian.
230-06	<u>Crypto-Area Visitor Register Files.</u> Registers used for recording pertinent information on persons entering the crypto-area other than those whose names appear on the authorized entrance list. Sheets of a register involved in a security report of an investigation will become an integral part of the report or investigation and will have the same disposition as the report of investigation. <u>Disposition:</u> Destroy 1 year after visit. Cutoff individual sheets at the end of each calendar year.
230-07	<u>COMSEC Approval Files.</u> Requests for approval to establish, alter, expand or relocate a facility. <u>Disposition:</u> a. Approving office: Destroy 1 year after receipt of related superseding approval or after closing of account or facility. b. Requesting offices: Destroy on receipt of related superseding approval or upon closing of account or facility.
230-08	<u>COMSEC Inspection Files.</u> Inspection reports and related correspondence, such as a cryptofacility inspection. <u>Disposition:</u> Inspecting offices: Destroy 1 year after receipt of related superseding inspection. Inspected office: Destroy on receipt of related superseding inspection.
230-09	<u>COMSEC Reporting Files.</u> Included are message reports; electronic security reports; cryptosecurity and transmission security analyses; violation and summary reports; reports of violation of physical and cryptographic security; and other reports not specifically covered in this schedule. Reports that are the subject of a formal investigation will be filed with the investigation reporting files.

<u>File No.</u>	<u>Description</u>
	<u>Disposition:</u> a. Destroy 5 years after submission of report. b. Routine periodical reports may be destroyed after 2 years.
230-10	<u>COMSEC Investigation Reporting Files.</u> Reports of investigation concerning the loss or subjection to compromise of COMSEC material and investigations of transmission, physical, and other signal security violations. <u>Disposition:</u> Destroy 5 years after completion of final corrective or disciplinary actions.
230-11	<u>Encrypted Traffic Reporting Files.</u> Copies of encrypted traffic reports. <u>Disposition:</u> Destroy 1 year after dispatch receipt of report.
230-12	<u>Encrypted Message Text Files.</u> Cipher copies of incoming and outgoing messages and message tapes. Messages involved in an investigation will be retained until the investigation is completed. <u>Disposition:</u> Destroy after a minimum retention of 5 days and before a maximum retention of 60 days.

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PROTECTIVE SERVICES FILES

These files relate to personnel identification and vehicle control.

<u>File No.</u>	<u>Description</u>
240-01	<p><u>Badge Identification Issue Files.</u> Documents pertaining to the issue of identification cards and badges. Included are applications and similar or related documents.</p> <p><u>Disposition:</u> a. Destroy 3 years after issuance of badge. b. Records pertaining to visitors and records pertaining to applicants to whom cards or badges were not issued will be destroyed after 1 year.</p>
240-02	<p><u>Badge Identification Accountability Files.</u> Documents used to maintain accountability for identification cards and badges. Included are registers and similar or related documents.</p> <p><u>Disposition:</u> Destroy 3 years after last card or badge number entered has been accounted for.</p>
240-03	<p><u>Parking Permit Control Files.</u> Documents relating to the allotment of parking spaces, control of issuance and withdrawal of parking permits, and the recording of violations by holders of parking permits.</p> <p><u>Disposition:</u> Destroy on transfer of parking permit holders, or when permit is superseded or revoked.</p>
240-04	<p><u>Key Accountability Files.</u> Documents relating to the issue, return, and accountability for keys to secure areas.</p> <p><u>*Disposition:</u> Destroy 3 years after turn-in of key.*</p>
240-05	<p><u>Guard Reporting Files.</u> Retained copies of the guard report which is prepared daily and is submitted to the DEA representative.</p> <p><u>Disposition:</u> Destroy 1 year after preparation of report.</p>

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LEGAL OPINION AND ASSISTANCE FILES

These files relate to legal opinions and assistance matters.

<u>File No.</u>	<u>Description</u>
301-01	<p><u>Legal Opinion Precedent Files.</u> Documents reflecting legal opinions concerned with interpretations of statutes, laws, regulations, investigations, and similar legal matters.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: Record copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. b. Other Offices: Destroy on obsolescence.</p>
301-02	<p><u>Legal Assistance Case Files.</u> Documents pertaining to personal legal matters of DEA personnel. Included are correspondence, memorandums, and opinions of legal assistance officers.</p> <p><u>Disposition:</u> Destroy 1 year after completion of the case, except that selected opinions and memorandums withdrawn for use as precedents may be held until no longer required for reference.</p>

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First Line of Type CLAIM INVESTIGATING AND PROCESSING FILES

1. These files relate to the investigation of accidents or incidents which may result in claims in favor of or against the Government, and the subsequent processing and settlement of claims.
2. The term "approval claims" as used herein refers to claims which were paid in the full amount claimed or in which claimant accepted a sum less than the amount claimed in settlement of the claim. Disposition instructions for disapproved claims also apply to claims that are withdrawn by claimants prior to settlement or which for other reasons are administratively closed.
3. A "master claim file" is prepared when a number of claims may result from a single incident or disaster. This "master claim file" contains the complete report of investigation, all exhibits and a listing of all co-claimants and possible claimants. Co-claimant files need only refer to the "master claim file" and include only those documents pertaining to the particular co-claimant not contained in the "master claim files."

<u>File No.</u>	<u>Description</u>
310-01	<p><u>Claim Operating Policy Files.</u> Record copies of policy books and standing operating procedures on the handling of claims.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>
310-02	<p><u>Claim Journal and Index Files.</u> Documents used for recording pertinent information on each event relating to an actual or possible claim, and cross-indexes of incidents entered in the claims journal.</p> <p><u>Disposition:</u> Destroy 5 years after final action on recorded claim journal entry.</p>
310-03	<p><u>Claim Reporting Files.</u> Documents containing statistical and fiscal data concerning the filing, processing, and administrative settlement of claims. Included are copies of reports retained by reporting offices; report consolidations and summaries prepared or retained by DEA and papers directly related to the reports.</p>

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File No.	Description
310-04	<p><u>Disposition:</u> a. Detail reports: Destroy 2 years after preparation. b. Consolidations and summaries: Destroy 5 years after publication of data.</p>
310-04	<p><u>Claim Investigation Reporting Files.</u> Documents reflecting the results of investigation of accidents and incidents which could but do not result in the filing of a claim. Included are investigation reports, statements of witnesses, and related papers.</p>
310-04	<p><u>Disposition:</u> a. Reports relating to possible claims against the Government: Destroy 10 years after final action on the report. Cutoff on expiration of the pertinent statutory period for filing a claim. b. Reports relating to possible claims in favor of the Government on which no claim exists: Destroy 10 years after final action on the report.</p>
310-05	<p><u>Personal Property Claim Files.</u> Case files relating to claims against the Government by DEA employees for damage, loss, or destruction of personal property incident to their service.</p>
310-05	<p><u>*Disposition:</u> Destroy 10 years after final action on the case.*</p>
310-06	<p><u>Tort Claim Files.</u> Case files relating to tort claims against DEA for damage, loss, or destruction of property, and for personal injury or death resulting from negligence or wrongful acts or omission of acts by DEA employees.</p>
310-06	<p><u>*Disposition:</u> Destroy 10 years after final action on the case.*</p>
310-07	<p><u>Contract Adjustment and Claim Determination Files.</u> Documents reflecting recommendations or determinations on adjustment of contracts under Public Law 85-804 and on contract claims asserted by a contractor against the Government or by the Government against a contractor. They also accumulate in reporting contractor bankruptcies so that, if appropriate, claims in favor of or against the bankrupt can be asserted. Included are copies of contractor claims and adjustment requests, contractual documents, documents containing justification or support for the claim or</p>

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<u>File No.</u>	<u>Description</u>
	adjustment request; determinations; recommendations; memoranda or law; coordinating actions; bankruptcy reports; and related documents. <i>NOTE 1: To the extent practical, documents described above should be filed with and disposed of with the related contract file.</i> <i>NOTE 2: When bankruptcies and contract claims and adjustments result in litigations, the files described above will be filed and disposed of with the pertinent litigation file.</i> <u>Disposition:</u> Destroy *15* years after final determination or settlement.
310-08	<u>Foreign Claim Files.</u> Case files relating to claims against the United States by inhabitants of a foreign country or by a foreign government or a political subdivision thereof for damage, loss, or destruction of private property, or for personal injury or death caused by DEA employees stationed in the country concerned. <u>*Disposition:</u> Destroy 10 years after final action on the case.*
310-09	<u>Local Foreign Claim Files.</u> Case files relating to claims arising in foreign countries for death or personal injury; damage, loss, or destruction of public or personal property; or in connection with provisions of contracts, leases, or other instruments. They are limited to those claims which must be settled under local laws, regulations, or agreements. <u>*Disposition:</u> Destroy 10 years after final action on the case.*
310-10	<u>DEA Property Damage Claim Files.</u> Case files relating to claims in favor of DEA for damage, loss, or destruction of DEA property. <u>*Disposition:</u> Destroy 10 years after completion of litigation or determination that the case will not be prosecuted.*

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LITIGATION FILES

These files relate to actual or potential litigation in which the United States has an interest before civil courts, administrative tribunals, and regulatory bodies; to the release of information from DEA records for use in private litigation, and litigation in which the United States has an interest; and to the appearance of employees of DEA as witnesses in private litigation and litigation in which the United States has an interest.

<u>File No.</u>	<u>Description</u>
330-01	<p><u>Litigation Case Files.</u> Documents relating to actual or potential legal proceedings in which DEA, including its instrumentalities, has an interest. Included are show cause orders; copies of show cause and administrative hearings; advisory reports; copies of processes and pleadings; communications with DEA activities; communications with the Department of Justice and United States Attorneys, and with other organizations, agencies, activities, and individuals both within and without the Federal Government; and related papers.</p> <p><u>Disposition:</u> Destroy 15 years after completion of litigation.</p>
330-02	<p><u>Judicial Information Release Files.</u> Documents relating to the release of information for use in litigation in response to subpoenas, court orders, or requests. Included are requests, subpoenas, court orders, copies of the documents concerned or summaries of their contents, recommendations concerning releases, memorandums of law, coordinating actions, and related papers.</p> <p>Note: To the extent possible, these papers will be filed in the particular file to which the information release pertains, e.g. the appropriate personnel or claim file.</p> <p><u>Disposition:</u> Destroy 10 years after approval review for release of information.</p>
330-03	<p><u>Appearance as Counsel In Civil Court Files.</u> Documents relating to the appearance of DEA employees as counsel before civil courts, administrative tribunals, regulatory bodies, or Government agencies. Included are the requests with supporting or related papers, letters, and other documents</p>

<u>File No.</u>	<u>Description</u>
	indicating coordination involved and action taken on the requests.
	NOTE: The above documents will be filed in the litigation file when the appearance concerns litigation involving or of interest to DEA.
	<u>Disposition:</u> Destroy 2 years after approval of request for appearance as counsel.
330-04	<u>Witness Appearance Files.</u> Documents relating to requests for DEA employees to appear as witnesses before civil courts, administrative tribunals, and regulatory bodies. Included are requests with supporting documents, letters, electrically transmitted messages, personnel action forms, and other papers indicating action taken on the requests.
	<u>Disposition:</u> Destroy 2 years after approval of request for appearance as witness.
330-05	<u>Vehicle Seizure Files.</u> Documents reflecting the receipt and release of vehicular conveyances that are found, impounded, or seized as contraband or prohibited property, or safeguarded for detained personnel. Included are logs, receipts, releases, reports of investigation, and related papers.
	<u>Disposition:</u> Destroy 3 years after return or release of vehicle from DEA control.

First Line of Text LEGISLATIVE AND CONGRESSIONAL LIAISON FILES

These files relate to the initiation, processing, and coordination of legislation, Executive Orders, and proclamations either sponsored and supported by, or otherwise of interest to DEA; the preparation and coordination of replies to congressional inquiries; liaison with and assistance provided congressional committees investigating DEA activities; and similar matters of a legislative or congressional nature.

<u>File No.</u>	<u>Description</u>
360-01	<p><u>Legislation Files.</u> Documents relating to the preparation and processing of legislation, Executive Orders, proclamations, and reports on legislation proposed by or of interest to DEA, exclusive of appropriation bills. Included are communications containing drafts of legislation proposed by DEA, reports to congressional committees on introduced legislation; comments on legislative proposals and reports on legislation proposed by or the responsibility of the Department of Justice.</p> <p>*Disposition: a. Offices performing staff responsibility for overall DEA legislative program: (1) Record copy of documentation pertaining to enacted legislation: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Documentation pertaining to unenacted legislation: Destroy 10 years after final disposition of legislation. b. Other offices: Destroy 3 years after final disposition of legislation.*</p>
360-02	<p><u>Legislation Comment Files.</u> Documents reflecting comments on proposed legislation, Executive Orders, proclamations, and reports which are initiated by or for which primary responsibility for action has been assigned to another Government agency. Included are retained copies of the organization's comments, copies of proposed legislation, and related papers.</p> <p><u>Disposition:</u> Office of legislative officer or individuals designated to coordinate and control the legislative activities of DEA: Destroy 5 years after final comment action on legislation.</p>

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360-03

Congressional Correspondence Files. Documents relating to congressional inquiries on matters within the scope and activity of DEA, except in areas affecting budgets, appropriations, and related financial matters, or concerning the release of safeguarded information. Included is correspondence between congressmen and their constituents or other people, and between congressmen and DEA on such matters as alleged unfair treatment, improper assignment, and drug narcotic inquiries.

Disposition: a. Office responsible for overall coordination of DEA congressional liaison activities: Destroy 5 years after response to inquiry. b. Other Offices: Destroy 3 years after response to inquiry.

360-04

Congressional Investigation Files. Documents reflecting liaison between DEA and congressional committees. Included are papers relating to the selection of witnesses to appear before and the presentation of evidence to such committees, information on the activities of congressional committees investigating the activities of DEA, and analyses of committee visits to DEA establishments.

Disposition: Office responsible for the maintenance of liaison between DEA and congressional committees: Destroy 10 years after close of investigation.

360-05

Congressional Visit Reporting Files. Documents reporting visits by members or staff members of congressional committees to any element of DEA. Included are initial and daily reports reflecting the names of the visiting Congressional committee or survey group, subject of the visit, and similar information; and papers directly related to the reports.

Disposition: Office responsible for overall coordination of congressional liaison: Destroy 5 years after visit of Congressional element.

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INFORMATIONAL SERVICES FILES

These files accumulate from the programs designed to keep the public informed of DEA activities, thereby acquiring public understanding and support of DEA activities. Specifically, they relate to the release of information to the public, action taken in conjunction with civic groups to improve DEA-community relations, participation in local, national, and international events, industrial cooperations, and similar actions which are taken to maintain and improve public relations.

<u>File No.</u>	<u>Description</u>
370-01	<p><u>Public Appearance Schedule Reporting Files.</u> Documents reflecting scheduled speeches and participation by DEA staff in activities such as panel-type programs sponsored by organizations or for public audiences, press conferences or briefings, and radio and TV programs.</p> <p><u>Disposition:</u> Destroy 2 years after scheduled public appearance.</p>
370-02	<p><u>Public Information Reporting Files.</u> Documents reporting data on public information activities. Included are narrative reports on public information and community relations activities, statistical reports on information releases, summary reports, and papers relating to the reports.</p> <p><u>Disposition:</u> Destroy 2 years after submission of report.</p>
370-03	<p><u>*News Media and Release Files.</u> Audiovisual records (as described under General Records Schedule 21) that depict DEA participation with Federal, state, and local law enforcement agencies in significant or high level drug seizures and operations; implementation of enforcement-related priority programs resulting from enacted legislation; appearance of the Administrator or other high level DEA officials on TV networks regarding drug law enforcement; and methods of interdicting illegal drug trafficking. Also, documents relating to the preparation, coordination, clearance, and release of information to the public through newspapers, periodicals, radio, television, motion pictures, public appearances, and other media</p>

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of dissemination. Included are printed or processed press releases; speeches; radio, television, and motion picture scripts; and coordinating documents accumulated in obtaining clearances for the release.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Audiovisual material: Permanent. Offer to NARS in accordance with General Records Schedule 21. (2) Record copy of all releases: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (3) Destroy other documents 5 years after release of information to the public. b. Other offices: Destroy 5 years after release of information to the public.

370-04

Feature Story Review Files. Documents relating to assistance provided to magazine and book representatives in the development of feature stories concerning DEA activities. Included are story outlines prepared by DEA and provided the media representative, advice on proposed stories which are being prepared by other writers, papers relating to reviews of the stories for accuracy when desired by the writer, and similar papers.

Disposition: Destroy 5 years after release of feature story.

370-05

Research Clearance Files. Documents relating to approval for access to classified files for purposes of unofficial research and study. They also accumulate from a review for propriety and accuracy and in providing for the required security review of the resulting manuscripts and research notes. Included are requests for access to classified files, approvals, copies of manuscripts and research notes, and coordinating actions on both access and manuscript clearances.

Disposition: Destroy 20 years after approval for access to classified files.

370-06

Contractor Information Release Files. Documents relating to procedures governing the release of information by manufacturers, colleges, universities, advertising agencies and similar commercial entities relative to DEA contracts or activities accomplished

File No.

Description

by contract. They further relate to the clearance of informational materials depicting DEA themes which are voluntarily submitted for clearance by commercial organizations. Included are proposed articles, technical papers and presentations, brochures, motion picture and television films, photographs and transparencies, and similar materials proposed for publication or release; coordinating actions thereon, and similar and related papers.

Disposition: Destroy 10 years after termination of contract.

370-07

DEA Authored Information Clearance Files. Documents relating to the review and clearance for publication of magazine and book manuscripts on drug narcotic subjects which are authored by DEA personnel. Included are copies of the manuscripts, coordinating actions on the manuscripts, and related papers.

Disposition: Destroy 5 years after clearance approval of publication.

370-08

Public Inquiry Files. Documents relating to release of nonsafeguarded or nonprivileged information in response to requests or inquiries from the public. Included are routine requests for information on DEA activities, correspondence, and related papers.

Disposition: Destroy 2 years after approval of release of information.

370-09

DEA Community Relations Files. Documents relating to DEA information programs with private and public agencies, and community groups in regard to drug abuse prevention activities.

Disposition: Destroy 5 years after termination of program.

370-10

Information Publication Distribution Files. Documents used in the receipt, storage, and issue of information publications and materials.

Disposition: Destroy 2 years after completion of distribution action.

File No.

Description

370-11

Commercial Authorship Approval Files. Documents reflecting the authorization for DEA personnel to speak or write on a regularly scheduled basis for commercial publications or interests. Included are requests for approval, approvals, and directly related papers.

Disposition: Destroy on expiration or revocation of the approval.

370-12

Charity Contribution Files. Documents relating to contributions by DEA activities to recognized health, welfare, and voluntary fund raising organizations, such as the Combined Federal Campaign.

Disposition: Destroy 2 years after termination of campaign.

370-13

Statistical Material Clearance Files. Documents created in reviewing and issuing clearances for the release of specific statistical data. Included are copies of requests for statistical clearances, clearance actions, and related papers.

NOTE: Files accumulated in initiating or releasing offices will be filed functionally with the material released.

Disposition: Destroy 1 year after clearance approval.

370-14

Statistics Reporting Files. Copies of statistical summaries, studies, program evaluations, surveys, and contractor reports of drug narcotic data.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Maintain one record copy of each DEA publication: Permanent. Transfer to Federal record center when 5 years old. Offer to NARS when 15 years old. (2) Other material: Destroy 8 years after date of publication.
b. Other offices: Destroy 5 years after date of publication.

DETAIL ACCOUNTING FILES

These files pertain to invoices, vouchers, purchase orders, and other related documents that show detail accounting of receipts and disbursements of DEA funds.

<u>File No.</u>	<u>Description</u>
401-01	<p><u>Paid Vendor Invoice Files.</u> Copies of paid invoices maintained alphabetically by vendor.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-02	<p><u>Paid Government Obligations Files.</u> Copies of Vouchers of Transfers between Appropriations and/or Funds (SF-1080) and Vouchers and Schedule of Withdrawals and Credits (SF-1081) that reflect payments made to other Government agencies by DEA. Documents are maintained alphabetically by agency, except those pertaining to the General Services Administration are maintained by GSA region.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-03	<p><u>Paid Travel Voucher Files.</u> Copies of Travel Voucher (SF-1012) that reflect payments for travel performed by DEA employees. Vouchers are maintained alphabetically by traveler's name.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-04	<p><u>Paid Purchase Order Files.</u> Copies of Orders for Supplies or Services (SF-147) that reflect payments by DEA. Paid purchase orders are attached to the appropriate invoice with the receiving report and</p>

<u>File No.</u>	<u>Description</u>
	filed as an integral part of the Paid Vendor Invoice Files (401-01). <u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.
401-05	<u>Unpaid Purchase Order Files.</u> Copies of Orders for Supplies or Services (SF-147), including contracts, for which payments by DEA have not been made. Maintain documents by purchase order number. <u>Disposition:</u> Cutoff at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-04).
401-06	<u>Paid Government Travel Request Card Files.</u> Copies of Government Travel Request (SF-1169) that reflect payment by DEA. Cards are maintained in serial number sequence. <u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.
401-07	<u>Unpaid Government Travel Request Card Files.</u> Copies of Government Travel Request (SF-1169) for which payment by DEA has not been made. Cards are maintained in serial number sequence. <u>Disposition:</u> Cutoff at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-06).
401-08	<u>Paid Transportation Schedules Files.</u> Copies of Voucher and Schedule of Payments (SF-1166) that reflect payments by DEA to common carriers. Schedules are maintained in serial number sequence. <u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the

<u>File No.</u>	<u>Description</u>
	account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.
401-09	<p><u>Paid Government Bill of Lading Files.</u> Copies of Government Bill of Lading (SF-1103) and Public Vouchers for Transportation Charges (SF-1113) that reflect payment to common carriers by DEA. Bills of lading are maintained in vendor name sequence.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-10	<p><u>Unpaid Government Bill of Lading Files.</u> Copies of Government Bill of Lading (SF-1103) for which payment to common carrier has not been made by DEA. Bills of lading are maintained in serial number sequence.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-09).</p>
401-11	<p><u>Reimbursable Moving Expenses and Taxes Withheld Files.</u> Reports of Federal and State taxes withheld from wages of DEA employees who had a permanent change of station.</p> <p><u>Disposition.</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-12	<p><u>Travel Advance Card Files.</u> Copies of Application and Account for Advance of Funds (SF-1038) concerning payment to employees for official travel. Cards are maintained in alphabetical sequence.</p> <p><u>Disposition:</u> a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>

<u>File No.</u>	<u>Description</u>
401-13	<p><u>Imprest Fund Account Files.</u> Documents accumulated by imprest fund cashiers/subcashiers which reflect the receipt and accounting for imprest funds. Included are copies of the Permanent Increase in Imprest Funds Above Maximum (SF-211), Reimbursement Vouchers (SF-1129), Request for Permanent Change in Imprest Funds (SF-1191), Monthly/Quarterly Audit Fund Report (DEA-153), Designation of Subcashier or Alternate Subcashier/Change in Imprest Fund (DEA-358), and other related forms of reimbursement vouchers and receipts for imprest funds.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-14	<p><u>Imprest Fund Shortage Files.</u> Documents accumulated by the accounting officers which reflect imprest fund shortages, such as reports with supporting and related documents.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-15	<p><u>Travel Accountability Files.</u> Log registers and related devices that are used to record the receipt and issuance of accountable transportation forms as Government Bill of Lading (SF-1103), Government Transportation Request (SF-1169), and Government Tax Exempted Certificate (SF-1094).</p> <p><u>Disposition:</u> Destroy 1 year after all entries on the log registers are cleared.</p>
401-16	<p><u>Monthly Disbursement and Collection Document Files.</u> Copies of vouchers that reflect disbursements made by DEA and collections received by DEA. Included are Statement of Transactions (SF-224), Vouchers of Transfers Between Appropriations and/or Funds (SF-1080), Vouchers and Schedule of Withdrawals and Credits (SF-1081), Schedules of Cancelled Checks (SF-1098), Vouchers and Schedule of Payments (SF-1166), and Statement of Transactions (SF-1221).</p>

<u>File No.</u>	<u>Description</u>
	<p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-17	<p><u>Certificate of Deposit Files.</u> Copies of certificates of deposit (SF-219) and supporting vouchers reflecting payments made by DEA to the U.S. Treasury.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-18	<p><u>Mechanized Accounting Document Files.</u> Copies of documents posted to the DEA computerized accounting system. Included are allowance documents, obligation documents, duplicate copies of disbursement vouchers, liquidated and posted schedules, and correction notices.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
401-19	<p><u>Mechanized Accounting Transaction Reports Files.</u> Weekly and monthly reports that are generated by the DEA computerized accounting system. These include obligation I.D. master, expenditure and allowance report, monthly transaction register, notice of payments, travel advance statement, listing of travel advance balance, project summary report on obligations, report on obligations and expenditures, listing of valid batches by month, and related reports.</p> <p><u>Disposition:</u> a. Destroy weekly reports 3 months after the period of account. b. Destroy monthly transaction register and other documents 3 years after the period of account. c. Year end reports</p>

<u>File No.</u>	<u>Description</u>
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	created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. d. Year end reports created on or before July 2, 1975: Destroy 6 years, 3 months after period of the account.
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SUMMARY ACCOUNTING FILES

These files pertain to the ledgers, journals, and related documents that summarize DEA financial transactions, showing the nature of receipts and expenditures of funds.

