



INSPECTOR GENERAL  
DEPARTMENT OF DEFENSE  
400 ARMY NAVY DRIVE  
ARLINGTON, VIRGINIA 22202-4704

November 7, 2007

## INSPECTOR GENERAL INSTRUCTION 5015.2

### RECORDS MANAGEMENT PROGRAM

#### FOREWORD

This Instruction provides the basic knowledge required for effective and efficient management, maintenance and disposition of the Department of Defense Office of Inspector General files and records within the Records Management Program. This Instruction has been updated to reflect changes to, and approvals of, Records Disposition Schedules as provided by the National Archives and Records Administration.

The Records Disposition Schedules established in Chapter 8 provide disposition instructions that are in accordance with the General Records Schedule or Agency Approval cited or is under appraisal by the National Archives and Records Administration. Those under appraisal have the term "*Disposition Pending*" following the disposition instructions and must be retained until disposition is approved by the National Archives and Records Administration. Those items marked with an asterisk (\*) have been added or updated since the last issue. Close attention should be paid to the first paragraph in each series of the Records Disposition Schedules.

A new sub-item is included at the end of each series in all schedule series of records Chapter 8 to provide disposition instructions for electronic mail, word processing and other office automation copies maintained apart from the recordkeeping copy.

The office of primary responsibility for this Instruction is the Administration and Logistics Services Directorate. This Instruction is effective immediately.

FOR THE INSPECTOR GENERAL:

A handwritten signature in black ink, appearing to read "SD Wilson".

Stephen D. Wilson  
Assistant Inspector General for  
Administration and Management

**TABLE OF CONTENTS**

**Paragraph** **Page**

**CHAPTER 1. GENERAL**

A.	Purpose.....	5
B.	References.....	5
C.	Cancellation .....	5
D.	Applicability.....	5
E.	Scope.....	5
F.	Definitions.....	5
G.	Acronyms.....	5
H.	Policy .....	5
I.	Responsibilities.....	7

**CHAPTER 2. GENERAL FILE SYSTEM CONSIDERATIONS**

A.	Files Planning.....	11
B.	Locating File Areas.....	11
C.	Records Value.....	11
D.	Functional Filing.....	12
E.	Functional Numbering System .....	12
F.	File Arrangement .....	13

**CHAPTER 3. FILING PROCEDURES**

A.	Files Control.....	14
B.	Office File Plan.....	14
C.	Guide Cards and File Folders .....	14
D.	Labels.....	14
E.	Preparing Documents for Filing.....	15
F.	Coding Papers for Filing.....	16
G.	Cross-Reference.....	17
H.	Filing Procedures .....	17
I.	Labeling File Drawers.....	18
J.	Classified Information .....	18
K.	Chargeout Procedures.....	18

**CHAPTER 4. FILING EQUIPMENT**

A.	Filing Equipment .....	19
B.	Equipment Conservation.....	19
C.	Files Supplies .....	19

**CHAPTER 5. RECORDS DISPOSITION**

A.	General.....	20
B.	Files Cutoff Procedures.....	20
C.	Records Retention.....	21
D.	Changes to Retention Periods.....	21
E.	Changes to Disposition Schedules.....	21
F.	Records Transfer.....	22

**CHAPTER 6. FILES RETIREMENT**

A.	General.....	24
B.	SF 135 Records Transmittal and Receipt.....	24
C.	Packing Instructions.....	26
D.	Labeling and Transferring Records Storage Boxes.....	26
E.	Records Recall Procedures.....	27

**CHAPTER 7. SAFEGUARDING CLASSIFIED DOCUMENTS**

A.	Filing Classified Documents.....	28
B.	Protective Markings.....	28
C.	Retirement of Classified Files.....	28
D.	Top Secret Files Retirement.....	29
E.	Preparing the SF 135 for Classified Documents.....	29
F.	Sensitive Intelligence Documents.....	30
G.	Packing and Shipping Classified Files.....	30

**CHAPTER 8. RECORDS DISPOSITION SCHEDULES**

Series 100	Administration Files.....	31
Series 200	Personnel Files.....	46
Series 300	Planning and Management Files.....	73
Series 400	Budget and Finance Files.....	94
Series 500	Information Technology Operations and Management Records.....	103
Series 600	Operational Services Files.....	117
Series 700	Auditing Program Files.....	126
Series 800	Investigation Program Files.....	131
Series 900	Inspections Program Files.....	141
Series 1000	Intelligence Program Files.....	144
Series 1100	Office of the General Counsel Files.....	147

**APPENDICES**

A. References.....149  
B. Definitions.....150  
C. Acronyms.....157  
D. Privacy Act Cover Sheet, IG Form 5400.11-1.....159  
E. Cross-Reference DD Form 2861 .....160  
F. Chargeout Record (OF 23).....161  
G. Record Transmittal and Receipt (SF 135) .....162  
H. Box Listing.....163  
I. Preparing Records Storage Boxes for Transfer Assembly Instructions.....164  
J. Front End of a Records Storage Box .....165  
K. Records Request, IG Form 5015.2-1 .....166  
L. Classified Covered Sheets.....167  
M. Declassification Supplementary Information Questionnaire .....168  
N. Declassification Review Stamp .....169  
O. Current File Numbers Converted to New File Numbers .....170  
P. Subject Index .....171

## CHAPTER 1 GENERAL

### A. Purpose

1. Assigns responsibility for the records management program under DoD Directive 5015.2, "DoD Records Management Program". The laws governing the management of records can be found in references (a) through (r). The references require agencies to establish and maintain active, continuing programs for the economical and efficient management of agency records.
2. Establishes procedures for the maintenance and disposition of records.
3. Prescribes the Records Disposition Schedules to be used for regular maintenance and disposition of records.