<u>File No.</u>	<u>Description</u>
410-01	<p><u>Accounting Journal Files.</u> Documents relating to books of original entry maintained to record all financial transactions and to summarize accounting for monthly postings to the general ledger. Included are the general journals and special journals, such as fund receipt, fund disbursement, and related documents.</p> <p><u>*Disposition:</u> Cutoff at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.*</p>
410-02	<p><u>General Ledger Files.</u> Documents relating to general ledgers which contain the accounts necessary to reflect financial operations, such as asset accounts, operating accounts, and liability accounts. These accounts are maintained for the purpose of establishing in summary form the status of the accounts, operations for the month, and to provide a medium for verifying the accuracy of reports and subsidiary ledgers.</p> <p><u>*Disposition:</u> Cutoff at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.*</p>
410-03	<p><u>Subsidiary Ledger Files.</u> Documents relating to subsidiary ledgers maintained as a source for ascertaining the composition of general ledger accounts, accumulated detail for analysis and reporting purposes, and verification of the accuracy of general ledger accounts.</p> <p><u>*Disposition:</u> Cutoff at the end of the fiscal year. Destroy 10 years after close of fiscal year in involved.*</p>
410-04	<p><u>Trial Balance Files.</u> Documents relating to trial balances prepared from general ledger accounts, including trial balance sheets and related papers.</p>

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File No.	Description
	<p><u>Disposition:</u> Cutoff at the end of the fiscal year.</p> <p>a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
410-05	<p><u>Subsidiary Monthly Payment Files.</u> Documents relating to monthly payment schedules, allotment schedules, and transmittals.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year.</p> <p>a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>
410-06	<p><u>Biweekly Accounting Station List Files.</u> Payroll list printouts that are prepared every two weeks which show summary accounting transactions by organization, object class, prior year, and current year.</p> <p><u>Disposition:</u> Destroy 1 year after receipt of printout.</p>
410-07	<p><u>Summary Accounting Reporting Files.</u> Copies of reports forwarded to higher echelon, such as Department of Justice, Department of Treasury, and Department of Commerce. Included are the following reports with related documents: budget status report, financial statement of condition, obligation report by object class, statement of transactions, transactions of the Federal Government, statement of unexpended balances of appropriated funds, Federal outlays by geographic location, statement of receipt account, and statement of appropriation account.</p> <p><u>Disposition:</u> Cutoff at the end of the fiscal year.</p> <p>a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</p>

Disposition: Cutoff at the end of the fiscal year.

a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.

410-05

Subsidiary Monthly Payment Files. Documents relating to monthly payment schedules, allotment schedules, and transmittals.

Disposition: Cutoff at the end of the fiscal year.

a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.

410-06

Biweekly Accounting Station List Files. Payroll list printouts that are prepared every two weeks which show summary accounting transactions by organization, object class, prior year, and current year.

Disposition: Destroy 1 year after receipt of printout.

410-07

Summary Accounting Reporting Files. Copies of reports forwarded to higher echelon, such as Department of Justice, Department of Treasury, and Department of Commerce. Included are the following reports with related documents: budget status report, financial statement of condition, obligation report by object class, statement of transactions, transactions of the Federal Government, statement of unexpended balances of appropriated funds, Federal outlays by geographic location, statement of receipt account, and statement of appropriation account.

Disposition: Cutoff at the end of the fiscal year.

a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.

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File No.

Description

Disposition: Cutoff at the end of the fiscal year.
a. Documents created prior to July 2, 1975:
Destroy 10 years, 3 months after period of the
account. b. Documents created on or after July 2,
1975: Destroy 6 years, 3 months after period of
the account.

PROCUREMENT FILES

These files relate to the supervision and administration of the DEA procurement of supplies, equipment, and services. The responsibility of GAO to audit Government transactions includes access to contract records. In addition, GAO has certain statutory responsibilities which require that GAO have available to it a copy of any contract for purposes of certifying that document, or parts thereof, in conformity with the Miller Act and any other appropriate legislation. The long-standing practice of maintaining a separate "GAO copy" of the contract has been discontinued. Now the copy of the contract maintained in the office of the Contracting Officer is the one which GAO may from time to time request to fulfill its statutory obligations.

<u>File No.</u>	<u>Description</u>
480-01	<p><u>Contract Statutory Restriction Files.</u> Documents used in developing supplementary contract forms and clauses and in authorizing deviations from standard clauses. Included are copies of statutory requirements; coordination documents; studies; requests, approvals, and disapprovals of deviations; and similar documents.</p> <p><u>Disposition:</u> Destroy when obsolete or superseded.</p>
480-02	<p><u>Determination and Findings Files.</u> Documents related to determinations and findings required prior to negotiation of contracts. Included are determinations and findings and directly related correspondence.</p> <p>NOTE: Officers administering contracts which result from the determinations and findings will file the documents with the resulting contract.</p> <p><u>Disposition:</u> Destroy 6 years after final resolution of determinations and findings.</p>
480-03	<p><u>Individual Item Pricing Files.</u> Documents used in determining standard prices for use in obtaining improved pricing on purchases and accounting for the sale and issue of items, for comparative pricing purposes, and for analyzing price trends. Included are ledger sheets, card records, and related papers.</p>

<u>File No.</u>	<u>Description</u>
	<p><u>Disposition:</u> a. Documents used in establishing revised standard prices: Destroy 6 years after approval of revised prices. b. Documents used for comparative pricing and evaluating price trends: Destroy when superseded or obsolete.</p>
480-04	<p><u>Cost and Price Analysis Files.</u> Documents used in collecting and analyzing data in the performance of comprehensive studies of price trends and variations. Included are studies, copies of price lists, contracts, estimates, reports, and other documents containing similar data.</p> <p><u>Disposition:</u> Destroy 10 years after completion of analysis study.</p>
480-05	<p><u>Buy American Act Files.</u> Documents relating to implementation of the Buy American Act. Included are determinations, requests for exceptions with related approvals or disapprovals, lists of excepted items and materials, reports of violation, similar documents, and related correspondence. Files relating to specific contracts will be destroyed therewith.</p> <p><u>Disposition:</u> Destroy 10 years after final determination or approval action on acquisition of items.</p>
480-06	<p><u>Contract Review Files.</u> Documents used by the DEA contract office reviewing contracts for such aspects as legal sufficiency, appropriateness of award, reasonableness of price and cost, and similar matters. Included are copies of contracts, worksheets, related correspondence, and similar data.</p> <p><u>Disposition:</u> Destroy 6 years after review of contract.</p>
480-07	<p><u>Procurement Misconduct Case Files.</u> Documents accumulated as case files which deal with specific incidents relating to fraud, misconduct, criminal conduct, or suspected fraud or misconduct in connection with procurement matters. Included are investigations, statements, reports, decisions, similar documents and related papers. These files also provide information for publication of the debarred, ineligible, or suspended bidders list.</p>

<u>File No.</u>	<u>Description</u>
	<u>Disposition:</u> Destroy 30 years after close of case.
480-08	<u>Debarred Bidder List Files.</u> Documents relating to the suspension of bidders that prohibits contractual relationship with the Department of Justice or DEA. Included are lists of debarred, ineligible or suspended bidders; status reports and recommendations relating to bidders appearing on the lists; modifications, deletions, and additions to the lists; and similar or related documents.
	<u>Disposition:</u> Destroy when superseded or obsolete.
480-09	<u>Bidder List Files.</u> Cards and lists used to determine which contractors are eligible to receive invitations to bid for specific items.
	<u>Disposition:</u> Destroy when superseded or obsolete.
480-10	<u>Small Business Information Files.</u> Documents relating to communications or discussions which provide small business concerns with information about DEA's requirements for suppliers on bidders lists, adapting their production facilities to compete for prime contracts or subcontracts, changes in specifications which make it possible for production by small business concerns to meet future procurement, and other matters concerning the participation of small business concerns in the DEA procurement program. Included are inquiries from small business concerns, memorandums recording discussion with representatives of small business concerns, and similar documents.
	<u>Disposition:</u> Destroy 6 years after requirements are superseded or obsolete.
480-11	<u>Small Business Program Survey Files.</u> Documents relating to surveys of field purchasing offices to analyze the effectiveness of the small business program in order that small business concerns are afforded equal opportunity to compete for procurements. Included are data accumulated for the purpose of making surveys, reports from procuring offices, survey reports, instructions or changes made as a result of the survey, and related papers.
	<u>Disposition:</u> Destroy 6 years after survey.

INDIVIDUAL PROCUREMENT TRANSACTION FILES

These files relate to the administration of individual procurement transactions which include documents relating to the negotiation, commitment, and placement of contracts, purchase orders, and comparable instruments. Files that are known to be pertinent to an unsettled claim, incomplete investigation, or pending litigation will not be destroyed until settlement of the claim or completion of the investigation or litigation. In addition, records relating to contracts involved in appeals handled by a Board of Contract Appeals will be retained for a period of seven years from the date of the decision of the board.

<u>File No.</u>	<u>Description</u>
490-01	<p><u>Transactions for \$10,000 or Less Files.</u> Contracts (less construction), purchase orders, leases, or comparable instruments for amounts of \$10,000 or less, and construction contracts under \$2,000.</p> <p><u>Disposition:</u> a. Transactions for \$10,000 or less after July 25, 1974 and transactions for \$2,500 or less before July 25, 1974. Destroy 3 years after final payment, except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the board. Incomplete transaction files will be withdrawn from the cutoff block prior to transfer to Federal records center and brought forward for disposition with the next fiscal year files. b. Transactions for more than \$2,500 before July 25, 1974: Destroy in accordance with 490-03.</p>
490-02	<p><u>Unsuccessful Bid Files.</u> Documents relating to unsuccessful bids, proposals, and quotations for contracts of \$2,500 or less. Included are unsuccessful bids (including tie bids), unsuccessful proposals and quotations, and related documents.</p> <p><u>*Disposition:</u> Destroy in accordance with 490-01 or 490-03 as applicable.*</p>
490-03	<p><u>Transactions For More Than \$10,000 Files.</u> Contracts (less construction), purchase orders, leases, or comparable instruments for amounts of more than \$10,000, and construction contracts exceeding \$2,000.</p>

File No.

Description

Disposition: Destroy 6 years and 3 months after final payment, except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the board.

490-04

Open-End Contract Information Files. Documents reflecting information as to existing open-end contracts for use of contracting officers in procurement of supplies and equipment.

Disposition: Destroy when superseded or obsolete.

490-05

Master, Open-End and Call-Type Contract Files. Documents relating to master, open-end, indefinite delivery, Federal Supply Schedule, call-type, and similar contracts. Included are contracts, service authorizations, delivery orders, comparable instruments, and related papers. Offices not administering, but procuring under these contracts, will handle individual service authorizations and delivery orders as separate individual procurement transactions.

Disposition: a. Offices administering contract: Destroy 6 years and 3 months after expiration and final payment except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the board. b. Offices procuring under contract: Individual delivery orders, service authorizations, and comparable instruments: Disposition is as provided for transactions for \$2,500, or less, or for transactions for more than \$2,500, as applicable.

490-06

Contract Standard Drawing and Specification Files. Standardized drawings and specifications that are used in a sufficient number of individual contracts to warrant reproduction and distribution of such use. Reference sets of such standard drawings and specifications are maintained by contracting elements, and contract files may consist of reference to the pertinent standard drawing or specification in lieu of actual copies thereof.

Disposition: Cutoff record set annually. Destroy when superseded or obsolete.

<u>File No.</u>	<u>Description</u>
490-07	<p><u>Nonaction Bid Invitation Files.</u> Invitations for bids returned by prospective bidders without bid action.</p> <p><u>Disposition:</u> Destroy immediately after bid opening or on receipt of bid if it can be determined that no bid action was taken.</p>
490-08	<p><u>Rejected Bid Files.</u> Invitations for bids accumulated as a result of rejecting all bids to an invitation and a new invitation is not issued.</p> <p><u>Disposition:</u> Destroy 1 year after bid is received.</p>
490-09	<p><u>Procurement Register Files.</u> Registers or sheets used to record and control the assignment of numbers to contracts, purchase orders, leases, or similar instruments. These files are maintained on a fiscal year basis.</p> <p><u>Disposition:</u> Destroy 6 years and 3 months after termination of contract.</p>
490-10	<p><u>Procurement Action Reporting Files.</u> Documents relating to the reporting system designed to provide statistics concerning placement, status, delivery, and settlement of procurement actions. Included are special, quarterly, procurement activity, status, monthly, contract settlement, semiannual, consolidated, and summary reports; and directly related correspondence. All the above reports, except consolidated reports and summaries, will be filed and disposed of with the related contracts.</p> <p><u>Disposition:</u> Consolidated reports and summaries: Destroy 6 years and 3 months after the end of the fiscal year of preparation.</p>
490-11	<p><u>Procurement Inspection Files.</u> Documents relating to the inspection and audit of procurement matters and contracts. Included are copies or extracts of reports made by DOJ or DEA inspectors, General Accounting Office and supervisory offices; documents indicating corrective action taken; and related correspondence.</p> <p><u>Disposition:</u> Destroy 6 years and 3 months after inspection or audit.</p>

<u>File No.</u>	<u>Description</u>
490-12	<p><u>Contracting Officer Designation Files.</u> Documents reflecting the designation and recession of contracting officers and contracting officer's representative which include the specific procurement authorities delegated.</p> <p><u>Disposition:</u> Destroy 6 years and 3 months after recession or termination.</p>
490-13	<p><u>Procurement Expediting Files.</u> Documents related to controlling and facilitating the delivery of materials under specific procurement transactions.</p> <p><u>Disposition:</u> Destroy 6 years and 3 months after delivery of materials.</p>
490-14	<p><u>Tax Exemption Certificate Files.</u> Documents relating to the issue of tax exemption certificates which indicate proof of exemption of taxes excluded from the contract price under procurement regulations. Included are U.S. Government tax exemption certificates, U.S. Government tax exemption or identification cards, and comparable or related documents.</p> <p><u>Disposition:</u> Destroy 6 years and 3 months after issuance of certificate.</p>
490-15	<p><u>Photographic Inspection Files.</u> Radiographs, micrographs, macrographs, and other films and prints relating to the inspection of material prior to acceptance by DEA.</p> <p><u>Disposition:</u> Destroy 6 years and 3 months after completion of related contract.</p>
490-16	<p><u>Laboratory Test Reporting Files.</u> Documents maintained by laboratories that relate to tests conducted on material. Included are chemical analysis, steel analysis, physical test, macrostruction and macrotech tests, treatment and tests of material, and similar reports and directly related papers.</p> <p><u>Disposition:</u> Destroy 6 years and 3 months after acceptance of test results.</p>

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EQUAL EMPLOYMENT OPPORTUNITY FILES

These files relate to the DEA compliance with Federal Government policy guaranteeing equal employment opportunity to all persons without regard to race, creed, color, or national origin.

<u>File No.</u>	<u>Description</u>
501-01	<p><u>Equal Employment Opportunity Reporting Files.</u> Documents related to reporting on activities and conditions related to equal employment opportunity. Included are reports on complaints, recruitment and action items; statistical and narrative reports; summaries; consolidations; and similar or related documents.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: Destroy 5 years after submission of reported data. b. Other offices: Destroy 2 years after submission of reported data.</p>
501-02	<p><u>Equal Employment Opportunity Survey Files.</u> Documents related to conducting surveys of the implementation and effectiveness of the equal employment opportunity program. Included are reviews, appraisals, recommendation, final survey reports, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after completion of next comparable survey.</p>
501-03	<p><u>Equal Employment Opportunity Complaint Case Files.</u> Documents reflecting complaints of personnel concerning equal employment opportunity. Included are complaints, transmittal letters, investigative data and summaries, finding of fact statements, final disposition reports, acceptance statements, withdrawal notices, and similar or related documents.</p> <p><u>Disposition:</u> a. Case resolved by DEA: Destroy *7* years after final adjustment. b. Case resolved by the U.S. Civil Service Commission: Official case file is retained by USCSC.</p>

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GROUP OF FIVE BOUND VOLUMES

GROUP OF FIVE BOUND VOLUMES

* Revision

<u>File No.</u>	<u>Description</u>
501-04	<u>Equal Employment Opportunity Affirmative Action Plan Files.</u> Documents created in defining the objectives and actions appropriate to local conditions and problems within a geographical area under a Region's jurisdiction. <u>Disposition:</u> Destroy 5 years after plan is approved.
501-05	<u>Equal Employment Opportunity Special Program Files.</u> Documents created in developing, coordinating, executing, and disseminating guidance relative to specific EEO programs that are designed to improve hiring, promotion, training, and assignment of DEA employees. Included are the Federal Women's Program and the Spanish-Speaking Program. <u>Disposition:</u> Destroy 5 years after termination of program.
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PERSONNEL PROGRAM FILES

These files relate to statistical reporting, inspections of DEA personnel activities, and documents produced by the Justice Uniform Personnel System (JUNIPER).

<u>File No.</u>	<u>Description</u>
510-01	<p><u>Personnel Program Reporting Files.</u> Documents which provide data concerning various aspects of DEA personnel management activities. Included are statistical and narrative reports; consolidations, summaries, extracts of reports, and similar or related documents.</p> <p><u>Disposition :</u> Destroy 3 years after submission of program data.</p>
510-02	<p><u>Personnel Inspection Files.</u> Documents reflecting inspections conducted by the U.S. Civil Service Commission and other authorized agencies. Included are reports of inspection, reports of corrective action taken, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 1 year after next comparable inspection.</p>
510-03	<p><u>JUNIPER Printout Files.</u> Documents consisting of computerized personnel listings that are generated by the Justice Uniform Personnel System (JUNIPER).</p> <p><u>Disposition:</u> a. Expiration of appointments and transaction and error register listing: Destroy 6 months after receipt. b. DEA separations by series, JUNIPER suspense roster, probationary or trial period conversions, DEA promotion roster, cumulative list of DEA promotions, and within-grade roster listings: Destroy 1 year after receipt. c. JUNIPER manpower analysis roster (maintain one copy of monthly roster): Destroy 3 years after receipt. d. Accessions and separations listing: Destroy 5 years after receipt.</p>
510-04	<p><u>JUNIPER Microfische Files.</u> Documents consisting of microfische listings that are generated by the Justice Uniform Personnel System (JUNIPER).</p> <p><u>Disposition:</u> a. Personnel listings in alphabetical sequence by name and numerical sequence by</p>

<u>File No.</u>	<u>Description</u>
	social security number: Destroy 6 months after receipt. b. Master file display: Destroy 5 years after receipt.
510-05	<u>Payroll Systems Printout Files.</u> Documents consisting of listings that are generated by the computerized output from the time and attendance report (DJ Form 225a). <u>Disposition:</u> a. Time and attendance leave discrepancies: Destroy 6 months after receipt. b. Personnel and payroll master discrepancies report: Destroy 1 year after receipt.

PERSONNEL POSITION AND PAY FILES

These files relate to pay rates and other monetary benefits for civilian employees, including the determination of position classification for pay purposes.

<u>File No.</u>	<u>Description</u>
520-01	<p><u>Position Number Log Files.</u> Documents reflecting a continuing list of numbers assigned and other identifying data pertaining to evaluated positions. Included are registers, logbooks, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 20 years after a new numbering system is established.</p>
520-02	<p><u>Master Position Description Files.</u> Documents used in analyzing a specific position to determine whether the position matches an existing position. Included are OF-8 (Position Description) and similar or related documents.</p> <p><u>Disposition:</u> a. Destroy one copy 5 years after position is abolished or description is superseded. b. Destroy other copies when position is abolished or description is superseded.</p>
520-03	<p><u>Organization Files.</u> Documents reflecting a complete record of positions in each organizational segment. Included are individual folders containing organization chart, position description, and questionnaires, if used; and similar or related documents.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>
520-04	<p><u>Position Standard Files.</u> Documents which provide guidance in evaluation of positions and consist of Civil Service Commission and Department of Justice classification and qualification standards. Included are position evaluation decisions, post-audit reports by Civil Service Commission which have the effect of standards, and similar or related documents.</p> <p><u>Disposition:</u> Destroy when standard is superseded or obsolete.</p>

<u>File No.</u>	<u>Description</u>
520-05	<p><u>Position Standard Development Files.</u> Documents relating to the development of classification or qualification standards. Included are tentative drafts of standards, correspondence, project schedules, materials, and similar or related documents.</p> <p><u>Disposition:</u> Review at least once a year after publication of final standards and destroy all papers which have been superseded or are no longer applicable.</p>
520-06	<p><u>Differential and Allowance Files.</u> Documents which provide overseas personnel offices with a means of documenting an employee's eligibility for foreign post differential and foreign quarters and post allowance. Included are Standard Forms 1190 (Foreign Allowances Application, Grant, and Report) and similar or related documents.</p> <p><u>Disposition:</u> Destroy on separation of employee from the agency.</p>
520-07	<p><u>Wage Rate Files.</u> Documents relating to the determination and application of base rate schedules for wage board jobs. Included are tentative and revised schedules of full scale wage surveys, and requests for changes to survey schedules; minutes of meetings; comments, recommendations, and justifications; collected and supplemental wage data concerning regular and overtime rates, bonuses, incentives, and shift differentials, data summaries; wage schedules; notifications of wage schedule applications, and similar or related documents.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>

EMPLOYMENT SERVICES FILES

These files relate to selecting and retaining employees for DEA.

<u>File No.</u>	<u>Description</u>
530-01	<p><u>Civil Service Certificate Files.</u> Documents providing a record of requests to the Civil Service Commission for certification of eligibles and reports of action taken on certificates of eligibles. Included are Standard Form 39 (Request for Certification) (Copy 3), CSC Forms 2934c (Statement of Reasons for Passing over a Preference Eligible and Selecting a Nonpreference Eligible) and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after date of certification.</p>
530-02	<p><u>Re-employment Files.</u> Documents reflecting persons separated by reduction-in-force or for military service, or having other restoration or re-employment rights. In either the restoration section or the re-employment priority list section of these files, the file on an individual may be returned to the employee evaluation record file upon fulfillment of restoration or re-employment obligation.</p> <p><u>Disposition:</u> a. Restoration activity: Destroy when obligation is terminated or restored. b. Re-employment priority list activity: Review at end of each calendar year. Place forms for employees separated for 2 years in an inactive file, hold 1 year, then destroy. Place forms for employees separated for 1 year in an inactive file, hold 1 year, then destroy.</p>
530-03	<p><u>Special Deferment Files.</u> Documents pertaining to each request for deferment or action in support of deferment.</p> <p><u>Disposition:</u> Destroy 1 year after transfer or separation of individual or on termination of deferment.</p>

EMPLOYMENT APPLICATION FILES

These files relate to considering, rating, and processing applications for employment by DEA.

<u>File No.</u>	<u>Description</u>
540-01	<p><u>Qualification Standard Files.</u> Documents used in rating applications for appointments and approving non-competitive actions. Included are index to standards; CSC Handbook X-118, CSC Departmental Circular 588; examination announcements; special standards, such as promotion and training agreements; and similar or related documents.</p> <p><u>Disposition:</u> Destroy when qualification standard is superseded. (Superseded standards may be retained until CSC inspection covering period during which the standard was applicable).</p>
540-02	<p><u>Active Employment Application Files.</u> Documents pertaining to individuals who can be considered for appointment. Included are applications and related documents.</p> <p><u>Disposition:</u> Destroy after 2 years (with prior approval of CSC or on receipt of CSC inspection report).</p> <p>Note: In all cases retain applications having a direct bearing on the appointment in question until action is completed.</p>
540-03	<p><u>Inactive Employment Application Files.</u> Documents pertaining to applicants for federal employment rated as not qualified for consideration for appointment, applicants who decline or will not be available for appointment for an indefinite period of time, and applicants for whom employment determinations preclude selection. Included are applications and related documents.</p> <p><u>Disposition:</u> Destroy after 2 years (with prior approval of CSC), or on receipt of CSC inspection report.</p>

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INDIVIDUAL EMPLOYEE FILES

These files relate to documenting the service of each individual employee of DEA and its consultants.

<u>File No.</u>	<u>Description</u>
550-01	<p><u>Official Personnel Folder Files.</u> Documents which reflect qualifications, efficiency, promotions, awards, and similar information on a DEA employee. Included are individual personnel folders, Notification of Personnel Action (DJ-50), and allied forms and related documents.</p> <p><u>Disposition:</u> a. Transfer of employee: Transfer folder to new employing office. b. Separation of employee: Retire to National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, MO 63118. **NOTE: Maintain and dispose of temporary records on left side of OPF in accordance with FPM Chapter 293 and Supplement 293-31.**</p>
550-02	<p><u>Expert and Consultant Data Files.</u> Documents reflecting the names, designations, rates of compensation, duties, and number of days service of experts and consultants. Included are extra copies of personnel actions, descriptions of services to be performed, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after separation of employee.</p>
550-03	<p><u>Employment and Financial Interest Statement Files.</u> Documents reflecting Government employment, private employment, and financial interest of DEA employees required to file such statements as required by Section 0672 of the DEA Administrative Manual. Included are statements of employment and financial interests, supplementary statements, reports of change, review comments, and related papers.</p> <p><u>Disposition:</u> Destroy *2* years after separation, retirement, reassignment, or death of the individual.</p>
550-04	<p><u>Notification of Personnel Action Files.</u> Documents which consist of copy No. 6 (utility copy) of DJ-50, which is filled by nature of action in chronological sequence.</p>

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Disposition: a. Accessions and separations:
Destroy *10* years after the effective date of the
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First Line of PROMOTION, PLACEMENT, AND CAREER MANAGEMENT FILES

These files relate to the promotion, placement, and career management of DEA employees.

<u>File No.</u>	<u>Description</u>
560-01	<p><u>Referral and Selection Files.</u> Documents reflecting placement and promotion actions under the Merit Placement and Promotion Program. Maintain in chronological order by date of certification.</p> <p><u>Disposition:</u> Destroy after 2 years or after regularly scheduled CSC inspection.</p>
560-02	<p><u>Placement Consideration Files.</u> Documents pertaining to employees considered to fill a vacancy but not selected and held for future consideration of employee. Included are requests for consideration, vouchers, results of interviews, qualification summaries, copies of notices of eligibility, and similar or related documents.</p> <p><u>Disposition:</u> Destroy after 2 years or after regularly scheduled CSC inspection.</p>
560-03	<p><u>Employee Evaluation Record Files.</u> Documents reflecting qualifications, personal data, interviews, training data, and evaluations which are used as a "tickler" for follow-up interviews.</p> <p><u>Disposition:</u> Destroy 1 year after separation of employee.</p>
560-04	<p><u>Career Management Files.</u> Documents related to formulating and directing a planned system for the progressive development of employees and to provide a source of input to meet continuing staffing requirements within designated career occupational fields. Included are coordinating actions, studies, interpretations, and published record copies of instructions; DEA-wide letters; messages; newsletters; and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after system is superseded or obsolete.</p>

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<u>File No.</u>	<u>Description</u>
560-05	<p><u>Occupational Inventory Files.</u> Documents reflecting qualifications, availability, appraisals, and other data on persons registered in specific career fields. Included are forms, printouts, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after individual is no longer eligible for consideration.</p>
560-06	<p><u>Career Referral Files.</u> Documents related to requesting and furnishing names of individuals from occupational inventory files or general information concerning career programs. Included are replies to requests and similar or related documents.</p> <p><u>Disposition:</u> Destroy after 2 years, or after a CSC inspection.</p>
560-07	<p><u>Career Trainee Input Requirement Files.</u> Documents reflecting trainee input requirements in occupational fields. Included are letters, forms, printouts, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after the end of the fiscal year for training input requirements.</p>
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PERSONNEL WELFARE AND GRIEVANCE FILES

These files pertain to employee work schedules, services and facilities, and grievances.

<u>File No.</u>	<u>Description</u>
570-01	<p><u>Hours of Work Files.</u> Documents relating to the establishment of working hours, staggered shifts, holiday staffing, and similar matters affecting the work schedule of civilian employees. Included are coordinating actions, studies, interpretations, and published record copies of instructions; letters; messages; and similar or related documents.</p> <p><u>Disposition:</u> Destroy 1 year after no longer effective.</p>
570-02	<p><u>Employee Service Case Files.</u> Documents related to considering, approving or disapproving, establishing, or discontinuing specific employee services or facilities such as medical and health services; recreation; and published record copies of instructions; letters; orders, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after disapproval or discontinuance of the service or facility.</p>
570-03	<p><u>Appeal and Grievance Case Files.</u> Documents reflecting actions taken on appeals and grievances submitted by DEA employees. Included in each case are employee grievance record; decisions delivered, including records of grievance committee; review decisions; and similar or related documents.</p> <p><u>Disposition:</u> Destroy after *4* years unless appeals are pending.</p>

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PERSONNEL REDUCTION-IN-FORCE FILES

These files relate to the elimination through reduction-in-force of personnel from the DEA work force.

<u>File No.</u>	<u>Description</u>
580-01	<p><u>Reduction-In-Force Data Files.</u> Documents reflecting name of employee, date, position, grade, last performance rating, competitive level code, and similar information. Included are punched cards, card forms, listings, and similar or related documents.</p> <p><u>Disposition:</u> Destroy when no longer required for reference.</p>
580-02	<p><u>Competitive Level Files.</u> Documents reflecting competitive levels within areas serviced by the DEA personnel officer which are used as a basis for preparing retention registers. Included are cards, listings, and similar or related documents.</p> <p><u>Disposition:</u> Destroy when no longer required for reference.</p>
580-03	<p><u>Retention Register Files.</u> Documents reflecting retention groups of employees according to tenure, length of service, performance ratings, and veterans preference. Included are registers and similar or related documents.</p> <p><u>Disposition:</u> Destroy when 2 years old, unless appeals are pending.</p>

INCENTIVE AWARDS COMMITTEE FILES

These files relate to approving, disapproving, and reporting awards by incentive award committees.

<u>File No.</u>	<u>Description</u>
590-01	<u>Incentive Awards Committee Meeting Records.</u> Documents reflecting actions taken by incentive award committees. Included are minutes of meetings and similar or related documents. <u>Disposition:</u> Destroy 5 years after meeting was held.
590-02	<u>Incentive Awards Reporting Files.</u> Documents used to provide statistical information on participation, approvals, savings, or other aspects of the incentive awards program. Included are retained copies of reports, report corrections, and similar or related documents. <u>Disposition:</u> Destroy 2 years after data were reported.
590-03	<u>Incentive Award Case Files.</u> Documents related to submitting, evaluating, and approving or disapproving each incentive awards case. Included are types of awards as suggestions, Sustained Superior Performance, Special Act or Service, or Certificate of Achievement. <u>Disposition:</u> Destroy 5 years after final action.
590-04	<u>Employee Suggestion Control and Subject Index Files.</u> Documents used as a suspense control of employee suggestions on which action is not completed, and as a subject index to completed suggestions. <u>Disposition:</u> Transfer from control file to subject index file upon final disposition of suggestion. Destroy 2 years after final disposition of suggestion.

ENFORCEMENT FILES

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These files relate to those activities of drug/narcotic enforcement pertaining to criminal/regulatory investigations, drug abuse prevention, and other enforcement-related operations.

File No.	Description
601-01	<p><u>Jurisdictional Responsibility Files.</u> Documents relating to the determination and establishment of the scope and responsibility of DEA for drug abuse prevention; detection and investigation of drug/narcotic crimes and offenses; and apprehension, restraint, and custody of offenders or suspected offenders. Included are agreements with other federal agencies or civil authorities, and similar papers.</p> <p><u>Disposition:</u> a. Offices performing DEA-wide staff responsibility: *(1) Record copy of agreement and implementing instructions: Permanent.* Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 8 years after termination of agreement or functional responsibility. b. Other offices: Destroy 5 years after termination of agreement or functional responsibility.</p>
601-02	<p><u>Investigative Technique Files.</u> Documents related to determining and disseminating the techniques, methods, and procedures to be used in investigating and reporting drug/narcotic criminal and regulatory activities and offenses. Included are written guidelines pertaining to utilization of specialized equipment in support of investigations.</p> <p><u>Disposition:</u> a. Offices responsible for directing or developing techniques, methods, and procedures: Destroy 5 years after termination of functional requirement. b. Other offices: Destroy 3 years after termination of functional requirement.</p>
601-03	<p><u>Enforcement Confidential Fund Files.</u> Documents which relate to expenditures of special funds to cover expenses incurred in discharging assigned duties of criminal investigators not otherwise payable from other DEA funds. Funds are utilized for purchase of evidence and purchase of information.</p>

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Disposition: a. Offices performing DEA-wide staff responsibility: Destroy 8 years after vouchered expenditure. b. Other offices: Destroy 5 years after vouchered expenditure.

601-04

Enforcement Program Files. Documents created in planning, coordinating, executing, and reviewing courses of action for the curtailment of illegal production, diversion, and trafficking of drugs and narcotics. Included are investigative and compliance programs, surveys, studies; operations of task forces and other specialized units; and program status reports. These files are exclusive of the general program files that are identified in Subchapter 623 of the Agents Manual.

Disposition: a. Offices responsible for directing or developing investigative and compliance programs: * (1) Record copy of substantive documentation relating to enforcement programs: Permanent.* Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 5 years after termination of functional requirement. b. Other offices: Destroy 5 years after termination of functional requirement.

601-05

Criminal Investigator Cross-Designation Files. Documents relating to the assignment, termination, or withdrawal of cross-designation of criminal investigations as Customs Officers (Excepted). Included are applications, recommendations, approvals, disapprovals, and related papers.

Disposition: Destroy 35 years after termination or withdrawal of cross-designation authority.

601-06

Enforcement Activities Reporting Files. Reports containing statistical and narrative data relating to drug/narcotic cases, trends, compliance violations, drug seizures, and other enforcement activities. Included are the weekly activity reports, regional monthly summaries, reports to the Attorney General, feeder reports, consolidated reports and analyses. Does not include reports pertaining to enforcement programs, as such reports are included with the program files.

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File No. Description

Comp. Schedule No. 1:
Item 35.

Disposition: a. Offices performing DEA-wide staff responsibility: (1) Record copy of annual reports: Permanent. Transfer to Federal record center when 5 years old. Offer to NARS when 15 years old. (2) Consolidated data: Destroy 5 years after preparation of report. (3) Feeder reports and similar data: Destroy 1 year after preparation of report. b. Other offices: Destroy 3 years after preparation of report.

601-08

General Investigative Files. DEA reports of investigations that are limited in scope concerning a suspect or firm relative to violations of drug/narcotic laws. Included are numbered and unnumbered general investigative files. Name and program general file procedures are outlined in Chapter 62 of the DEA Agents Manual.

Comp. Schedule No. 1:
Items 3 to 8.

Disposition: a. Unnumbered files: Transfer to Federal records center in calendar year 1981. *Destroy in calendar 1996.* b. Numbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center 10 years from date the file was opened. *Destroy when 25 years old (i.e. 25 years from the date file was opened).*

601-09

Cooperating Individual Files. Documents reflecting information provided by cooperating individuals relative to drug/narcotic offenses.

Comp. Schedule No. 1:
Item 36; and
Comp. Schedule No. 2:
Part III, Item 2.

Disposition: a. Unnumbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center in calendar year 1977. *Destroy in calendar year 2022.*

b. Numbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center 10 years after date the file was opened, in one year groups. *Destroy when 55 years old (i.e., 55 years from the date the file was opened).* *Note: The sensitivity of these files requires that they be stored in a vault or classified area of a Federal records center. These files will be sealed in records center boxes and delivered by the DEA activity to Federal records center or picked-up and receipted for by the records center. The boxes and SF-135 will be annotated to indicate a special handling marking of "NOT TO BE OPENED BY NARS, RESTRICTED TO DEA PERSONNEL"*

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<u>File No.</u>	<u>Description</u>
601-10	<p><u>Enforcement Journal Files.</u> Documents containing a <u>chronological record</u> of agent activity developed from reports, complaints, incidents, or information received, and action taken.</p> <p><u>Disposition:</u> Destroy 3 years after journal entry date.</p>
601-11	<p><u>Foreign Country Files.</u> Documents relating to drug/narcotic enforcement activities in a foreign country. These files include: a. Correspondence with foreign governments concerning international cooperation in enforcement activities and documents concerning methods used to control international trafficking in narcotics; agenda, minutes, and reports of meetings and conferences on narcotic control; and documents concerning DEA participation in negotiations concerning internal narcotic control matters, including position papers. b. Studies of drug/narcotic production and distribution, assessments of anti-narcotics efforts within a country, delineation of areas of responsibility for drug/narcotic enforcement, position papers, and status reports of drug/narcotic enforcement.</p> <p><u>Disposition:</u> a. Offices performing DEA-wide staff responsibility: Record copy of documents described in subparagraphs **a and b.** Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. b. Other offices: Destroy 5 years after approval of program material.</p>
601-12	<p><u>**Other Regional or District Investigative Files.</u> Copies of DEA reports (DEA-6) and supporting documents that are received from or prepared for other DEA Regional or District Offices.</p> <p><u>Disposition:</u> a. Reports received for information only: Destroy 10 years after date of report. Earlier destruction is authorized. Do not transfer reports to Federal records center. b. Reports prepared using the file number of another Regional or District Office. Destroy 10 years after date of report. Earlier destruction is authorized but not prior to 2 years. Do not transfer reports to Federal records center.**</p>

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ENFORCEMENT GRANT PROGRAM FILES

These files relate to DEA's participation in the Grant Fund Program of drug law enforcement technical assistance as provided to State and local government enforcement agencies.

<u>File No.</u>	<u>Description</u>
610-01	<p><u>Federal Assistance Program Files.</u> Documents created in planning, coordinating, executing, and reviewing drug law grant programs received from State and local government agencies. Includes documentation relating to national projects proposed for funding consideration and national drug law enforcement areas identified for grant fund assistance.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: Destroy 8 years after termination of funded project. b. Other offices: Destroy 5 years after termination of funded project.</p>
610-02	<p><u>Federal Assistance Program Reporting Files.</u> Reports containing statistical and narrative data relating to Drug Law Enforcement Grant Programs. Included are monthly summary reports pertaining to grant funded programs for States, fund status reports, and consolidated reports and analyses.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility: (1) Annual and consolidated reports: Destroy 5 years after termination of funded project. (2) Feeder reports and other data: Destroy after 1 year. b. Other offices: Destroy 3 years after termination of funded project.</p>

DRUG CONTROL FILES

These files relate to the control of legally manufactured drugs.

<u>File No.</u>	<u>Description</u>
630-01	<p><u>Drug Evaluation Files.</u> Documents pertaining to studies and technical reviews of abuse, production, and distribution of drugs for the development of drug control requirements. Included are surveys of rehabilitation facilities, staff position papers, copies of State and Federal programs, statistics on drug diversion, agenda of meetings with government and non-government officials, and related papers.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>
630-02	<p><u>Controlled Substances Theft/Loss Report.</u> Documents relating to reports of theft or loss of controlled substances, theft or loss of order forms, and reports of investigation.</p> <p><u>Disposition:</u> Destroy 5 years after resolving theft or loss.</p>
630-03	<p><u>Drug Schedule Files.</u> Documents relating to the establishment of criteria for categorizing drugs in various schedules; coordination with other government agencies for drug reviews; applications for exclusion of non-narcotic substances from a schedule; applications for exception of a stimulant or depressant compound from a schedule; approval or denial of exclusion or exception; drug scheduling petitions, transcriptions of drug hearings, and review decisions.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>
630-04	<p><u>Controlled Substances Reporting Files.</u> Reports accounting for stocks of narcotic controlled substances, excluding theft/loss reports. Included are reports from manufacturers and importers; reports of distributors and exporters; reports from manufacturers importing opium; reports of manufacturers importing medicinal coca leaves; reports from manufacturers importing special coca leaves; reports from manufacturers of bulk materials or dosage units; reports from packagers and labelers;</p>

File No. Description

reports from importers and exporters; reports from distributors; reports from manufacturers importing concentrate of poppy straw; reports of disposal and destruction of controlled substances; feeder reports; consolidated reports; and analyses.

Comp. Schedule No. 1:
Item 10.

Disposition: Destroy 5 years after receipt of report.

630-05

Registration Application Files. Documents pertaining to application by individuals who currently or propose to manufacture, distribute, or dispense controlled substances. Included are application forms for registration and reregistration; approval, denial, revocation, or suspension of registration; and delinquency notice of registration.

Disposition: a. Approved registration applications: Destroy 8 years after approval of application. b. Administrative coded registration applications (denial, revocation, suspension, etc): Transfer files to Federal records center 10 years after administrative coded action. *Destroy 55 years after administrative coded action.*

630-06

Import/Export Permit Files. Documents pertaining to applications to import or export controlled substances. Included are copies of applications for permit to import opium or coca leaves; permit to export controlled substances; and controlled import/export declaration.

Comp. Schedule No. 1:
Item 20.

Disposition: Destroy 8 years after approval for issuance of permit.

630-07

Controlled Substances Order Form Files. Documents relating to the issuance of order forms for the transfer of controlled substances; non-acceptance of order forms; return of unused order forms; cancellation or voiding of order forms; and alteration of order forms.

Disposition: Destroy 3 years after issuance of order form.

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File No. Description

630-08 Manufacture and Purchase Quota Files. Documents relating to estimates of controlled substances required for procurement, manufacture, stockpiling, and medical/scientific use. Included are reports furnished to the United Nations; and statistical returns on drug production, utilization, consumption, import, export, and seizure.

Comp. Schedule No. 1:
Items 23 and 27.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of annual reports required by international conventions or treaties; annual statistical summary of the manufacture and domestic and international trade in narcotics: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 8 years after fiscal year in which quota was established. b. Other offices: Destroy 3 years after fiscal year in which quota was established.

630-09 Registration Journal Voucher Files. Documents relating to receipt of fees from applicants for registration or reregistration of controlled substances, and refunds to applicants.

Disposition: Destroy 3 years after approval of issuance of permit.

630-10 Drug Identification Label Files. Drug labels and brochures which list the medical ingredients of drug/narcotic preparations that are manufactured or distributed by a specific company.

Disposition: Destroy when superseded or obsolete.

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ENFORCEMENT PROGRAM TRAINING FILES

These files relate to planning, conducting, supervising, and evaluating the DEA drug/narcotic enforcement program training.

<u>File No.</u>	<u>Description</u>
801-01	<p><u>Training Facility Requirement Files.</u> Documents related to determining requirements for training facilities to include requirements for acquisition, activation, retention, utilization, expansion, consolidation, inactivation, or disposition. Included are studies, justifications, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after approval of training facility requirements.</p>
801-02	<p><u>Training Operation Files.</u> Documents related to planning and conducting agent, police, intelligence, chemist, special field exercises, and other actual training operations. Included are exercise plans, observation and inspection reports, scenarios, critiques, map exercises, general training programs, technical training programs, final reports and comments on them, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 3 years after dicontinuance of training execise or operation, or when plans are superseded or become obsolete.</p>
801-03	<p><u>Training Evaluation Files.</u> Documents relating to inspections of the status and quality of individual training. Included are training inspection reports, reports of corrective action, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after conduct of evaluation.</p>
801-04	<p><u>School Planned Input Files.</u> Documents related to the planning, execution and revision of personnel inputs for school courses. Included are comprehensive statements of the training needs of each activity authorized to send students to DEA schools, schedules of schools and classes to accommodate planned inputs, allocation of school quotas to input activities, coordinating documents, and similar or related documents.</p>

<u>File No.</u>	<u>Description</u>
	<u>Disposition:</u> Destroy 3 years after receipt of input data.
801-05	<u>School Reporting Files.</u> Documents reflecting such information as the number of school enrollments, turnbacks, graduates, and failures; and number of personnel enrolled from other federal agencies. Included are forms, printouts, correspondence, and similar or related documents. <u>Disposition:</u> Destroy 2 years after date of report.
801-06	<u>Target Practice Files:</u> Documents indicating the time of firing with live ammunition, the area involved, firing safety measures, and similar matters. Included are forms, cards, correspondence, and similar or related documents. <u>Disposition.</u> Destroy 1 year after conduct of firing.
801-07	<u>Training Media Files.</u> Documents accumulated by activities engaged in training operations, particularly in the conduct of training. Included are training schedules, programs, lesson plans, and similar or related documents. <u>Disposition:</u> Destroy 1 year after conduct of training operation, except that lesson plans will be destroyed when superseded or obsolete.
801-08	<u>Instructor Information Files.</u> Documents accumulated to provide a locally available record of qualifications, experience, effectiveness, and comparable information on potential instructors, assigned instructors, and guest speakers. They are used in requesting assignment or employment of instructors, utilizing instructors, and determining their need for additional training. Included are instructor evaluation forms, qualification data, biographical sketches and similar or related documents. <u>Disposition:</u> Destroy 2 years after transfer or separation of the instructor.

ENFORCEMENT INDIVIDUAL TRAINING FILES

These files relate to the attendance and proficiency of individuals participating in various types of the DEA drug/narcotic training.

<u>File No.</u>	<u>Description</u>
810-01	<p><u>Individual Training Record Files.</u> Documents indicating attendance at various phases of training, evaluation of individual students, mandatory training progress, educational records and activities, test scores on training activities, and similar information concerning the progress and attendance of each individual participating in the DEA drug/narcotic training. Included are cards, card forms, and similar or related documents.</p> <p><u>Disposition:</u> Forward evaluation reports with the transfer of the individual. Destroy remaining records 5 years after completion of schooling or withdrawal of the student.</p>
810-02	<p><u>Proficiency Test Files.</u> Documents reflecting degree of proficiency in enforcement training such as weapons qualification. Included are proficiency tests and similar or related documents.</p> <p><u>Disposition:</u> Destroy after appropriate entry has been made on the qualification card or on the individual's training record.</p>

FOREIGN NATIONAL TRAINING FILES

These files relate to the DEA drug/narcotic enforcement training of personnel of friendly foreign nations.

<u>File No.</u>	<u>Description</u>
820-01	<p><u>Foreign Training Program Files.</u> Documents relating to the development of programs for the training of foreign nationals by DEA. Included are communications on training requirements with the foreign nation concerned, acceptances, cancellations, program guidance, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 3 years after termination of program training requirement.</p>
820-02	<p><u>Foreign Training Program Control Files.</u> Documents reflecting the category of training, number of spaces programmed, number and cost of training spaces allocated, and similar data for each country supported.</p> <p><u>Disposition:</u> Destroy 2 years after fiscal year in which training was programmed.</p>
820-03	<p><u>Training Assistance Files.</u> Documents related to training furnished foreign nations by DEA mobile training teams. Included are requests for training teams, comments of DEA Foreign Regions, acceptances, cancellations, foreign training effectiveness reports, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 3 years after fiscal year in which training was programmed.</p>
820-04	<p><u>Foreign National Personnel Files.</u> Documents related to selecting and processing foreign nationals for training in DEA facilities. Included are biographical data on the student, other foreign student data, copies of academic reports, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after fiscal year in which training was conducted.</p>
820-05	<p><u>Foreign Training Reporting Files.</u> Documents reflecting the status and progress of foreign nationals being trained by DEA personnel. Included are training reports and similar or related documents.</p>

File No. Description

Disposition: Destroy 3 years after fiscal year in which training was conducted.

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TRAINING AIDS FILES

These files relate to the construction of training devices, the preparation of graphic training aids, the status of training publications, the accomplishment of training film projects, and controls over the production and issuance of such materials.

<u>File No.</u>	<u>Description</u>
830-01	<p><u>Training Aids Program Files.</u> Documents relating to the formulation of annual programs for the development, production, and procurement of training aids. Included are graphic aids development programs, lists of film projects recommended for production, lists of approved film projects, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after training program is implemented. **Note: <i>Dispose of audio-visual records in accordance with instruction covering related audiovisual records described under 830-02.**</i></p>
830-02	<p><u>Training Aids Files.</u> Training aids developed or produced for local use or distribution. Included are graphic training aids, such as charts, diagrams, maps, and illustrations; locally produced training films; training devices specifications, photographs, transparencies, and other reproductions of the aforementioned material; instructional material such as instructional notes, illustrative problems, practical exercises, and checklists; and related correspondence and comparable material used in presentation of the subject and completion of training by students; and audiovisual records **(as described under General Records Schedule 21)** that depict specialized or unique training techniques/methods, and training of foreign law enforcement personnel in overseas areas.</p> <p>*Disposition: a. Office performing DEA-wide staff responsibility: (1) Documentation of training aids that illustrate unique enforcement-related training methods: (a) Audio-visual material: Permanent. Offer to NARS in accordance with General Records Schedule 21. (b) Other materials (textual records): Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15</p>

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years old. (2) Other training aids: Destroy when superseded or obsolete. b. Other offices: Destroy when superseded or obsolete.*

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Training Aid Work Order Files. Documents reflecting requests for construction or manufacture of training aids. Included are work orders, cost estimates and data, sample illustrations, photographs, clippings, correspondence, and similar or related documents.

Disposition: Destroy 1 year after completion or discontinuance of the related work.

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DEA EMPLOYEE TRAINING FILES

These files relate to education and training of DEA personnel in other federal agency schools, educational institutions and commercial organization, including on-the-job and off-the-job training, in order to meet special requirements essential to the performance of the mission of the activity to which they are assigned.

<u>File No.</u>	<u>Description</u>
860-01	<p><u>Training and Promotion Agreement Files.</u> Documents related to negotiating master training and promotion agreements with the Civil Service Commission in professional fields in which there is a current and continuing DEA-wide shortage of available personnel. Included are requests for establishment of training programs not currently authorized by regulations, agreements, program approvals, and similar or related documents.</p> <p><u>Disposition:</u> a. Office responsible for negotiating the agreement: Destroy when agreement is superseded or obsolete. b. Other Offices: Destroy 2 years after fiscal year in which training was programmed.</p>
860-02	<p><u>School Planning Files.</u> Documents pertaining to planned requirements for training, selection of schools and courses, arrangements for special noncatalog courses, program revisions, and related matters.</p> <p><u>Disposition:</u> Destroy 5 years after fiscal year in which training was programmed.</p>
860-03	<p><u>School Admission Files.</u> Documents relating to the admission of DEA personnel to schools and courses. Included are requests for admission, statements of acceptance, notifications of acceptance, completion statements, costs, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after completion of schooling, rejection of the individual or withdrawal of the student.</p>
860-04	<p><u>Training Reporting Files.</u> Documents reflecting the status of employee training in Government and non-Government facilities. Included are reports and related documents.</p> <p><u>Disposition:</u> Destroy 3 years after submission of report.</p>

<u>File No.</u>	<u>Description</u>
860-05	<p><u>Training Program Files.</u> Documents relating to the establishment, management, and evaluation of local training programs for DEA employees. Included are training plans, reviews of training requirements, apprentice training program registration with the Department of Labor, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after the fiscal year in which the training was programmed.</p>
860-06	<p><u>Contract Training Files.</u> Documents reflecting contract training of DEA employees in non-Government facilities. Included are requests for approval of the training, justification, obligated service agreements, recommendations for waivers, approvals, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 3 years after completion of training or upon expiration of obligated service agreement.</p>
860-07	<p><u>Record of Training Files.</u> Documents reflecting information pertinent to individual trainee participation in off-the-job training courses, completed record of training forms, and similar or related documents.</p> <p><u>Disposition:</u> Review annually and destroy that portion pertaining to individuals who are no longer employed by DEA.</p>
860-08	<p><u>Training Material Files.</u> Documents used in the training of DEA personnel through short on-site training courses and instructional conferences. Included are minutes and agenda of instructional conferences, course outlines, handouts, instruction sheets, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after superseded or obsolete.</p>

LABORATORY FILES

These files are accumulated from laboratory analysis and examination of drug and non-drug evidence.

<u>File No.</u>	<u>Description</u>
901-01	<p><u>Laboratory Case Files.</u> Documents related to the analysis of drug and non-drug evidence. Included are evidence accountability and disposition records chemists worksheets, ballistics reports, and related analytical documents.</p> <p><u>Disposition:</u> Transfer case files to Federal records center 2 years after close of investigative case. Destroy 10 years after close of investigative case.</p>
901-02	<p><u>Index Book Files.</u> Ledgers that are maintained for the purpose of recording evidence that is received in the laboratory.</p> <p><u>Disposition:</u> Transfer ledgers to Federal records center 2 years after the last recorded investigative case is closed. Destroy 10 years after the close of the last recorded investigative case.</p>
901-03	<p><u>Evidence Accountability Files.</u> This is a temporary file and consists of the original copies of the Evidence Accountability Record, Form DEA-307.</p> <p><u>Disposition:</u> Upon final disposal of the evidence, transfer the original copy of the Evidence Accountability Record to the Laboratory Case Files (901-01).</p>
901-04	<p><u>Laboratory Reporting Files.</u> Retained copies of recurring reports, and related correspondence, required by the DEA Laboratory Operations Manual.</p> <p><u>Disposition:</u> Destroy 3 years after date of report.</p>

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RESEARCH AND TECHNOLOGY STUDY, PROPOSAL
AND REQUIREMENTS FILES

These records are accumulated from processes involving the development of long range guidance for research and technology based on the DEA drug/narcotic requirements.

<u>File No.</u>	<u>Description</u>
930-01	<p><u>R&D Planning Files.</u> Documents that accumulate from the process of developing long range plans or forecasts in research and technology. They involve the establishment of schedules to achieve the DEA's long range research and technological objectives, the formulation of new concepts and requirements in research and technology for planning purposes, and similar matters. Included are research and technological long range plans or forecasts and documents contributing to the development of the plans or forecasts.</p> <p><u>Disposition:</u> Destroy 5 years after fiscal year in which plan was implemented.</p>
930-02	<p><u>DEA Scientific Advisory Committee Files.</u> Documents accumulated by the chairman of the DEA Scientific Advisory Committee concerning review and evaluation, appraisal of facilities, and study and recommendations on special problems of research and technology in DEA. Included are documents reflecting actions taken and matters considered by the panel, such as agenda of meetings, minutes of meetings, reports and recommendations distributed to panel members, and similar documents.</p> <p><u>Disposition:</u> a. *Office of DEA committee chairman or senior DEA representative:* (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 10 years old. (2) Other documents *(extra copies):* Destroy 5 years after meeting of the committee. b. Offices of committee members: Destroy 2 years after meeting of the committee.</p>
930-03	<p><u>Scientific Research Schedule Files.</u> Documents relating to cost projections for research projects, including information about program objectives in terms of projects, tasks, status and time phasing for research, and funds required.</p> <p><u>Disposition:</u> Destroy 2 years after completion or cancellation of project.</p>

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<u>File No.</u>	<u>Description</u>
930-04	<p><u>Unfunded Study Files.</u> Documents accumulated in providing information for use in, and in exchange for copies of studies conducted and funded by civilian concerns as part of their drug/narcotic oriented research programs. Included are study assistance requests for applications, coordinating actions, policy agreements governing the release of information, copies of studies and evaluations thereto, and related papers.</p> <p><u>Disposition:</u> Destroy 5 years after receipt of study.</p>
930-05	<p><u>Problem Statement Files.</u> Documents accumulated in providing information on individual research and technological problems and needs to industrial, academic, and non-profit research concerns. The information enables the concerns to determine how they can most effectively seek participation in DEA Narcotic Research Program, to prepare and submit unsolicited proposals directed toward solving the stated needs, and to orient their research and technological programs toward maintaining the capability for response to definite requirements for research or hardware technology. Included are problem statements, coordinating actions, communications from qualified concerns indicating whether or not they can assist in fulfilling the stated needs, and related papers, but not unsolicited proposals, or reports equivalent thereto resulting from the problem statement.</p> <p><u>Disposition:</u> Destroy 2 years after revision, cancellation, or expiration of the problem statement.</p>
930-06	<p><u>Information-To-Industry Briefing Files.</u> Documents created in briefing representatives of industrial, academic, and non-profit research concerns, on current drug/narcotic research problems and anticipated requirements. Included are briefing invitations and announcements, registration documents, listings of attendees, agendas, minutes of briefings or copies of presentations given, and related papers.</p> <p><u>Disposition:</u> Destroy 5 years after conduct of briefing.</p>

<u>File No.</u>	<u>Description</u>
930-07	<p><u>Unsolicited Proposal Files.</u> Documents relating to the receipt and administration of the evaluation of unsolicited disclosures, data, suggestions, ideas, plans, sketches, drawings, information, discoveries, models, samples, or comparable inventive proposals, but not proposals responding to requests for quotation or requests for bids for basic research or submitted by scientific personnel in line of duty or under the incentive awards program. Included are proposals from private individuals, memoranda of understanding, communications with submitters, evaluations, and related papers.</p> <p><u>Disposition:</u> Destroy 5 years after receipt of proposal.</p>

RESEARCH AND DEVELOPMENT CONTROL FILES

These records relate to the administration and control over drug/narcotic research projects, and the collection, dissemination, and exchange of scientific information.

<u>File No.</u>	<u>Description</u>
940-01	<p><u>Foreign Scientific Information Files.</u> Documents relating to relationships with foreign nations requesting the exchange and collection of scientific information. Included are papers relating to plans for cooperation, discussions, visits with foreign government officials, and comparable relationships.</p> <p><u>Disposition:</u> Destroy 5 years after approval of exchange of information.</p>
940-02	<p><u>Project Control Files.</u> Documents accumulating from the supervision, management, and administration of drug/narcotic research, development, test, and evaluation of projects. Included are documents relating to project appraisals; recommendations for project initiation, termination, or cancellations; review and analysis of specific research projects; and other papers relating to the projects. Arrange files by project serial number and nomenclature, or title.</p> <p><u>Disposition:</u> Destroy 5 years after completion, termination, or cancellation of the project.</p>
940-03	<p><u>Project Register Files.</u> Registers, listings, index cards, and related documents used to record information on projects and tasks, such as project or task number and title, project or task office, and contract number.</p> <p><u>Disposition:</u> Destroy 5 years after projects listed in register are completed.</p>
940-04	<p><u>Project Reporting Files.</u> Reports prepared by DEA containing information about individual research, development, test, and evaluation projects and project tasks, including the identification, time phasing, requirements and objectives, and other information about the project or task. Included are research and technology resumes, development plans, or similar reports.</p>

<u>File No.</u>	<u>Description</u>
	<u>Disposition:</u> Destroy on completion or cancellation of the project, or when no longer needed for reference.
940-05	<u>Project Case Files.</u> These consist of one copy of each preliminary, progress, or final technical report or publication; contract or grant agreement, with changes, modifications, or addendums thereto; test reports and comparable test data; feasibility, cost effectiveness, and state-of-the-art study reports from scientific journals which pertain to research projects supported by DEA. <u>Disposition:</u> Destroy 15 years after completion, termination, or cancellation of project.
940-06	<u>Technical Report Reference Files.</u> Documents maintained in organized library type collections to provide reference for DEA in-house research activity. They include one copy of each technical report or publication issued by the organization or received from its contractors and one copy of those reports of interest which are received from other sources. <u>Disposition:</u> Destroy when superseded or obsolete.
940-07	<u>Scientific and Raw Data Files.</u> Documents maintained and used by scientific personnel for research, development, and test of an item, a group of items, or within a field of scientific inquiry. Included are scientific notes; drafts of technical reports and articles; telemetering, oscilloscopes, and time and motion films and recordings; tapes; punched cards, sound recordings; and similar rough or raw data which is not made a part of the official project case file. <u>Disposition:</u> Destroy on incorporation or summarization of the data in a technical report or paper; on completion of the project, or when no longer needed for research within the field of inquiry.

COMMUNICATIONS REQUIREMENTS FILES

These files accumulate from the development and reporting of requirements for communications-electronic facilities and equipment, including COMSEC equipment.

<u>File No.</u>	<u>Description</u>
970-01	<p><u>Communication Representation Files.</u> Documents relating to representation on, and recommendations to other federal agencies, including implementation of decisions on communications, electronic policies, radio frequency allocation, call signs, radio interference, and radio propagation matters.</p> <p><u>Disposition:</u> Destroy 5 years after approval action on communication requirement.</p>
970-02	<p><u>Telecommunication Facility Project Files.</u> Documents relating to the preparation, validation, and development of projects for the design, construction, and installation of telecommunications services, equipment, facilities, networks, and systems. Included are project letters, bills of material, maps, drawings, specifications, installation data, completion reports, installed communication equipment property cards, and related papers.</p> <p><u>Disposition:</u> a. Office performing DEA-wide responsibility: Destroy 2 years after disapproval of the requirement or termination of the project. b. Other offices: Destroy 1 year after disapproval of the requirement or 1 year after discontinuation of the installation or facility.</p>
970-03	<p><u>Communication Facility Lease Request Files.</u> Documents relating to requests for providing, rearranging, and removing communication circuits, equipment, and services leased from commercial companies to meet DEA communications requirements. Included are requests for leased facility forms, justification data, and related papers.</p> <p><u>Disposition:</u> a. Office responsible for final approval: Destroy 10 years after termination of the lease. b. Other offices: Destroy 2 years after termination of the lease.</p>

<u>File No.</u>	<u>Description</u>
970-04	<p><u>Radio Frequency Files.</u> Documents relating to the authorization, allocation, assignment, correlation, and use of radio frequencies and call signs.</p> <p><u>Disposition:</u> a. Correspondence relating to concurrence of the Federal Communications Commission: Destroy after 1 year. b. Other documents: Destroy on supersession, cancellation or discontinuance of the assignment of use.</p>
970-05	<p><u>Communication Operation Instruction Files.</u> Documents containing information and data on codes, radio frequency assignments, call signs, and lists of holders of code systems.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>

COMMUNICATIONS SERVICES FILES

These files accumulate from the administration, use, and maintenance of communications facilities and equipment.

<u>File No.</u>	<u>Description</u>
980-01	<p><u>Telephone Service Work Order Files.</u> Documents used to request and authorize telephone service on Government-owned systems. Included are requests for telephone service, work orders, and related papers.</p> <p><u>Disposition:</u> Destroy 1 year after completion of work.</p>
980-02	<p><u>Telephone Toll Call Reporting Files.</u> Reports of all authorized official prepaid outgoing, incoming collect, and toll credit card calls.</p> <p><u>Disposition:</u> Destroy after 3 months, except when discrepancies between these records and toll tickets are found, in which case the files will be held until corrective action has been completed.</p>
980-03	<p><u>Communications Equipment Record Files.</u> Documents relating to the modification, testing, and comparable action pertaining to individual items of equipment used in communications systems.</p> <p><u>Disposition:</u> Destroy on disposal of the related equipment.</p>

COMMUNICATIONS CENTER OPERATIONS FILES

These files accumulate in communications center from the operation of teletypewriter, facsimile, data transmission services, and similar communications services.

<u>File No.</u>	<u>Description</u>
990-01	<p><u>Communications Center Operation Files.</u> Documents relating to the operation of communications centers and concerning the transmission and receipt of electrically transmitted messages. Included are message registers, supervisory logs, performance reports, interference reports, maintenance work orders, frequency logs, and similar documents, but exclusive of other files described in this schedule.</p> <p><u>Disposition:</u> Destroy 1 year after transmission or receipt of message.</p>
990-02	<p><u>Communications Center Message Files.</u> Copies of incoming and original authenticated copies of outgoing messages maintained in communications centers.</p> <p><u>Disposition:</u> Destroy 1 year after transmission or receipt of message. Earlier disposal is authorized.</p>
990-03	<p><u>Monitor Reel Tape Files.</u> Tapes providing a temporary record of transmissions for the purpose of accomplishing tracer actions and making re-transmissions.</p> <p><u>Disposition:</u> Withdraw and destroy 30 days after transmission of message.</p>
990-04	<p><u>Service Message Files.</u> Copies of incoming and outgoing service messages relating to traffic handling or operational irregularities. Service messages correcting transmissions are filed with the related message (file no. 990-02).</p> <p><u>Disposition:</u> Withdraw and destroy 30 days after receipt of service message.</p>
990-05	<p><u>Operator's Number Sheet Files.</u> Documents indicating the numbers of messages handled on a circuit/channel or piece of communications equipment.</p> <p><u>Disposition:</u> Withdraw and destroy 30 days after assignment of number.</p>

<u>File No.</u>	<u>Description</u>
990-06	<u>Multiple Address and Book Message Processing Files.</u> Documents relating to the processing of multiple and book messages. <u>Disposition:</u> Withdraw and destroy 30 days after message is processed.

MEDICAL PROGRAM FILES

These files relate to physical profiling for DEA personnel and the administration of the DEA Medical Program.

<u>File No.</u>	<u>Description</u>
1001-01	<u>Medical Review Files.</u> Documents relating to medical fitness for appointment, retention in service, promotion, special assignment, and separation. Included are extracts of medical examinations and similar or related documents. <u>Disposition:</u> Destroy 3 years after review.
1001-02	<u>Health Record Files.</u> Health records of criminal investigators and chemists. <u>Disposition:</u> Disposition is governed by DEA Administrative Manual.

SAFETY PROGRAM FILES

These files result from a program to prevent or reduce personal injury, occupational diseases, and property damage from accidental causes.

<u>File No.</u>	<u>Description</u>
1030-01	<p><u>Safety Program Files.</u> Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures; survey reports, safety inspection reports, minutes of safety meetings, and notification of safe and unsafe practices. Included are changes made as a result of the findings of the surveys or inspections, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after survey.</p>
1030-02	<p><u>Safety Hazard Files.</u> Documents relating to technical review, advice, and guidance for identifying and eliminating or controlling safety hazards. Included are hazard reports and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after elimination or completion of measures to control safety hazards.</p>
1030-03	<p><u>Safety Awareness Files.</u> Documents related to developing or selecting materials, such as posters, placards, cartoons, literature, or other means of making personnel aware of safety hazards. Included are copies of posters, placards, and cartoons; newspaper items; photographs; letters; and similar or related documents.</p> <p><u>Disposition:</u> Destroy 2 years after publication of material.</p>
1030-04	<p><u>Safety Award Files.</u> Documents reflecting the consideration and selection of activities and individuals for recognition of outstanding effort and achievement in the prevention of accidents. Included are approved requests, orders, certificates, citations, disapproved requests, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 5 years after presentation of award.</p>

ACCIDENT FILES

These files relate to aircraft accidents and incidents, motor vehicle accidents, and marine accidents; fire and explosions; harmful chemical exposures; and other accidents arising from equipment and personnel failures.

<u>File No.</u>	<u>Description</u>
1040-01	<p><u>Accident Case Files.</u> Documents relating to individual accidents. Included are reports of accidents, and investigations thereof, involving aircraft, motor vehicles, fires, damage to DEA property, injury to or death of personnel, and similar or related documents.</p> <p><u>Disposition:</u> a. Office performing DEA-wide staff responsibility for safety function: Destroy 10 years after close of accident case. b. Offices initiating reports and investigations: Destroy 5 years after close of accident case.</p>
1040-02	<p><u>Accident Experience Files.</u> Documents related to the statistical reporting of accidents and summarizing and analyzing accident experience and trends involving aircraft, motor vehicles, fires, personal injury, damage to property and other accidents.</p> <p><u>Disposition:</u> Destroy 5 years after completion of data.</p>

PROPERTY MANAGEMENT FILES

These files accumulate as a result of controlling and accounting for supplies and equipment by property officers and other responsible individuals.

<u>File No.</u>	<u>Description</u>
1101-01	<p><u>Property Receipt Files.</u> Cards, lists, hand receipts (Form DEA-16), or comparable documents showing accountable property charged to a DEA activity.</p> <p><u>Disposition:</u> Destroy or turn in on complete accounting for property, or when superseded by a new receipt or listing.</p>
1101-02	<p><u>Equipment Record Files.</u> Documents used, when required to record individual and cumulative repairs (Form DEA-16B), adjustments, and usage of items of equipment.</p> <p><u>Disposition:</u> Destroy 2 years after equipment leaves custody of DEA.</p>
1101-03	<p><u>Property Accountability Transfer Files.</u> Documents attesting the transfer of property accountability from one accountable officer to another. Included are certificates of transfer, inventory lists, and related documents.</p> <p><u>Disposition:</u> Destroy 2 years after satisfactory transfer of property.</p>
1101-04	<p><u>Equipment Loan Files.</u> Documents reflecting loan of equipment to or from other Government agencies.</p> <p><u>Disposition:</u> Destroy 2 years after turn-in, or other satisfactory accounting for items involved.</p>
1101-05	<p><u>Report of Survey Files.</u> Reports that describe the circumstances, and recommended action, concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.</p> <p><u>Disposition:</u> a. Office performing final review authority: (1) Reports involving pecuniary liability: Destroy 10 years after completion of final action. (2) Other reports: Destroy 3 years after</p>

<u>File No.</u>	<u>Description</u>
	completion of final action. b. Other offices: Destroy 3 years after completion of final action.
1101-06	<u>Reports of Survey Register Files.</u> Registers and related documents maintained to control reports of survey. <u>Disposition:</u> Destroy 10 years after last recorded survey.
1101-07	<u>Property Officer Designation Files.</u> Documents reflecting the designation of property officers. Included are letters of appointment and revocation. <u>Disposition:</u> Destroy 2 years after termination of appointment.
1101-08	<u>Packaging and Handling Deficiency Reporting Files.</u> Reports submitted by receiving activities concerning deficiencies in the preservation, packing, marking, or handling of supplies, equipment, or materials. Included are reports of packing and handling deficiencies, reports of corrective action, and related papers. <u>Disposition:</u> Destroy 1 year after submission of report.
1101-09	<u>Excess Property Reporting Files.</u> Reports used to disseminate information concerning availability of excess property. Included are reports of excess personal property, listings, cards forms, and similar documents. <u>Disposition:</u> Destroy 1 year after date of report.
1101-10	<u>Equipment and Supply Requisition Files.</u> Documents relating to requests for supplies and equipment (expendable and non-expendable), rentals of equipment with supporting correspondence, and copies of requisitions. <u>Disposition:</u> a. Requests for expendable items: Destroy 1 year after completion of action. Earlier disposal is authorized. b. Requests for non-expendable items. Destroy 2 years after completion of action.

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FACILITIES MANAGEMENT FILES

These files result from control and utilization of facilities that are used or occupied by DEA activities.

<u>File No.</u>	<u>Description</u>
1110-01	<p><u>Facilities Utilization Files.</u> Documents relating to the control and allocation of office space. Included are space allocations, space reports, requests for additional space or changes in space locations, space release, surveys of space requirements, office layouts, and similar documents.</p> <p><u>Disposition:</u> Facilities office: Destroy 5 years after approval of allocation or space requirement. Other offices: Destroy 3 years after completion of action. Earlier disposal is authorized.</p>
1110-02	<p><u>Floor Plan Files.</u> Reference copies of floor plans for DEA activities.</p> <p><u>Disposition:</u> Facilities office: Destroy when superseded or obsolete.</p>
1110-03	<p><u>Facilities Services Files.</u> Documents related to custodial services required by an activity; installation of telephones; changes to telephone directories; issuance of keys and locks; modification, repair, or change of heating, lighting, ventilation, cooling, electrical, and plumbing systems; painting, partitioning, repairing, or other aspects of office landscaping; and similar documents.</p> <p><u>Disposition:</u> Destroy 2 years after completion of work or cancellation of request.</p>

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MOTOR VEHICLE MANAGEMENT FILES

These files relate to the control and management of DEA motor vehicles.

<u>File No.</u>	<u>Description</u>
1120-01	<p><u>Vehicle Authorization Files.</u> Requests for procurement or distribution of vehicles indicating requirements, justifications, and approvals or disapprovals thereof.</p> <p><u>Disposition:</u> Destroy 2 years after completion of procurement or distribution of vehicles.</p>
1120-02	<p><u>Vehicle Control Files.</u> Documents utilized to control the location, custody, assignment, seizure status and other data relative to vehicles.</p> <p><u>Disposition:</u> Destroy 2 years **after** vehicle leaves custody of DEA.</p>
1120-03	<p><u>Vehicle Identification Plate Files.</u> Documents accumulated in connection with requesting, transferring, issuing, and disposing of United States or local identification plates or license plates.</p> <p><u>Disposition:</u> Destroy 5 years after disposal of plates.</p>
1120-04	<p><u>Vehicle Operating Cost and Performance Reporting Files.</u> Feeder and summary reports prepared therefrom reflecting cost and performance data relative to vehicle operations. Included are reports of motor vehicle data, vehicle deficiency reports, requests for milage expense and vehcile status etc.</p> <p><u>Disposition:</u> a. Summary reports: Destroy 5 years after compilation of data. b. Other reports: Destroy 3 years after compilation of data.</p>
1120-05	<p><u>Vehicle Disposition Files.</u> Requests submitted to Department of Justice or General Services Administration for transfer of excess vehicles or disposal of vehicles that meet or exceed the vehicle replacement standards.</p> <p><u>Disposition:</u> Destroy 5 years after the vehicle leaves custody of DEA.</p>

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LIBRARY FILES

These files relate to the operation of the DEA library.

<u>File No.</u>	<u>Description</u>
1130-01	<p><u>Library Voucher Files.</u> Vouchers, supporting papers, and voucher register and inventory balance record of books.</p> <p><u>Disposition:</u> Destroy 2 years after receipt or accountability of books.</p>
1130-02	<p><u>Shelf List Card Files.</u> Cards indicating all books in the library arranged in the order in which the books stand on the shelves, and reflecting item identification by classification, title, author, voucher number (additions or reductions), and other information necessary to facilitate the processes of accountability.</p> <p><u>Disposition:</u> Destroy after all items indicated thereon have been dropped from accountability records.</p>
1130-03	<p><u>Library Catalog Files.</u> Cards enumerating authors, titles, cross-references, and subjects arranged in alphabetical order and indicating descriptive details including location of books on the shelves. Upon transfer of the books to another library, the current library card catalog files will be included in the transfer, if possible.</p> <p><u>Disposition:</u> Destroy when related books have been permanently removed from the library collection.</p>

PERSONNEL MOVEMENT AND TRAVEL FILES

These files relate to the control, administration, and operations involved in the movement of DEA employees and their dependents.

<u>File No.</u>	<u>Description</u>
1140-01	<p><u>Travel Request Files.</u> Documents pertaining to requests for orders placing DEA employees on temporary duty, notices of arrival and departure, approval of issuance of temporary duty orders, placement of personnel on temporary duty, and similar matters.</p> <p><u>Disposition:</u> Destroy 3 years after fiscal year in which travel was performed.</p>
1140-02	<p><u>Conference Travel Files.</u> Documents maintained for the purpose of planning, reviewing, and furnishing information in connection with travel of authorized personnel to attend meetings of technical, scientific, professional, and similar organizations.</p> <p><u>Disposition:</u> Destroy 3 years after fiscal year in which travel was performed.</p>
1140-03	<p><u>Passport Files.</u> Documents relating to passports and visas for DEA employees including their dependents. Included are requests for passports, transmittal letters, receipts for passports, control cards, and related documents.</p> <p><u>Disposition:</u> Destroy 3 years after issuance of passport or visa.</p>

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REPRODUCTION SERVICES FILES

These files relate to the application of printing, reproduction, binding operations, and equipment; to contract printing; and similar matters.

<u>File No.</u>	<u>Description</u>
1150-01	<p><u>Printing Equipment Control Files.</u> Documents related to granting authority to issue, purchase, rent, exchange, transfer, or dispose of printing, binding, and related auxiliary equipment. Included are requests for approval of and justification for printing and reproduction equipment, Department of Justice and Government Printing Office approval, authorizations for excess equipment to be turned into supply channels for disposal, and related papers.</p> <p><u>Disposition:</u> Destroy 3 years after disposal of equipment or disapproval of acquisition request.</p>
1150-02	<p><u>Printing Report Files.</u> Documents reflecting information on printing operations and equipment, such as individual and cumulative printing jobs, inventory of printing equipment, contract printing costs, and similar data required by the Joint Congressional Committee on Printing. Included are inventory reports of printing and stored equipment, contract printing reports and expenditure statements, comparable reports, and related papers.</p> <p><u>Disposition:</u> Destroy 5 years after submission of report.</p>
1150-03	<p><u>Reproduction Equipment Information Files.</u> Documents accumulated by offices involved in printing and reproduction in keeping abreast of new developments, improved processes, and new principles in printing, binding, and related auxiliary equipment. Included are correspondence with other Federal agencies, or private concerns; technical information and related papers.</p> <p><u>Disposition:</u> Destroy on supersession or obsolence of material.</p>
1150-04	<p><u>Printing Job Jacket File.</u> Work orders, production and cost records, related processing data and samples of each printing job produced.</p>

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<u>File No.</u>	<u>Description</u>
1150-05	<p><u>Disposition:</u> Destroy 3 years after fiscal year in which printing work was completed.</p> <p><u>Illustration and Drawing Files.</u> Blueprints, drawings, specifications, and artwork used in preparing illustrations for publications.</p> <p><u>Disposition:</u> Destroy on printing of the publication except that artwork which has continuing usefulness will be retained until no longer needed.</p>
1150-06	<p><u>Photographic Negative Files.</u> Original basic photographic negatives of material used in preparation of illustrations for publications and duplicates of photographic negatives of artwork used for illustrating publications.</p> <p><u>*Disposition:</u> Maintain and dispose of audio-visual records in accordance with the standards of General Records Schedule 21.*</p>

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PUBLICATIONS SUPPLY FILES

These files are maintained at activities engaged in the receipt, storage, and issue of publications or blank forms.

<u>File No.</u>	<u>Description</u>
1160-01	<p><u>Publication Requisition Files.</u> Documents used in requisitioning nonreimbursable publications, and accountable and nonaccountable blank forms. Included are requisitions, shipping orders, transfer requests, and similar papers.</p> <p><u>Disposition:</u> Destroy 3 months after completion of action, earlier disposal is authorized.</p>
1160-02	<p><u>Status of Publication Files.</u> Forms reflecting the status of publications and blank forms that provide information which is used to determine required supply action.</p> <p><u>Disposition:</u> Destroy 1 year after last entry on form status.</p>
1160-03	<p><u>Initial Distribution Files.</u> Distribution sheets, delivery instructions, correspondence, and related papers pertaining to the distribution of DEA publications. Included are forms reflecting the quantity and type of publications and blank forms required for automatic distribution.</p> <p><u>Disposition:</u> Documents pertaining to classified publications: a. Destroy 2 years after distribution of publication. b. Destroy superseded forms when replaced by current forms. c. Other documents: Destroy 3 months after distribution of publication. Earlier disposal is authorized.</p>
1160-04	<p><u>Accountable Form Receipt and Issue Files.</u> Documents reflecting the receipt or issue of accountable blank forms. Included are receipt forms, listings, and registers.</p> <p><u>Disposition:</u> Destroy 2 years after receipt or issuance of form.</p>
1160-05	<p><u>Accountable Form Authorization Files.</u> Signature cards identifying individuals authorized to receive accountable forms.</p>

<u>File No.</u>	<u>Description</u>
	<u>Disposition:</u> Destroy upon withdrawal of the authorization.
1160-06	<u>Publication Stock Record Card Files.</u> Cards reflecting the status of supply of publications and blank forms, including data as to stock levels, quantities on hand, and quantities received or issued.
	<u>Disposition:</u> Destroy when card is filled or on supersession, rescission, or obsolescence of form or publication.
1160-07	<u>Publication History and Stock Usage Files.</u> Forms reflecting the history and usage for each item of stock.
	<u>Disposition:</u> Destroy when form or publication is superseded or obsolete.

MAIL SERVICES FILES

These files relate to the mail functions performed by DEA activities.

<u>File No.</u>	<u>Description</u>
1170-01	<p><u>Mail Loss and Shortages Files.</u> Documents relating to the recording, reporting, and investigating of losses or destruction of mail including delay, accident, occurrence, or deprecation (theft or rifling) involving mail. Included are reports containing facts surrounding the loss or shortage, investigation progress reports, final investigation reports, records or postal claims, records of lost or rifled mail, and related papers.</p> <p><u>Disposition:</u> Destroy 3 years after completion of the investigation.</p>
1170-02	<p><u>Mail Routing Guide Files.</u> Documents prepared to facilitate mail delivery, reduce routine errors, and to aid in training new routing clerks. Included are cards, manuals, indexes, and similar papers used as mail routing guides.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete, except that background papers relating to the guide will be destroyed 2 years after publication of guide.</p>
1170-03	<p><u>Accountable Mail Receipt Files.</u> Documents reflecting the receipt and dispatch of registered, certified, and numbered insured mail.</p> <p><u>Disposition:</u> Destroy 2 years after receipt or dispatch of mail.</p>
1170-04	<p><u>Mail Control Files.</u> Documents relating to the control of incoming and outgoing mail. Included are routing and suspense slips, delivery receipts, logs of incoming and outgoing mail, records of messenger trips, and similar papers. The records of delivery of accountable mail, when filed with mail control files, will be disposed of as accountable mail receipt files. Receipts for classified documents, when filed with mail control files, will be disposed of as classified document receipt files. Return receipt requested postal forms accumulated by DEA</p>

<u>File No.</u>	<u>Description</u>
	<p>purchasing activities as the result of the transmittal of either contractual documents or correspondence directing specific procurement actions by registered mail, will be considered as record segments of the contract to which they relate. Such receipt forms will be filed with related contracts and retained in accordance with disposition instructions for contract files.</p> <p><u>Disposition:</u> Destroy 1 year after receipt or dispatch of mail.</p>
1170-05	<p><u>Mail Hours of Collecting Files.</u> Documents indicating pick-up and delivery of mail to offices.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete.</p>
1170-06	<p><u>Mail Production Files.</u> Production reports of mail handled and work performed.</p> <p><u>Disposition:</u> Destroy 2 years after compilation of data.</p>

ADP DOCUMENTATION FILES

These files consist of those records required for servicing machine-readable records and for converting them from encoded data to usable information. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. The disposition of documentation files is linked to disposition of the machine-readable files serviced.

<u>File No.</u>	<u>Description</u>
1201-01	<p><u>Data Systems Specifications Files.</u> Documents containing definitions of the system including functional requirements, data requirements, system/sub-system specifications request for the system, and authorizing directives.</p> <p><u>Disposition:</u> a. Disapproved proposed system: Destroy one year after final action. b. Approved system for which all related magnetic data files are authorized for disposal: Destroy one year after termination of the system. c. An approved system for which any related magnetic data file is not authorized for disposal: Retain with related magnetic data file.</p>
1201-02	<p><u>System Test Documentation Files.</u> Documents consisting of test plans, test data, and test analysis reports.</p> <p><u>Disposition:</u> a. Approved system: Destroy one year after discontinuance of the system. b. Disapproved proposed system: Destroy one year after final action.</p>
1201-03	<p><u>File Specifications Files.</u> Documents consisting of definitions of the logical and physical characteristics of each record element or item of data in the file, including names and tags or labels; relative position, form, format, and size of data elements (record layout); specification of all codes used, cross reference code manual; security and privacy restrictions; integrity and validity characteristics; update and access conditions; and recording media and volume.</p> <p><u>Disposition:</u> a. A system for which all related magnetic data files are authorized for disposal:</p>

<u>File No.</u>	<u>Description</u>
	Destroy with final related magnetic data file. b. A system for which any related magnetic data file is not authorized for disposal: Retain with related magnetic data files.
1201-04	<u>User Guide Files.</u> Documents consisting of information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability of when and how to use it; and serves for the preparation of input data and the interpretation of results. <u>Disposition:</u> Handbooks, guides to data availability, and procedures for querying files: Retain with data systems specifications.
1201-05	<u>Output Specifications Files.</u> Documents consisting of detailed descriptions of products of the system that are to be used outside the computer center. <u>Disposition:</u> Listings of each type of output by title and tag, format specifications, selection criteria volume and frequency, media, graphic displays and symbols, security and privacy conditions and disposition of output: Destroy three years after related report is discontinued.
1201-06	<u>ADP Report Files.</u> Documents printed in final report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed. <u>Disposition:</u> Systems which require retention of related data: Retain one copy with related file specifications.
1201-07	<u>Information Retrieval Routine Files.</u> Documents related to a series of machine instructions designed to retrieve information from specific data systems. <u>Disposition:</u> a. General purpose programs: Destroy when no longer needed. b. Special purpose programs for data files for which disposal is authorized: Destroy with related data files. c. Special purpose programs for data files for which disposal is not authorized: Retain with related data file.

These are machine-readable files, aside from master files, which comprise most of the life cycle of computerized records. Processing files, from work files and raw data input files to publication files and security backup files, are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they are generally not intended for long term retention.

<u>File No.</u>	<u>Description</u>
1210-01	<p><u>ADP Work Files.</u> Temporary computer sensible¹ media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges.</p> <p><u>Disposition:</u> New media, or media not included in a library control system, or files whose retention dates have expired: Available for immediate use or reuse.</p>
1210-02	<p><u>ADP Test Files.</u> Computer sensible¹ media used in testing a proposed program.</p> <p><u>Disposition:</u> a. Media used by programmers for individual run testing and not under library control: Destroy after system has been accepted or discontinued. b. System debugging test data: Destroy when related program is discontinued. c. System acceptance test data: Destroy when related program is discontinued.</p>
1210-03	<p><u>Initial Data Abstract Files.</u> Computer sensible¹ media containing data abstracted from source documents or other media and entered into the system for the first time.</p> <p><u>Disposition:</u> a. Data used for updating and required to support reconstruction of master file: Destroy after third update cycle.² b. Data not required to support reconstruction of master file and/or used as input for a one-time study, survey or experiment: Destroy in accordance with DEA computer systems documentation. c. Media officially designated to replace or serve as the basic source data in lieu of the hard copy or other input source document: Destroy in accordance with instructions documenting the same process, transaction, or case.</p>

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Description

- 1210-04 Initial Data Reference Files. Computer sensible¹ media files created by another agency.
- Disposition: Media not a record of the receiving agency:² Destroy as reference material.
- 1210-05 Initial Data Card/Tape Abstract Files. Punched cards or paper tape containing data abstracted from source documents and used for conversion to magnetic media or processing on electric accounting machine equipment created after January 1, 1970.
- Disposition: a. Data retained by ADP operational elements as backup to magnetic media: Destroy after third update of related magnetic file. b. Electric accounting machine output listings and reports: Destroy after 180 days if used in processing without being converted to magnetic media. c. Data converted to magnetic media: Destroy after verification of data on related magnetic media.
- 1210-06 Initial Data Source Files. Punched cards that contain original entry data with film or written inserts.
- Disposition: Source documents: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transactions, or case.
- 1210-07 Intermediate Data Input/Output Files. Computer sensible¹ media containing output within or from one run to a subsequent run that manipulates, sorts, and or moves data through the system, includes check-point, edit, correction, reject list, unmatched data eliminating error, and rerun files.
- Disposition: a. Media used in an updated system: Destroy after subsequent data files that contain the accepted detail data have been created and proven satisfactory. b. Media used in a one-time study or survey: Destroy after master date file has been proven satisfactory.
- 1210-08 Valid Transaction Files. Computer sensible¹ media containing valid file of items used with a master data input file for creation of a master data output file.

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Disposition: a. Media consisting of valid transactions after all outstanding items are liquidated from current status files: Destroy after third update cycle.² b. Media consisting of valid transactions after the cumulative final master file is prepared and determined to be successful, and there is no necessity for statistical analysis: Destroy after third update cycle.^{2***}

1210-09

Information Retrieval System Master Reference Files. Computer sensible¹ media containing data created by the merging of prior master file with valid transactions data to create a new master file.

Disposition: Cumulative index to scientific and technical publications, and bibliographic and other non-record material: Destroy after third update cycle.^{2***}

1210-10

Security Backup Files. Computer sensible¹ media that is identical in format to the master file and retained as security in case the master file is damaged or inadvertently erased.

Disposition: a. Updated media: Destroy after third update cycle.² b. A one-time study or survey: Destroy in accordance with standards for disposal of corresponding master file.

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NOTES

1. The term "computer sensible" is used in order to include media which are not magnetic storage devices. Computer cards, for instance, are still widely used. Technological advances forecast computer sensible non-magnetic storage devices likely not to be erasable and reusable.
2. "Dispose of after third update cycle" indicates that the first generation data may be disposed of after the fourth successful update.
3. Records received from another agency become the records of the receiving agency under either of two conditions:
 - a) when the data are merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; or
 - b) when the data are provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.

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ADP MASTER FILES

These files constitute the definitive state of a data file in a system at a given time. Such files are partly categorized on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and the frequency with which its machine-readable output should be subject to archival appraisal.

<u>File No.</u>	<u>Description</u>
1220-01	<p><u>Housekeeping System Master Files.</u> Computer sensible¹ media containing data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration.</p> <p><u>Disposition:</u> a. Media not required for GAO site audit: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case. b. Media required for GAO site audit: Destroy in accordance with functional guidelines provided by GAO.</p>
1220-03	<p><u>Re-Formatted Files.</u> Computer sensible¹ media containing essentially duplicate data from the master data file but which is created for use with other computer hardware.</p> <p><u>Disposition:</u> a. Media created for the specific purpose of information interchange: Destroy as provided for related master data file. b. Data of specific application for agency computer hardware systems: Destroy when determination is made that such format is unnecessary.</p>

<u>File No.</u>	<u>Description</u>
1220-06	<p><u>Defendant Data (Statistics) System.</u> Machine-readable records containing data relating to persons arrested for drug law violations by Federal law enforcement officials. Provides statistical information on drug trafficking and data to support the evaluation of law enforcement practices and procedures. Covers 1971 to the present.</p> <p><u>Disposition:</u> Destroy 10 years after system is discontinued.</p>
1220-07	<p><u>Drug Abusers Reporting System.</u> Machine-readable records used to provide a data base for furnishing information for research into drug abuse and for law enforcement purposes. Contains data relating to persons arrested for any crime whom the arresting officer suspects as being addicted to narcotics or chronically abusing narcotics. Covers 1970 to the present.</p> <p><u>Disposition:</u> Destroy 10 years after system is discontinued.</p>
1220-08	<p><u>Ballistics Intelligence Tables System.</u> Machine-readable records which provide drug intelligence for law enforcement purposes. Contains records of tool mark and chemical analysis of licitly and illicitly made drug tablets. Covers 1970 to the present.</p> <p><u>Disposition:</u> Destroy 10 years after system is discontinued.</p>
1220-09	<p><u>Controlled Substances Act Registration Records (CSA).</u> Machine-readable records containing data on individuals by name; physicians and related practitioners, dentists, veterinarians, persons conducting research with controlled substances; distributors, manufacturers, exporters, and importers of controlled substances, and pharmacies. Provides a data base of all handlers required to register under the Comprehensive Drug Abuse Prevention and Control Act of 1970. Covers 1971 to the present.</p> <p><u>Disposition:</u> Destroy 10 years after system is discontinued.</p>

<u>File No.</u>	<u>Description</u>
1220-10	<p><u>Automated Records and Consumated Orders System/ Diversion Analysis and Detection System (ARCOS/DADS)</u>. Machine-readable records under the Comprehensive Drug Abuse Prevention and Control Act of 1970. Used to provide statistics necessary to make estimates of narcotic substances to be manufactured for medical and scientific needs of the United States, legal exports, and maintenance of reserves. Also produces various reports that indicate suspected diversion of drugs to illegal channels. Covers 1975 to the present.</p> <p><u>Disposition:</u> Destroy 10 years after system is discontinued.</p>
1220-11	<p><u>Narcotics and Dangerous Drugs Information System (NADDIS)</u>. Machine-readable records which enable DEA to carry out its assigned law enforcement and regulatory functions to fulfill United States obligations under the Single Convention on Narcotic Drugs. This system is composed of records on persons, business organizations, ships or vessels, and certain airfields that have been identified in DEA investigative reports. Covers 1972 to the present.</p> <p><u>Disposition:</u> Destroy 10 years after system is discontinued.</p>
1220-12	<p><u>System to Retrieve Information from Drug Evidence (STRIDE)</u>. Machine-readable records containing information about drug evidence analyzed in DEA laboratories in order to determine trends of drug abuse and trafficking by time and place, to warn of new drugs being abused, to identify common sources of illegal drugs, to warn of illicit distribution of licit drugs, to supply data on the availability of drugs, and to provide drug removal and management statistics. Contains information such as drug identification, purity, weight, secondary ingredients, color, texture, etc. Covers 1973 to present.</p> <p><u>Disposition:</u> Destroy 10 years after system is discontinued.</p>

NOTES

1. The term "computer sensible" is used in order to include media which are not magnetic storage devices. Computer cards, for instance, are still widely used. Technological advances forecast computer sensible non-magnetic storage devices likely not to be erasable and reusable.
2. "Dispose of after third update cycle" indicates that the first generation data may be disposed of after the fourth successful update.
3. Records received from another agency become the records of the receiving agency under either of two conditions:
 - a) when the data are merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; or
 - b) when the data are provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.

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FORMS MANAGEMENT FILES

These files relate to the planning and execution of procedures to standardize, design, construct, and control the use, numbering, and distribution of forms.

<u>File No.</u>	<u>Description</u>
1301-01	<p><u>Forms Management Reporting Files.</u> Documents relating to reports on progress in forms management. Included are reports, worksheets, and correspondence directly related to the reports.</p> <p><u>Disposition:</u> Destroy 5 years after completion of requirement.</p>
1301-02	<p><u>Forms Numerical Files (Internal).</u> Documents accumulating in offices having authority to approve forms and resulting from the consideration, approval, control during existence, and revision or rescission of specific forms. Included are requests for approval of forms, justifications, coordination papers, instructions governing use of the form, and a copy of each edition of the form.</p> <p><u>Disposition:</u> Destroy 5 years after discontinuance of the form.</p>
1301-03	<p><u>Forms Numerical Files (External).</u> Documents relating to forms used within the jurisdictional area of the forms management office but approved by other agencies or offices. Included are copies of forms, instructions for use, and coordination papers.</p> <p><u>Disposition.</u> Destroy 1 year after discontinuance of the form.</p>
1301-04	<p><u>Forms Functional Files.</u> A collection of forms arranged by functional classification, used to assist in taking forms management actions, such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the forms management office.</p> <p><u>Disposition:</u> Destroy when form is discontinued, superseded, or obsolete.</p>

<u>File No.</u>	<u>Description</u>
1301-05	<u>Forms Number Register Files.</u> Documents used to record and control the assignment of form number, consisting of an entry in the register for each assigned form number. <u>Disposition:</u> Destroy on discontinuance or obsolescence all forms entered in the register.

REPORTS MANAGEMENT AND CONTROL FILES

These files result from the direction and operation of DEA reports control system which is designed to control reports; assure that reports are adequate, accurate, and timely; eliminate unnecessary reports; and standardize materials and procedures.

<u>File No.</u>	<u>Description</u>
1310-01	<p><u>Reports Control Files.</u> Documents reflecting action taken in evaluating the requirement for approving and controlling specific reports. Included are applications for approval of reports; copies of pertinent forms or descriptions of format; copies of the requiring directive; preparation instructions; documents relating to continuation, revision, or other change to the report or output; memorandums reflecting results of periodic and special evaluations; documents identifying the relationship of the output to any controlled report to be prepared in whole or in part from the output; and similar or related papers.</p> <p><u>Disposition:</u> Destroy 10 years after discontinuance of the report or output.</p>
1310-02	<p><u>Reports Control and Output Register Files.</u> Documents used to control the assignment of reports control symbols and ADP outputs. Included are registers, ledgers, or comparable documents.</p> <p><u>Disposition:</u> Destroy when no longer needed for control purposes.</p>

RECORDS MANAGEMENT FILES

These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use and disposition of DEA records.

<u>File No.</u>	<u>Description</u>
1320-01	<p><u>Records Management Survey Files.</u> Documents relating to staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.</p> <p><u>Disposition:</u> Destroy 5 years after survey.</p>
1320-02	<p><u>Records Management Survey Background Files.</u> Documents used in preparing for records management surveys. Included are organizational charts, statements of function, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes, drafts, and similar or related documents.</p> <p><u>Disposition:</u> Destroy 3 years after next comparable survey. Earlier destruction is authorized.</p>
1320-03	<p><u>Congressional Authorization Files.</u> Documents relating to congressional authorization to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, approvals or disapprovals.</p> <p><u>Disposition:</u> Destroy previous schedule when succeeding schedule is approved by NARS.</p>
1320-04	<p><u>Records Disposition Standard Files.</u> Communications with the National Archives and Records Service concerning authority for disposition of specific files, including special studies of specific files for the purpose of establishing or revising disposition standards.</p> <p><u>Disposition:</u> Destroy 2 years after publication of disposition of standard or on disposition of all files covered in the standard.</p>

<u>File No.</u>	<u>Description</u>
1320-05	<p><u>Records Locator And Disposition Files.</u> Documents reflecting files that have been transferred or retired. Included are records shipment lists, records transfer lists, and copies or records transmittal and receipt (SF-135).</p> <p><u>Disposition:</u> Destroy 2 years after all records listed thereon have been destroyed.</p>
1320-06	<p><u>Microfilming Job Files.</u> Documents relating to appraisal of proposed microfilming projects and control of approved projects. Included are records analysis sheets for proposed microfilming projects, cost summary sheets, studies, justifications, and related material.</p> <p><u>Disposition:</u> Destroy 5 years after completion of project, except that disapproved project files will be destroyed 1 year after disapproval.</p>
1320-07	<p><u>Records Holdings Files.</u> Statistical reports of Annual Summary of Records Holdings (SF-136).</p> <p><u>Disposition:</u> Destroy 3 years after submission of report.</p>

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Number
1320-05

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PUBLICATION MANAGEMENT FILES

These files relate to the preparation, review, and issue of publications and to the maintenance of record and reference sets of publications. Record copies of all publications with related background papers should be filed in appropriate functional files. (Record copy is defined as that copy of publication maintained by the office of record, usually the preparing office, for record purposes as distinguished from the copies of the same publication distributed and maintained for reference purposes.) Record sets of selected publications are required for permanent or long term retention since they are used extensively for future administrative actions and historical or other research.

<u>File No.</u>	<u>Description</u>
1330-01	<p><u>Publication Record Set Files.</u> These will consist of one copy of each publication or change issued, within the categories specified below. Publications within this set will be filed numerically. Each folder or binder of the record set will be distinctly marked "Record Set."</p> <ul style="list-style-type: none">a. The DEA Records Management office will maintain a record set of DEA Manual issuances (Agents, Administrative, Internal Security, Laboratory Operations, Training, and Scientific Support Manuals, and **Regional Orders and Notices).**b. Functional procedures manuals, legal guidelines, program bulletins, and other official procedural documents will be maintained by originating office.
Comp. Schedule No. 1: Item 34	<p><u>Disposition:</u> Office performing DEA-wide staff <u>responsibility:</u> Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old.</p>
1330-02	<p><u>Publication Reference Set Files.</u> Offices responsible for issuing publications will maintain one set for reference purposes when needed or when required by other directives. This set will include a copy of those publications included in the "Record Set" and copies of other publications issued by them for which a "Record Set" is not required. Each folder</p>

File No.	Description
	or binder in this set will be distinctly marked "Reference Set" and will be currently posted.
	<u>Disposition:</u> Destroy when superseded or obsolete.
1330-03	<u>Publication Manuscript Files.</u> Manuscript copies of publications, printer copies of galley or page proofs or publications, drafts of publications, and other working or control data used in preparation of publications.
	<u>Disposition:</u> Destroy on printing of publication.
1330-04	<u>Publication Deviation Files.</u> Documents related to approving deviations or exceptions to standard publication procedures. Included are requests and approvals to distribute local publications outside the jurisdiction of the DEA, authorizations to print in more than one color, authorizations to include emblems on envelopes, and similar deviations or special authorizations.
	<u>Disposition:</u> Destroy 2 years after expiration or supersession of the authorization.
1330-05	<u>Publication Approval Files.</u> Documents related to approving the initiation of new publications, changes to existing publications, limitations in previous approvals, and renewal after expiration of the previous approval. Included are requests for approval, notification of approval, and related papers.
	<u>Disposition.</u> Destroy on expiration or supersession or on discontinuance of the publication.
1330-06	<u>Directives Development and Editing Files.</u> Documents relating to the improvement and development of DEA directives through editing, changing, and rewriting of first drafts. Included are copies of first and final draft manuscripts; notes and memorandums pertaining to conferences with the author, coordination, and research, copies of related correspondence; and a printed copy of the basic directive and each change thereto.

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FORMER INTER-OFFICE LINK

FORMER TYPE B LINK LINE

File No. Description

NOTE: Documents maintained by proponent offices will be filed with related records documenting the preparation of the directives.

Disposition: Office responsible for editing, development, and improvement: Destroy on revision or obsolescence of the directive.

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RULES FOR ALPHABETICAL FILING

Rules

Examples

1. Personal names.

a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.

b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetical sequence.

c. HYPHENATED surnames of individuals are filed as one complete surname.

d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.

e. MARRIED WOMEN'S names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine Adams Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens)).

Cross-reference:

f. ABBREVIATED first names are filed as though they were spelled in full.

g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname is used as the first name. Nicknames with no recognizable surnames are filed as they are written.

h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles, Col., Major; professional title, Dr., Prof.; official titles, governor, mayor; titles of respect, Rev., Hon.; foreign titles, Lord; degrees, LL.D., Ph.D). Titles followed by one or more names not recognizable as surnames are filed in order as written.

i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.

2. Firms, corporations, companies, associations, institutions, governments, and geographical names.

a. COINED names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.

b. SURNAMENAMES are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.

c. PREFIXES on firm and geographical names such as Co., D', d', de, des, Di, El, L', la, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.

d. HYPHENATED firm names are filed as one complete name.

Arthur B. Anglin—filed *Anglin* Arthur B.

David de Valera—filed *de Valera* David.

Blanche Duff-Gordon—filed *Duff-Gordon* Blanche.

Black Thunder.

Henry George.

Laurens Josephine Mary (Mrs) (Mrs. William A)

Laurens William A. (Mrs)—filed *Laurens* Josephine Mary.

Chas. Brown—filed *Brown* Charles.

Red Larson—filed *Larson* Red.

Boston Jimmie—filed *Boston* Jimmie.

Dr. Charles C. Brown—filed *Brown* Charles C (Dr.).

Father Pierre—filed *Father* Pierre.

C. Albert Brown, Jr—filed *Brown* C Albert (Jr).

A A A Chemical Co—filed *A A A* Chemical Company.

Aunt Jemima's Pancake Flour—filed *Aunt Jemima's Pancake Flour*.

Charles Brown & Company—filed *Brown* Charles (&) Company.

De la Verne Co—filed *De la Verne* Company. Los Angeles, Calif—filed *Los Angeles*, California.

Air-E-Ator Ventilating Co—filed *Air-E-Ator* Ventilating Company.

Rules

e. COMPOUND names of firms which may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words, such as Inter State; Mid West; South Eastern; South Side; North East.

f. COMPOUND GEOGRAPHICAL firm names are filed as written. Abbreviations are filed as though spelled in full.

g. ABBREVIATIONS representing names or parts of names of firms, of Government agencies, fraternal and similar organizations are filed as though spelled in full.

h. APOSTROPHES ('s) is disregarded in filing, but s apostrophe (s') is used.

i. ARTICLE, CONJUNCTION, OR PREPOSITION, such as "the, and, &, of, for, on, or by" is disregarded in filing when it is a part of the firm name and is inclosed in parentheses. When "Ye" is used, it is filed as written. Foreign language articles are not translated and are filed as written.

j. STATE, COUNTY, CITY, TOWN, or a similar word is filed as written when appearing as the first word in the name of a firm, institution, association, etc., and not referring to a Government establishment.

k. NUMERALS of one or two digits which comprise a name or the beginning of a name are read in units and tens and are filed as though spelled out. A name with three or four digits is read in hundreds. Consider only the lowest number in captions beginning with inclusive numbers. Captions beginning with numbers spelled in full or abbreviated are filed as though spelled in full. Numbers of two or more words are filed as one word.

l. FIRM names beginning with such phrases as Board of, Bureau of, Commission for, which do not refer to any Government establishment or function, are filed as written.

m. STANDARD TERMS such as Bros., Co., Corp., Ltd., Inc., names of states and cities, often abbreviated, affect the filing sequence. When abbreviated they are filed as though spelled in full. In foreign firm names abbreviations of company, brothers, etc., whether they appear before or after the names are filed as written. They are not translated.

n. CHANGE of firm name due to successorship should be filed under the current firm name and a cross-reference made under the former name.

Cross-reference:

o. MULTIPLE names. Firms doing business under two titles are filed under the more active or important name and a cross-reference is made under the other name. This includes firms "doing business as," written "d/b/a."

Cross-reference:

p. PARTNERSHIP AND FIRM names which contain the full names of two or more individuals are filed by the name of the first individual mentioned.

q. VARIOUS LOCATIONS. The same firm name appearing at various locations is filed by name of firm and then by city. Consider the State when there is a duplication of city names.

Examples

Inter State Warehousing Co—filed *Inter State Warehousing Company*.

Ft. Wayne Paper Co—filed *Fort Wayne Paper Company*.

N.J. Coal & Coke Co—filed *New Jersey Coal (&) Coke Company*.

Amer. Society for Civic Education—filed *American Society (for) Civic Education*.

E. 59th St. Garage—filed *East Fifty Ninth Street Garage*.

Anglin's Beauty Shop—filed *Anglin Beauty Shop*.

Anglins' Automobile Co—filed *Anglins' Automobile Company*.

The Calico Cat—filed *Calico Cat (The)*.

Il Progresso Italo—filed *Il Progresso Italo*.

City Letter Co—*City Letter Company*.

County of Wall Surveying Co—filed *County (of) Wall Surveying Company*.

86 Madison Ave. Realty Co—filed *Eighty-six Madison Avenue Realty Company*.

1198 Park Ave. Corp—filed *Eleven Hundred Ninety-eight Park Avenue Corporation*.

92-96 W. 18th St. Corp—filed *Ninety-two (96) West Eighteen Street Corporation*.

Committee for Economic Development—filed *Committee (for) Economic Development*.

Brown Bros—filed *Brown Brothers. Cie Generale Transatlantique—filed Cie Generale Transatlantique*.

Clairo Company formerly Van Ess Product Co—filed *Clairo Company (formerly Van Ess Products Company)*.

Van Ess Products Company—filed *Clairo Company*.

Max Jensen doing business as Ace Van Lines—filed *Ace Van Lines*.

Cross-reference: *Jensen Max d/b/a Ace Van Lines filed Ace Van Lines*.

Charles Brown & Henry Jones—filed *Brown Charles (& Henry Jones)*.

Allied Van Lines, Denver, Colo. filed *Allied Van Lines Denver Colorado*.

Allied Van Lines, Portland, Me.—filed *Allied Van Lines Portland Maine*.

Rules

7. **SUBSIDIARIES OR DIVISIONS.** Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.

8. **BANKS, BOARDS OF TRADE, NEWSPAPERS, etc.** Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore, filed by location: city first, the state in parentheses, followed by the name of the bank board of trade, etc.

1. **FEDERAL DEPARTMENT NAMES.** Federal Government departments and subdivisions thereof are filed by name in the alphabetical name file disregarding the parent organization.

Examples

Truscon Steel Co. Division of Republic Steel Corp.—filed *Republic Steel Corporation*
Truscon Steel Co. Division.

Board of Trade Chicago, Ill.—*Chicago (Ill.)*
Board of Trade.

U.S. Coast Guard: Filed *Coast Guard (U.S.)*.

Office of Emergency Management: Filed *Emergency Management Office (of)*.

Great Lakes Naval Training Station: Filed *Great Lakes Naval Training Station*.

Executive Office of the President: Filed *President Executive Office (of The)*.

3. **FRATERNAL** or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organizations may be cross-referenced.

Veterans of Foreign Wars, Portsmouth Post, N.H.—filed *Portsmouth (N.H.) Post, Veterans (of) Foreign Wars*.

4. **INSTITUTION** names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.

Andrew Carnegie Library—filed *Carnegie Andrew Library*; University of Washington—filed *Washington University (of)*.

5. **SUBDIVISIONS** of state, county, municipal or foreign governments, such as department, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.

Water Dept. Fairfax County, Va.—filed *Fairfax County (Va) Water (Dept.)*.

- LISTING OF FEDERAL ARCHIVES AND RECORDS CENTERS

GSA Region	Areas Served	Location
	Entire Federal Government for personnel records of separated Federal employees; pay records of all Federal employees; medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis, Missouri area	National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118
1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Archives and Records Center, GSA 380 Trapelo Road Waltham, MA 02154
2	New York, New Jersey, Puerto Rico, and the Virgin Islands	Federal Archives and Records Center, GSA Military Ocean Terminal, Bldg. 22 Bayonne, NJ 07002
3	Delaware and Pennsylvania east of Lancaster	Federal Archives and Records Center, GSA 5000 Wissahickon Avenue Philadelphia, PA 19144
3	Pennsylvania except areas east of Lancaster	Federal Records Center, GSA Naval Supply Depot, Bldg. 308 Mechanicsburg, PA 17055
3	District of Columbia, Maryland, Virginia, and West Virginia	Washington National Records Center Washington, DC 20409
4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky	Federal Archives and Records Center, GSA 1557 St. Joseph Avenue East Point, GA 30344
5	Illinois, Wisconsin, and Minnesota	Federal Archives and Records Center, GSA 7358 South Pulaski Road Chicago, IL 60629
5	Indiana, Michigan, and Ohio	Federal Records Center, GSA 3150 Bertwynn Drive Dayton, OH 45439
6	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area	Federal Archives and Records Center, GSA 2306 East Bannister Road Kansas City, MO 64131
6	Greater St. Louis, Missouri area	National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118

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GSA Region	Areas Served	Location
7	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Archives and Records Center, GSA 4900 Hemphill Street P.O. Box 6216 Fort Worth, TX 76115
8	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota	Federal Archives and Records Center, GSA Bldg. 48, Denver Federal Center Denver, CO 80225
9	Nevada (except Clark County), California (except Southern California), and American Samoa	Federal Archives and Records Center, GSA 1000 Commodore Drive San Bruno, CA 94066
9	Clark County Nevada, Southern California (counties of: San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego), and Arizona	Federal Archives and Records Center, GSA 24000 Avila Road Laguna Niguel, CA 92677
10	Washington, Oregon, Idaho, Alaska Hawaii, and Pacific Ocean area (except American Samoa)	Federal Archives and Records Center, GSA 6125 Sand Point Way Seattle, WA 98115

Appendix 07G MICROFILMING

Subpart 101-11.5—Microfilming

§ 101-11.500 Scope of subpart.

This subpart provides the (a) procedures for requesting authority to dispose of microfilmed records, (b) standards to be used by Federal agencies for microfilming records, (c) criteria for using microfilm copies of permanent records, (d) standards for storing microfilm copies of permanent records, and (e) information concerning microfilm services available from the National Archives and Records Service (NARS).

§ 101-11.501 Authority.

As provided in 44 U.S.C. chapters 29 and 33, the Administrator of General Services is authorized to (a) establish standards for the photographic and microphotographic reproduction of permanent records by agencies of the Federal Government with a view to disposal of the original records; (b) establish uniform standards within Government agencies for the storage and use of processed microfilm copies of permanent records that have been authorized for disposal; (c) develop and promote standards to improve the management of records; and (d) establish, maintain, and operate centralized microfilming services for Federal agencies.

§ 101-11.502 Definitions.

For the purpose of this Subpart 101-11.5, the following definitions shall apply:

(a) *Permanent record.* Any record (see 44 U.S.C. 3301) that has been determined by the Archivist of the United States to have sufficient historical or other value to warrant its continued preservation by the Government. Such determinations take the form of approved agency records retention plans, an approved offer to transfer records to the National Archives, or specific series of records identified as permanent on all Standard Forms 115, Request for Authority to Dispose of Records, approved by NARS since May 14, 1973. NARS approval, prior to May 14, 1973, of a comprehensive records disposal schedule that also lists records that are identified as "permanent" or "retain" by the agency but are not clearly certified as permanent by NARS, does not constitute a determination that the records have sufficient historical or other value to warrant their continued preservation by the Government.

(b) *Original microfilm.* Original microfilm is camera microfilm whether produced by customary or Computer Output Microfilm (COM) methods and regardless of emulsion or base.

(c) *Silver original microfilm.* Silver original microfilm is camera microfilm meeting the requirements of Federal Standard No. 125b; Film Photographic and Film, Photographic, Processed (for permanent record use).

(d) *Silver duplicate negative.* A silver duplicate negative is a second generation negative microfilm meeting the requirements of Federal Standard No. 125b whether produced from an original negative or from an original positive.

(e) *Silver master positive.* A silver master positive is a second generation positive microfilm meeting the requirements of Federal Standard No. 125b produced from either an original negative or from an original positive.

(f) *Diazo microfilm.* Diazo microfilm is a duplicating microfilm sensitive to ultraviolet light and developed by passing the film through an ammonia chamber. Diazo microfilm must meet the requirements of Federal Specification L-F-315C; Film, Diazotype, Sensitized (Direct Image Microforms).

(g) *Vesicular microfilm.* Vesicular microfilm is a duplicating microfilm exposed by ultraviolet light and developed by being passed over a heat roller and by a second exposure to ultraviolet light which stabilizes the film. Vesicular microfilm must meet the requirements of Federal Specification L-F-00320C; Film, Thermal Developing.

§ 101-11.503 Disposal of records.

§ 101-11.503-1 Request for authority.

(a) Federal agencies proposing to preserve permanent records on microfilm and dispose of the original records shall request authority on Standard Form 115, Request for Authority to Dispose of Records, in accordance with Subpart 101-11.4.

(1) Agencies whose proposed microfilming procedures meet the standards in § 101-11.504 shall include on the SF 115 the following certification:

This certifies that the records described on this form shall be microfilmed in accordance with the standards set forth in 41 CFR 101-11.504 and that the (select appropriate words: Silver original microfilm, silver duplicate negative microfilm, or silver master positive microfilm) plus one positive copy of each microfilm which is a (select appropriate words: Silver duplicate negative copy; silver positive copy; vesicular microfilm copy; diazo microfilm copy) shall be (select appropriate phrase: Offered to the Office of the National Archives (NN), National Archives and Records Service, General

Services Administration, Washington, D.C. 20408; offered to the Regional Archives Branch (city and State); offered to the Federal Records Center (city and State); or transferred to an approved agency records center at (city and State)).

(2) Agencies whose proposed microfilming procedures do not meet the standards in § 101-11.504 shall include on the SF 115 an outline of the system, film, and processing which they propose to use.

(b) Agencies proposing to retain the silver original microfilm copy of permanent records after disposal of the original records must include as part of this request a statement that facilities meeting the standards of § 101-11.506 will be used to store the silver original microfilm. These facilities shall be subject to initial and subsequent inspection by NARS. Such agencies shall also indicate when the first inspection of microfilm required by § 101-11.506-8 will be conducted.

§ 101-11.503-2 Deposit of copies.

(a) The silver original microfilm copy or either of (1) a silver duplicate negative copy or (2) a silver master positive copy; plus one positive copy, which may be either of silver, vesicular, or diazo microfilm, of each microfilm of permanent records microfilmed by an agency shall be verified for completeness and accuracy and then shall be either transferred to an approved agency records center or offered to either the Office of the National Archives (NN), National Archives and Records Service, mailing address: General Services Administration (NN), Washington, DC 20408; or the Archives Branch in the Federal Records Center where the original permanent records would normally be retired.

(b) After acceptance of the agency offer by NARS, the agency shall forward the microfilm copies as soon as the project is completed or, in the case of larger continuing projects, when a substantial and readily identifiable portion is completed.

(c) The microfilm copies shall be accompanied by adequate descriptive material to enable NARS or agency file personnel to service the records with reasonable facility and by a certification by an agency official that the microfilm was produced in the normal course of agency operations and that care has been taken to insure that the microfilm is a complete and accurate copy of the original records.

§ 101-11.503-3 Deteriorating microfilm.

An agency having custody of a previously produced original microfilm (or, if the original microfilm is no longer in existence, the master copy) of permanent records shall prepare a silver duplicate negative copy for its own use, if required, when it finds that such copies are deteriorating or in danger of deterioration. The agency shall also offer an identical copy plus one positive copy as specified in this § 101-11.503-2.

§ 101-11.504 Standards for microfilming permanent records.

Federal agencies microfilming permanent records shall comply with the following standards which relate to the preparing and filming of permanent records, the selecting of film stock, and the processing of film.

§ 101-11.504-1 Preparing and microfilming permanent records.

(a) *General.* The integrity of the original records authorized for disposal shall be maintained by insuring that the microfilm copies are adequate substitutes for the original records and serve the purposes for which such records were created or maintained. The following measures and any others found necessary shall be observed in any Federal microfilming project to insure preservation of the integrity of the records:

(1) Copies shall contain all significant record detail shown on the originals;

(2) Copies of the records shall be so arranged, identified, and indexed that any individual document or component of the records can be located with reasonable facility;

(3) No photographic densities on negative copies higher than are required for the intended purposes shall be used. Where possible, densities on negative copies shall be between 1.0 and 1.2. On positive copies the background shall be kept as clear as practicable;

(4) A minimum resolution of 90 lines per mm. shall be obtained; and

(5) Military specifications and standards for microfilming and photographing engineering drawings and similar related documents shall be followed whenever applicable.

(b) *Roll microfilm.* (1) The photographic images at the beginning of each roll of microfilm shall include information identifying the agency and organization whose records it covers; the title of the records; the microfilm roll num-

ber; the security classification, if any; and, if possible, the inclusive dates, names, or other data identifying the first and last records on the roll; and

(2) Any indexes, registers, or other finding aids shall be microfilmed at the beginning of the records to which they relate.

(c) *Other microforms.* (1) Microfilming systems for unit microfilm records shall be so designed and supervised that the resulting microfilm file is an accurate representation of the original records.

(2) Any indexes, registers, or other finding aids shall be microfilmed and located in a readily identifiable place within the collection of microfilmed records.

(3) Systems (e.g., COM) producing original permanent records on microfilm with no paper original shall be designed so that they produce microfilm which meets the standards of this Subpart 101-11.5.

§ 101-11.504-2 Microfilm stock.

The film stock used to make photographic or microphotographic copies of permanent records shall be safety-base permanent record film as specified in American National Standards Institute (ANSI) PH 1.25, Specifications for Safety Photographic Film; PH 1.28, Specifications for Photographic Films for Permanent Records; PH 1.29, Methods for Determining the Curl of Photographic Film; and PH 1.31, Method of Determining the Brittleness of Photographic Film, and shall comply with Federal Standard No. 125b. In order to afford adequate protection for permanent records, agencies using microfilm systems which do not produce an original microfilm meeting these standards for permanent records shall immediately make a silver duplicate negative or silver master positive which does meet the standards.

§ 101-11.504-3 Processing film.

The film used to make photographic or microphotographic copies of permanent records shall be so processed that the residual thiosulfate concentration shall be greater than zero but shall not exceed 1 microgram per square centimeter. An optimum concentration of 0.7 micrograms per square centimeter in a clear area is recommended. Agencies conducting their own microfilming program may determine whether their processed film meets this requirement by perform-

ing the tests specified in ANSI PH4.8; Methylene Blue Method for Measuring Thiosulfate and the Silver Densitometric Method for Measuring Chemicals in Films, Plates, and Papers; or by submitting a sample for testing from a clear area of the film, measuring at least 2 square inches, to the Office of the Executive Director (NAF), National Archives and Records Service, General Services Administration, Washington, DC 20408. A charge of \$5 will be made for each sample tested, however, small numbers of samples will be tested by NARS without charge. COM-produced microfilm of permanent records shall meet the processing standards above. If the processing is to be of the reversal type it must be full photographic reversal and not the halide-type reversal.

§ 101-11.505 Criteria for using microfilm copies of permanent records.

The following criteria are required in using microfilm copies of permanent records:

(a) Original microfilm copies of permanent records shall not be used for reference purposes. Negative or positive copies of the original negative shall be used for reference purposes.

(b) Adequate measures shall be taken to keep the original microfilm clean and unscratched.

§ 101-11.506 Standards for storing microfilm copies of permanent records.

This section prescribes standards required for storing silver original microfilm copies or silver duplicate negative or silver master positive copies of permanent records.

§ 101-11.506-1 Reels and cores.

Microfilm stored in roll form shall be wound on cores or on reels of the type specified in ANSI PH5.6, Standard Dimensions for 100-foot Reels for Processed 16-mm. and 35-mm. Microfilm. The materials used for the cores and reels shall be noncorroding such as plastic compounds or nonferrous metals. The use of steel for reels shall be permitted provided the reels are well protected by lacquer, enamel, tinning, or other corrosion-resistant finish. Plastics and lacquers that might give off reactive fumes or exudations during storage shall not be used. The plastic materials must be free of peroxides. Paper strips or rubber bands shall not be used for confining film on reels or cores. The materials used shall not ignite, decompose, or develop reactive fumes and vapors.

§ 101-11.506-2 Storage containers.

The microfilm shall be stored in a closed container made of such inert material as metal or plastic of proven quality. The container shall be sealed where needed to maintain prescribed humidity limits or to protect the film against gaseous impurities. If proper temperature and humidity controls are maintained as prescribed in § 101-11.506-4, and if there is good ventilation and clean air in the storage area, the containers need not be sealed. Open containers such as folding cartons may be used only if it has been established that the container material will have no adverse effect on the film over long periods of time.

§ 101-11.506-3 Storage rooms.

Agencies retaining original microfilm copies of permanent records shall provide a fire-resistive vault or room. The storage area shall not be used as an office or working area. No flammable material shall be stored in the storage area. For full protection against exposure to fire and associated hazards, fire-resistive safes or insulated containers shall be placed within fire-resistive vaults or rooms constructed in accordance with recommendations of the National Fire Protection Association in their publication NFPA 232, Protection of Records, 1970. Particular care shall be taken to insure that the provisions of this § 101-11.506 are applied effectively when original negative microfilm is stored in such places as underground installations and insulated file cabinets where a high humidity is probable.

§ 101-11.506-4 Environmental conditions.

The relative humidity of the storage vault or room shall not exceed 40 percent. Temperatures shall not exceed 70° F. Rapid and wide-range cycling of humidity or temperature shall be avoided and shall in no instance exceed ± 5 percent relative humidity or ± 5 ° F. in a 24-hour period. Where inactivity of the film permits, protection may be increased by conditioning and sealing the film at a lower humidity and/or storing the film at a lower temperature. Film stored at a lower relative humidity than 30 percent or a temperature lower than 60° F. shall be sufficiently warmed and reconditioned before use to avoid any possible damage in handling. If possible, approximately 0.05 inches of water pressure above atmospheric pressure shall be maintained within the room or vault and in the film inspection area by means of an independent air-conditioning system.

§ 101-11.506-5 Control of air conditioning.

Air conditioning shall be kept under sufficient control to meet the standards for temperature and humidity as specified in § 101-11.506-4. Dehumidifiers using desiccants shall not be used since, with circulating air in the storage area, there is a danger of abrasive or reactive dust particles settling on the film. Humidification before storage is not necessary unless the prevailing relative humidity in storage areas is less than 15 percent for long periods of time. Water trays or saturated chemical solutions shall not be used due to the serious danger of overhumidification.

§ 101-11.506-6 Protection against air-entrained impurities.

Solid particles that abrade the film or react on the image shall be cleaned from the air supplied to microfilm storage and associated rooms by the use of dry media mechanical filters or electrostatic precipitators. These filters shall have an arrestance or cleaning efficiency of at least 80 percent when tested with atmospheric air using ANSI PH5.4; Standard Practice for Storage of Processed Silver Gelatin Microfilm; which cites the report to the National Board of Fire Underwriters for the installation of air conditioning, warm air heating, air cooling, and ventilating systems. Filtering media, casings, and castings, if used, shall be of the noncombustible type.

§ 101-11.506-7 Gaseous impurities.

Such gaseous impurities as sulfur dioxide, hydrogen sulfide, and others that may cause deterioration of the microfilm shall be removed from the air. Silver-gelatin microfilm shall not be stored with other types of film in the same room or in rooms connected by ventilating ducts because gases given off by the non-silver-gelatin microfilm may damage or destroy the safety-film base.

§ 101-11.506-8 Microfilm inspection.

At approximately 2-year intervals, a 1 percent sample of randomly selected rolls of microfilm shall be inspected. For each biennial inspection, a different lot sample shall be chosen, allowing some overlapping of inspection to note any changes in previously inspected samples. The guidelines in the National Bureau of Standards Handbook 96, Inspection of Processed Photographic Record Films for Aging Blemishes, shall be followed. The results of such inspections shall be reported to the Office of the National Archives (NN), National Archives and

Records Service, General Services Administration, Washington, D C 20408, 30 days after the inspection is completed. Reports shall include at least the (a) quantity of microfilm of permanent records on hand; i.e., number of rolls, microfiche, jackets, etc.; (b) quantity of microfilm inspected; (c) condition of the microfilm; and (d) corrective action required, if necessary.

§ 101-11.507 Standards for microfilming nonpermanent records.

(a) Agencies that wish to microfilm their own nonpermanent records should conduct a cost-benefit analysis according to their internal regulations and procedures to insure that the project or system is cost effective.

(b) Agencies that wish to microfilm their own nonpermanent records in order to dispose of the original records shall request authority in accordance with Subpart 101-11.4. The request for authority on SF 115 shall indicate whether the original records are required to be held less than 10 years or 10 years or more.

(c) After approval of the request the microfilming shall be done in accordance with the following:

(1) For nonpermanent records to be held 10 years or more, the standards set forth in § 101-11.504 for microfilming, in § 101-11.505 for using microfilm, and in § 101-11.506 for storing microfilm copies of permanent records should be used where applicable to insure the availability of the information for the period of time required.

(2) Nonpermanent records to be held less than 10 years may be microfilmed in accordance with agency standards and requirements for the retention of the records, including the option of using any film, processing system, or storage containers the agency may select.

§ 101-11.508 Centralized microfilm services.

The following microfilming services of the National Archives and Records Service are available to Federal agencies:

(a) Technical advice and assistance in establishing and promoting agency projects and programs to preserve records, reduce volume, provide security copies, make duplicate copies, or improve information retrieval systems;

(b) A central reimbursable microfilming service for Federal agencies including the preparation, indexing, and filming of records, inspection of film, and labeling of film containers; and

(c) Information on current uses of microfilm, new microfilm techniques, and developments in the field.

§ 101-11.508-1 Procedures for arranging for reimbursable services.

Federal agencies desiring microfilm services should contact the appropriate regional National Archives and Records Service. Agencies in the greater St. Louis area (Missouri only) should contact the Manager, National Personnel Records Center, St. Louis, MO 63132. Agencies in the District of Columbia, Maryland, Virginia, and West Virginia, should contact the Manager, Washington National Records Center, Suitland, MD 20409. Elsewhere in GSA Region 3, agencies should contact the Region 3 National Archives and Records Service. An agreement of services to be provided will be negotiated before work is begun. This agreement may be in the form of an agency purchase order. The agency shall provide instructions that specify (a) location of the records to be filmed; (b) description of the records to include the volume, size, physical condition, filing arrangement, and the nature and frequency of additions, changes, and deletions, etc.; (c) size and format of the film to be used; (d) type of camera to be used and the reduction ratio at which the documents are to be filmed; (e) type of reader to be used; and (f) number and type (silver, diazo, vesicular) of reference copies.

§ 101-11.508-2 Fees for microfilming services.

Microfilming services normally available are: 16-mm. rotary, 16-mm. planetary, and 35-mm. planetary microphotography; negative film processing; 16-mm. cartridge loading; aperture card and microthin jacket mounting; and diazo duplication. The fees for these services will be announced in GSA bulletins issued and signed by the Archivist of the United States. For services not listed, contact the person or office shown in § 101-11.508-1.

RETENTION PLAN OF THE DRUG ENFORCEMENT ADMINISTRATION
(HEADQUARTERS OFFICES), DEPARTMENT OF JUSTICE

IDENTIFICATION OF RECORD SERIES TO BE RETAINED PERMANENTLY

<u>Item in Retention Plan</u>	<u>DEA Organizational Unit (Office of Record)</u>	<u>Record Series (File No.)</u>
1. Master sets of policy, procedural, organizational and repertorial documents.		
a. Formal policy and procedural issuances (current as well as obsolete) such as regulations, orders, circulars, manuals, and other types of directives, with related endorsements, clearances, and comments including a master set of forms used in substantive functions.	Management Analysis Division	1330-01 Publication Records Set Files
b. Organizational charts and directories (current as well as obsolete).	Management Analysis Division	110-01 Organization Planning Files
c. Narrative and statistical reports on accomplishments at the divisional and higher organizational levels, including narrative accounts of its history.	Statistical & Data Services Division	370-14 Statistics Reporting Files
d. Publicity material, such as press and radio releases, official speeches, charts posters, and the like.	Office of Public Affairs	370-03 News Media and Release Files
e. Publications that contribute to an understanding of its organization and functioning, exclusive of publications that embody the results of scientific, statistical, or research activity.	Management Analysis Division	110-01 Organization Planning Files
2. Records related to providing executive direction to DEA activities.		
a. Authoritative documents that affect and define functions, such as laws, Executive orders, court decisions, legal opinions, interpretations and internal and external rulings, internal documents that delegate or revoke continuing authority, and related endorsements, clearances, and comments.	Office of Chief Counsel	301-01 Legal Opinion Precedent Files
	Management Analysis Division	1330-01 Publication Record Set Files

Item in Retention Plan

- b. Agenda and minutes, with supporting papers, or staff meetings at the divisional and higher organizational levels.
- c. Agenda and minutes, with supporting papers, of meetings of interagency and extra-federal governmental bodies in which it participates.
- d. Reports on DEA studies, surveys, audits, and inspections of operations, management, and systems with related papers showing their inception, scope, procedure, and results.
- e. Documents reflecting relations with the White House, the Executive Office of the President, and the Congress on other than routine personnel matters.
- f. Budget statements (estimates and justifications, including the budget proposed to the Office of Management and Budget and to the Congress and budget briefing books and digests prepared by the agency, and correspondence of the office with primary responsibility for developing, presenting and defending budget estimates and for budget administration operations.
- g. Correspondence of officials having primary responsibility for developing plans, policies, programs and procedures, for the supervision of the execution of the programs, and for the evaluation of the programs, including correspondence of the Chief Counsel.
- h. A record copy of audits, surveys, and examinations by the United States General Accounting Office of DEA operations, with documentation, including correspondence, relating to the review of the reports by DEA.
- i. A record copy of annual or other periodic summaries of findings in internal audits of DEA's own operations, and related recommendations.

DEA Organizational Unit
(Office of Record)

Maintained with Activity
Program Files

*Maintained in all offices
having a requirement for
such files*

Office of Program Planning
and Evaluation
Management Analysis Division

Office of Program Planning
and Evaluation

Office of the Administrator

Controller

Office of Program Planning
and Evaluation

Office of Enforcement

Office of Program Planning
and Evaluation

Office of Program Planning
and Evaluation

Record Series
(File No.)

060-04 Committee Files

120-01 Operation Planning
Files

140-01 Management Improvement
Project Files

150-01 Management Survey Case

170-02 Internal Review Files

060-01 Policy and Precedent
Files

130-04 Congressional Budget
Justification Files

120-01 Operation Planning
Files

601-04 Enforcement Program
Files

170-01 GAO Audit Reporting
Files

170-02 Internal Review Files

Item in Retention PlanOrganizational Unit
(Office of Record)Record Series
(File No.)

- | | | | |
|----|---|--|--|
| j. | One case file per year showing the planning for and the final report on an internal audit that results in significant changes in DEA plans, policies, programs, or procedures, and related correspondence. | Included in 2i above | |
| k. | A record copy of each unpublished annual or other periodic report on the activities and programs of DEA. | Statistical and Data Services Division | 370-14 Statistics Reporting Files |
| l. | Annual activity and any special nonrecurring reports from field offices that are required for executive direction purposes. | Statistical and Data Services Division | 370-14 Statistics Reporting Files |
| m. | Interagency agreements and delegations of continuing authority to and from other agencies that significantly affect the substantive functions of DEA. | Office of the Administrator
Office of Enforcement | 060-03 Agreement Files
601-01 Jurisdictional Responsibility Files |
| n. | Case files on approved plans, policies, programs (including internal management improvement, records managements, and staff development programs), projects, and procedures. | Office of Program Planning and Evaluation | 130-01 Program Development Files |
| o. | Any other primary documentation relating to the substantive aspects of the inception, development, operation, and evaluation of DEA programs. | Office of Science and Technology | 930-02 DEA Scientific Advisory Committee Files |
| 3. | Enforcement of Federal Narcotic Laws and Related Statutes. | | |
| a. | Case files on violation cases identified in the Administrator's annual report to the Congress. | Controller | *130-04 Congressional Budget Justification Files* |
| b. | Any other case files on violations by interstate and international criminal organizations trafficking in narcotics. | Included in 3a above | |
| c. | Case files (if not included in 3(a) or 3(b) of investigations illustrative of cooperation of other Federal agencies, State governments and foreign governments in detecting violations and in handling violators. | Included in 3a above | |
| d. | Legislative reference case files. | Office of Congressional Affairs | 360-01 Legislation Files |

Item in Retention PlanDEA Organizational Unit
(Office of Record)Record Series
(File No.)

e. Any opinions and interpretations of the Chief Counsel that are not maintained in 2(a), 2(g), or 3(d), or elsewhere in records series specified in this retention plan and that are of precedential significance in the performance of substantive and facilitative functions of DEA.	Office of Chief Counsel Office of Congressional Affairs	301-01 Legal Opinion Precedent Files 360-01 Legislation Files
f. Documentation of relations with States concerning narcotic control legislation in the State and arrangements for Federal-State cooperation in enforcement activities.	Office of Congressional Affairs	360-01 Legislation Files
g. Correspondence with foreign governments concerning international cooperation in enforcement activities.	Office of Enforcement	601-11 Foreign Country Files
h. Documentation of methods used to control the manufacture and stockpiling of narcotics.	Office of Enforcement Office of Compliance and Regulatory Affairs	601-04 Enforcement Program Files 630-08 Manufacture and Purchase Quota Files
i. Documentation of methods use to control international trade in narcotics.	Office of Enforcement	601-04 Enforcement Program Files 601-11 Foreign Country Files
j. Documentation of methods used to control domestic trade in narcotics.	Office of Enforcement	601-04 Enforcement Program Files
k. Annual summary statistics on the manufacture of domestic and international trade in narcotics.	Statistical and Data Services Division Office of Compliance and Regulatory Affairs	370-14 Statistics Reporting Files 630-08 Manufacture and Purchase Quota Files
l. Documentation of methods used in handling seized narcotic drugs.	Office of Enforcement	601-04 Enforcement Program Files
m. Documentation relating to the establishment, operation, and accomplishments of DEA Training School.	Office of Training	830-02 Training Aids Files
n. Summary statistical information on enforcement activities and narcotic addiction.	Statistical and Data Services Division Office of Enforcement	370-14 Statistics Reporting Files 601-06 Enforcement Activities Reporting Files

DEA Organizational Unit
(Office of Record)

Record Series
(File No.)

<u>Item in Retention Plan</u>	<u>DEA Organizational Unit</u> <u>(Office of Record)</u>	<u>Record Series</u> <u>(File No.)</u>
o. Documentation concerning the establishment of enforcement offices in foreign countries.	Management Analysis Division	110-01 Organization Planning Files
4. Participation in International Meetings and Conferences.		
a. Agenda, minutes, and reports of international meetings and conferences on narcotic control when the United States delegations are headed by the Department of Justice or when the responsibility for representing the interests of the United States Government rests with the Department of Justice, and related position papers.	Office of Enforcement	601-11 Foreign Country Files
b. Documentation of Department of Justice participation in negotiations concerning international narcotic control matters, including position papers, and any international agreements resulting from the negotiations and not filed with the Department of State.	Office of Enforcement	601-11 Foreign Country Files
c. Interagency agreements concerning responsibilities for maintaining the primary documentation of United States participation in international conferences.	Office of Enforcement	601-11 Foreign Country Files
5. Preparation of reports required by international conventions or treaties.		
a. A record copy of each annual report.	Office of Enforcement	601-06 Enforcement Activities Reporting Files
b. Annual or other summary narrative reports prepared by overseas offices in compliance with reporting requirements.	Office of Enforcement	601-11 Foreign Country Files 601-11 Foreign Country Files

APPENDIX 07I

ALPHABETICAL LISTING OF DEA FILES

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Accident Case Files	1040-01	MA
Accident Experience Files	1040-02	MA
Accountable Form Authorization Files	1160-05	MASG
Accountable Form Receipt and Issue Files	1160-04	MASG
Accountable Mail Receipt Files	1170-03	MASG
Accounting Journal Files	410-01	MCTA
Active Employment Application Files	540-02	MPD
ADP Report Files	1201-06	MSC
ADP Test Files	1210-02	MSC
ADP Work Files	1210-01	MSC
Agreement Files	060-03	A
Appeal and Grievance Case Files	570-03	MPD
Appearance as Counsel in Civil Court Files	330-03	CC
Automated Records and Consumated Orders System/Diversion Analysis and Detection System (ARCOS/DADS)	1220-10	MSC
Badge Identification Accountability Files	240-02	MASG
Badge Identification Issue Files	240-01	MASG
Ballistics Intelligence Tables System	1220-08	MSC
Bidder List Files	480-09	MASC
Biweekly Accounting Station List Files	410-06	MCTA
Budget Estimate Files	130-03	MCT
Buy American Act Files	480-05	MASC
Career Management Files	560-04	MPD
Career Referral Files	560-06	MPD
Career Trainee Input Requirement Files	560-07	MPD
Certificate of Deposit Files	401-17	MCTA
Charity Contribution Files	370-12	PA
Civil Service Certificate Files	530-01	MPD
Claim Investigation Reporting Files	310-04	CC

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Claim Journal and Index Files	310-02	CC
Claim Operating Policy Files	310-01	CC
Claim Reporting Files	310-03	CC
Classified Document Inventory Files	220-15	IN
Classified Material Access Files	220-03	IN
Commercial Authorship Approval Files	370-11	PA
Committee Files	060-04	*
Communication Facility Lease Request Files	970-03	STO
Communication Operation Instruction Files	970-05	STO
Communication Representation Files	970-01	STO
Communications Center Message Files	990-02	ENPC
Communications Center Operations Files	990-01	ENPC
Communications Equipment Record Files	980-03	STO
Competitive Level Files	580-02	MPD
COMSEC Accounting Reporting Files	230-05	ENP
COMSEC Approval Files	230-07	ENP
COMSEC Daily Inventory Files	230-04	ENP
COMSEC Inspection Files	230-08	ENP
COMSEC Investigation Reporting Files	230-10	ENP
COMSEC Item Register Files	230-03	ENP
COMSEC Management Files	230-01	ENP
COMSEC Reporting Files	230-09	ENP
COMSEC Supply Correspondence Files	230-02	ENP
Conference Travel Files	1140-02	MASG
Congressional Authorization Files	1320-03	MGTR
Congressional Budget Justification Files	130-04	MCT
Congressional Correspondence Files	360-03	PA

*These are Housekeeping and General Program Files which may be maintained in all offices having a requirement for such files.

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Congressional Investigation Files	360-04	PA
Congressional Visit Reporting Files	360-05	PA
Contract Adjustment and Claim Determination Files	310-07	MASC
Contract Review Files	480-06	MASC
Contract Standard Drawing and Specification Files	490-06	MASC
Contract Statutory Restriction Files	480-01	MASC
Contract Training Files	860-06	TREI
Contracting Officer Designation Files	490-12	MASC
Contractor Information Release Files	370-06	PA
Controlled Substances Act Registration Records (CSA)	1220-09	MSC
Controlled Substances Order Form Files	630-07	CRS
Controlled Substances Theft/Loss Report Files	630-02	CRC
Controlled Substances Reporting Files	630-04	CR
Cooperating Individual Files	601-09	ENPR
Cost and Price Analysis Files	480-04	MASC
Criminal/Compliance Investigator Accreditation Files	601-05	EN
Crypto-Area Visitor Register Files	230-06	ENPC
Data Systems Specification Files	1201-01	MSC
DEA Authored Information Clearance Files	370-07	PA
DEA Community Relations Files	370-09	PA
DEA Property Damage Claim Files	310-10	CC
DEA Scientific Advisory Committee Files	930-02	ST
Debarred Bidder List Files	480-08	MASC
Defendant Data (Statistics) System	1220-06	MSC

* These are Housekeeping and General Program files which may be maintained in all offices having a requirement for such files.

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Determination and Findings Files	480-02	MASC
Differential and Allowance Files	520-06	MPD
Directives Development & Editing Files	1330-06	MGTR
Drug Abusers Reporting System	1220-07	MSC
Drug Evaluation Files	630-01	CRR
Drug Identification Label Files	630-10	CRS
Drug Schedule Files	630-03	CRR
Duty Reporting Files	010-04	*
Duty Roster Files	010-03	*
Emergency Planning Files	101-01	MA
Emergency Reporting Files	101-02	MA
Employee Evaluation Record Files	560-03	MPD
Employee Record Card Files	020-02	*
Employee Service Case Files	570-02	MPD
Employee Suggestion Control and Subject Index Files	590-04	MPD
Employment and Financial Interest Statement Files	550-03	MPD
Encrypted Message Text Files	230-12	ENPC
Encrypted Traffic Reporting Files	230-11	ENPC
Enforcement Activities Reporting Files	601-06	EN
Enforcement Confidential Fund Files	601-03	EN
Enforcement Journal Files	601-10	EN
Enforcement Program Files	601-04	EN
Equal Employment Opportunity Affirmative Action Files	501-04	EO
Equal Employment Opportunity Complaint Case Files	501-03	EO
Equal Employment Opportunity Reporting Files	501-01	EO
Equal Employment Opportunity Special Program Files	501-05	EO
Equal Employment Opportunity Survey Files	501-02	EO
Equipment and Supply Requisition Files	1101-10	MAS
Equipment Loan Files	1101-04	MASG
Equipment Records Files	1101-02	MASG
Evidence Accountability Files	901-03	STF
Excess Property Reporting Files	1101-09	MASG
Expert and Consultant Data Files	550-02	MPD

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Facilities Services Files	1110-05	MASF
Facilities Utilization Files	1110-01	MASF
Feature Story Review Files	370-04	PA
Federal Assistance Program Files	610-01	LZ
Federal Assistance Program Reporting Files	610-02	LZ
File Specifications Files	1201-03	MSC
Floor Plan Files	1110-02	MASF
Foreign Claim Files	310-08	CC
Foreign Country Files	601-11	EN
Foreign National Personnel Files	820-04	TRI
Foreign Scientific Information Files	940-01	ST
Foreign Training Program Control Files	820-02	TRI
Foreign Training Program Files	820-01	TRI
Foreign Training Reporting Files	820-05	TRI
Forms Functional Files	1301-04	MGTR
Forms Management Reporting Files	1301-01	MGTR
Forms Number Register Files	1301-05	MGTR
Forms Numerical Files (External)	1301-03	MGTR
Forms Numerical Files (Internal)	1301-02	MGTR
Funding Program Files	130-05	MCT
GAO Audit Reporting Files	170-01	PEP
General Investigative Files	601-08	ENPR
General Ledger Files	410-02	MCTA
Guard Reporting Files	240-05	IN
Health Record Files	1001-02	MMD
Hours of Work Files	570-01	MPD
Housekeeping System Master Files	1220-01	MSC
Illustration and Drawing Files	1150-05	MASG
Import/Export Permit Files	630-06	CRC
Imprest Fund Account Files	401-13	MCTA
Imprest Fund Shortage Files	401-14	MCTA
Inactive Employment Application Files	540-03	MPD
Incentive Award Case Files	590-03	MPD
Incentive Award Committee Meeting Records Files	590-01	MPD
Incentive Awards Reporting Files	590-02	MPPD
Index Book Files	901-02	STF

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Individual Item Pricing Files	480-03	MASC
Individual Training Record Files	810-01	TR
Information Publication Distribution Files	370-10	PA
Information Retrieval Routine Files	1201-07	MSC
Information Retrieval System Master Reference Files	1210-09	MSC
Information-To-Industry Files	930-06	ST
Initial Data Abstract Files	1210-03	MSC
Initial Data Card/Tape Abstract Files	1210-05	MSC
Initial Data Reference Files	1210-04	MSC
Initial Data Source Files	1210-06	MSC
Initial Distribution Files	1160-03	MASG
Instructor Information Files	801-08	TR
Integrity Control Files	201-02	IN
Intelligence Collection Files	701-03	IG
Intelligence Confidential Fund Files	701-05	IG
Intelligence Data Files	701-01	IG
Intelligence Dissemination Files	701-04	IG
Intelligence Reporting Files	701-02	IG
Intermediate Data Input/Output Files	1210-07	MSC
Internal Review Files	170-02	PEV
Internal Security Investigative Case Files	201-03	IN
Internal Security Investigative General Files	201-04	IN
Inspection Coordination Files	201-01	IN
Investigative Technique Files	601-02	EN
Judicial Information Release Files	330-02	CC
JUNIPER Microfische Files	510-04	MPPP
JUNIPER Printout Files	510-03	MPPP
Jurisdictional Responsibility Files	601-01	EN
Key Accountability Files	240-04	MASG

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Laboratory Case Files	901-01	STF
Laboratory Reporting Files	901-04	STF
Laboratory Test Reporting Files	490-16	STF
Legal Assistance Case Files	301-02	CC
Legal Opinion Precedent Files	301-01	CC
Legislation Comment Files	360-02	PA
Legislation Files	360-01	PA
Library Catalog Files	1130-03	MASL
Library Voucher Files	1130-01	MASL
Litigation Case Files	330-01	CC
Local Foreign Claim Files	310-09	CC
Mail Control Files	1170-04	MASG
Mail Hours of Collecting Files	1170-05	MASG
Mail Loss and Shortages Files	1170-01	MASG
Mail Production Files	1170-06	MASG
Mail Routing Guide Files	1170-02	MASG
Management Improvement Project Background Files	140-02	MGT
Management Improvement Project Files	140-01	MGT
Management Survey Background Files	150-02	MGT
Management Survey Case Files	150-01	MGT
Manpower Authorization Files	160-01	MCT
Manpower Staffing Standard Files	160-03	MCT
Manpower Statistical Data Files	160-04	MCT
Manpower Survey Files	160-02	MCT
Manufacture and Purchase Quota Files	630-08	CRR
Master, Open-end and Call-type Contract Files	490-05	MASC
Master Position Description Files	520-02	MPD
Mechanized Accounting Document Files	401-18	MCTA
Mechanized Accounting Trans- action Reports Files	401-19	MCTA
Medical Review Files	1001-01	MMD
Microfilming Job Files	1320-06	MSC
Monitor Reel Tape Files	990-03	ENPC
Monthly Dispersement and Collection Document Files	401-16	MCTA
Multiple Address and Book Message Processing Files	990-06	ENPC

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Narcotics and Dangerous Drugs Information System (NADDIS)	1220-11	MSC
News Media and Release Files	370-03	PA
Nonaction Bid Invitation Files	490-17	MASC
Occupational Inventory Files	560-05	MPD
Office General Management Files	010-02	*
Office General Personnel Files	020-01	*
Office Personnel Information Files	020-03	*
Official Personnel Folder Files	550-01	MPD
Open-end Contract Information Files	490-04	MASC
Operating Procedure Files	120-02	PEP
Operating Planning Files	120-01	PEP
Operator's Number Sheet Files	900-05	ENPC
Organization Files	520-03	MPD
Organization Planning Files	110-01	MGT
Other Regional or District Investigative Files	601-12	EN
Output Specifications Files	1201-05	MSC
Packaging and Handling Deficiency Reporting Files	1101-08	MASG
Paid Government Bill of Lading Files	401-09	MCTA
Paid Government Obligations Files	401-02	MCTA
Paid Government Travel Request Card Files	401-06	MCTA
Paid Purchase Order Files	401-04	MCTA
Paid Transportation Schedules Files	401-08	MCTA
Paid Travel Voucher Files	401-03	MCTA
Paid Vendor Invoice Files	401-01	MCTA
Parking Permit Control Files	240-03	MAS

*These are Housekeeping and General Program Files which may be maintained in all offices having a requirement for such files.

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Passport Files	1140-03	MAS
Payroll Systems Printout Files	510-05	MPPP
Personal Property Claim Files	310-05	CC
Personnel Inspection Files	510-02	MPD
Personnel Program Reporting Files	510-01	MPD
Personnel Security Clearance Files	210-01	IN
Photographic Inspection Files	490-15	MASC
Photographic Negative Files	1150-06	MASA
Physical Security Survey Files	220-12	IN
Placement Consideration Files	560-02	MPD
Policy and Precedent Files	060-01	A
Position Number Log Files	520-01	MPD
Position Standard Development Files	520-05	MPD
Position Standard Files	520-04	MPD
Printing Equipment Control Files	1150-01	MASG
Printing Job Jacket Files	1150-04	MASG
Printing Report Files	1150-02	MASG
Problem Statement Files	930-05	ST
Procurement Action Reporting Files	490-10	MASC
Procurement Expediting Files	490-13	MASC
Procurement Inspection Files	490-11	MASC
Procurement Misconduct Case Files	480-07	MASC
Procurement Register Files	490-09	MASC
Proficiency Test Files	810-02	TR
Program and Budget Guidance Files	130-02	PEP
Program and Budget Input Files	130-06	PEP
Program Development Files	130-01	PEP
Project Case Files	940-05	ST
Project Control Files	940-02	ST
Project Register Files	940-03	ST
Project Reporting Files	940-04	ST
Property Accountabililty Transfer Files	1101-03	MASG
Property Officer Designation Files	1101-07	MASG
Property Receipt Files	1101-01	MASG
Public Appearance Schedule Reporting Files	370-01	PA

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Public Information Reporting Files	370-02	PA
Public Inquiry Files	570-08	PA
Publication Approval Files	1330-05	MGTR
Publication Deviation Files	1330-04	MGTR
Publication History and Stock Usage Files	1160-07	MASG
Publication Manuscript Files	1330-03	MGTR
Publication Record Set Files	1330-01	MGTR
Publication Reference Set Files	1330-02	MGTR
Publication Requisition Files	1160-01	MASG
Publication Stock Record Card Files	1160-06	MASG
Qualification Standard Files	540-01	MPD
R&D Planning Files	930-01	ST
Radio Frequency Files	970-04	STO
Reading (CHRON) Files	060-02	*
Records Locator and Disposition Files	1320-05	MGTR
Record of Training Files	860-07	TREI
Records Disposition Standard Files	1320-04	MGTR
Records Holdings Files	1320-07	MGTR
Records Management Survey Background Files	1320-02	MGTR
Records Management Survey Files	1320-01	MGTR
Reduction-In-Force Data Files	580-01	MPD
Re-employment Files	530-02	MPD
Reference Paper Files	060-06	*
Reference Publication Files	060-07	*
Referral and Selection Files	560-01	MPD
Re-Formatted Files	1220-03	MSC
Registration Application Files	630-05	CRS
Registration Journal Voucher Files	630-09	CRS
Reimbursable Moving Expenses and Taxes Withheld Files	401-11	MCTA
Rejected Bid Files	490-08	MASC
Report of Survey Files	1101-05	MASG
Report of Survey Register Files	1101-06	MASG
Reports Control and Output Register Files	1310-02	MGTR

*These are Housekeeping and General Program Files which may be maintained in all offices having a requirement for such files.

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Reports Control Files	1510-01	MGTR
Reproduction Equipment Information Files	1150-03	MASG
Research Clearance Files	370-05	PA
Retention Register Files	580-03	MPD
Safety Award Files	1030-04	MA
Safety Awareness Files	1030-03	MA
Safety Hazard Files	1030-02	MA
Safety Program Files	1030-01	MA
School Admission Files	860-03	TREI
School Planned Input Files	801-04	TR
School Planning Files	860-02	TREI
School Reporting Files	801-05	TR
Scientific and Raw Data Files	940-07	ST
Scientific Research Schedule Files	930-03	ST
Security Awareness Files	210-03	IN
Security Backup Files	1210-10	MSC
Security Briefing and Debriefing Files	210-02	IN
Security Classification Files	220-01	IN
Security Compromise Files	220-09	IN
Security Container Information Files	220-14	IN
Security Container Record Files	220-13	IN
Security Equipment Files	220-11	IN
Security Information Access Case Files	220-04	IN
Security Information Exchange Files	220-06	IN
Security Information Release Files	220-05	IN
Security Inspection and Survey Files	220-10	IN
Security Regrading Case Files	220-02	IN
Service Message Files	990-04	ENPC
Shelf List Card Files	1130-02	MASL
Small Business Information Files	480-10	MASC
Small Business Program Survey Files	480-11	MASC

<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Special Deferment Files	530-03	MPD
Staff Visit Files	060-05	*
Standard of Conduct Files	020-04	*
Statistical Material Clearance Files	370-13	MDS
Statistics Reporting Files	370-14	MDS
Status of Publication Files	1160-02	MASG
Subsidiary Ledger Files	410-03	MCTA
Subsidiary Monthly Payment Files	410-05	MCTA
Summary Accounting Reporting Files	410-07	MCTA
Suspense Files	010-01	*
System Test Documentation Files	1201-02	MSC
System to Retrieve Information from Drug Evidence (STRIDE)	1220-12	MSC
Table of Organization Files	110-02	MGT
Target Practice Files	801-06	TR
Tax Exemption Certificate Files	490-14	MCTA
Technical Material Reference Files	060-08	*
Technical Report Reference Files	940-06	ST
Telecommunication Facility Project Files	970-02	STO
Telephone Service Work Order Files	980-01	MASF
Telephone Toll Call Reporting Files	980-02	MASF
Time and Attendance Report Files	020-05	*
Top Secret Document Record Files	220-07	IN
Top Secret Material Accountability Files	220-08	IN
Tort Claim Files	310-06	CC
Trial Balance Files	410-04	MCTA
Training Aid Work Order Files	830-03	TR
Training Aids Files	830-02	TR
Training Aids Program Files	830-01	TR
Training and Promotion Agreement Files	860-01	TREI
Training Assistance Files	820-03	TRI
Training Evaluation Files	801-03	TR
Training Facility Requirement Files	801-01	TR

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<u>FILE TITLE</u>	<u>FILE NO.</u>	<u>OFFICE OF RECORD</u>
Training Material Files	860-08	TREI
Training Media Files	801-07	TR
Training Operation Files	801-02	TR
Training Program Files	860-05	TREI
Training Reporting Files	860-04	TREI
Transactions for More Than \$10,000 Files	490-03	MASC
Transactions for \$10,000 or Less Files	490-01	MASC
Travel Accountability Files	401-15	MCTA
Travel Advance Card Files	401-12	MCTA
Travel Request Files	1140-01	MAS
Unfunded Study Files	930-04	ST
Unpaid Government Bill of Lading Files	401-10	MCTA
Unpaid Government Travel Request Card Files	401-07	MCTA
Unpaid Purchase Order Files	401-05	MCTA
Unsolicited Proposal Files	930-07	ST
Unsuccessful Bid Files	490-02	MASC
User Guide Files	1201-04	MSC
Valid Transaction Files	1210-08	MSC
Vehicle Authorization Files	1120-01	MASG
Vehicle Control Files	1120-02	MASG
Vehicle Disposition Files	1120-05	MASG
Vehicle Identification Plate Files	1120-03	MASG
Vehicle Operating Cost and Per- formance Reporting Files	1120-04	MASG
Vehicle Seizure Files	330-05	CC
Wage Rate Files	520-07	MPD
Witness Appearance Files	330-04	CC
Work Simplification Proposal Files	140-03	MGT