B. References. References are listed in Appendix A.

C. Cancellation. This Instruction supersedes IGDM 5015.2, "*Records Management Program*," dated June 2000.

D. Applicability. The policies, procedures, guidelines, schedules and standards outlined herein are mandatory and apply to all Components of the Office of Inspector General (OIG). Further supplementation of this Instruction is neither required nor authorized. Specific requirements of an individual Component should be provided to the Records Management Officer (RMO) for inclusion in this document as well as for review for broader application.

E. Scope. This Instruction contains specific guidance and information applicable to the creation, organization, maintenance, use and disposition of the OIG records.

F. Definitions. Unique terms used in this Instruction are defined in Appendix B.

G. Acronyms and Forms. Acronyms are identified in Appendix C.

### H. Policy

1. Create, maintain, and preserve information as records, in any media, that document the transaction of business and mission in wartime and peacetime to provide evidence of the OIG functions, policies, procedures, decisions, and activities.
2. Manage records effectively and efficiently while protecting the legal and financial rights and interests of the Government and of persons affected by the Government's activities.

3. Manage all records in any media used for creation or storage, in accordance with approved records schedules.

4. Filing records following the principle that identification or coding of records, regardless of medium, is related to the function that they document. Each OIG Component or office maintains the records that document the performance of each of its functions.

5. Requests for Equipment. Requests for filing equipment are submitted to the RMO for review. The RMO coordinates the request with the Security Office and forwards the request, with the recommended action, to the Supply Management Division (SMD). This review will determine that:

a. The requirement for additional filing space cannot be obtained by disposing of eligible records.

b. Existing equipment is properly used.

c. All records filed in the office are included in the Records Disposition Schedules Chapter 8 and maintained as described in this Instruction.

d. All eligible records have been retired to the appropriate records storage facility, the Washington National Records Center (WNRC) or the National Archives and Records Administration (NARA).

6. General Services Administration (GSA) Approved Containers. Classified document containers are used for storage of classified documents. A good security practice is to not file unclassified documents in the GSA approved container that are unrelated to the classified documents.

7. Records Retention. All OIG records will be kept for the period of time specified in the Records Disposition Schedules in Chapter 8. These retention periods comply with retention requirements established by NARA. For changes or additions to established records schedules, follow the guidelines in Chapter 5, paragraph E, of this Instruction.

8. Filing Instructions. All records will be filed, maintained, transferred, and disposed of following the guidelines in this Instruction. Records not maintained in accordance with this Instruction, must be approved by the RMO.

9. Safeguarding Classified Documents. Reference (c) will be followed in all transactions pertaining to classified documents.

10. Personal Papers. Personal papers are not subject to the provisions of reference (d), which pertains to the maintenance and disposition of "official records."

a. Personnel assigned to the OIG shall review papers periodically to ensure proper maintenance, filing and separation of official records from personal papers.

b. Presidential appointees and other officials in policy-making positions may donate personal papers and extra copies of official papers that they created or acted upon during their term of office to NARA or a Presidential Library for historical retention. After retirement, the donor may have regular access to these documents, including those that are classified. The donor has the prerogative of restricting access to others without his or her authorization.

c. Contact the RMO for further advice on personal papers.

#### 11. Statutory and Regulatory Limitations

a. Classified Document Material. There is no provision for removal by the departing official of classified material. Criminal statutes stipulate penalties for such removals. Limited access arrangements for historical research purposes are allowed under reference (e).

b. Restricted Data. No matter what its form, restricted data may not be removed. Criminal penalties apply to violations. (See reference (f).)

#### 12. Unauthorized Disposition of Records

a. Statutory Basis. Heads of Federal agencies are responsible for preventing the unlawful removal, defacing, alteration or destruction of records. (See reference (d).)

b. Sanctions or Criminal Penalties.

(1) Unauthorized removal of any official record such as paper documents (books, memos, forms, reports, maps, etc.) electronic records, audio visual (photographic, video, film) shall be fined under reference (g) or imprisoned not more than three years, or both.

(2) Having the custody of any such record, proceeding, map, book, paper, document or other, thing, willfully and lawfully conceals, removes, mutilates, obliterates, or DESTROYs the same, shall be fined under reference (g) or imprisoned not more than three years, or both; and shall forfeit his/her office and be disqualified from holding any office under the United States.

c. Reporting Procedures. The OIG is required to report to NARA any unlawful or accidental destruction, defacing, alteration or removal of records. (See reference (h).)

d. Exceptions. Personal papers are not governed by these provisions.

### **I. Responsibilities**

1. The **Inspector General (IG)** has the responsibility to maintain an agency-wide records management program to ensure compliance with the provisions of this instruction.

2. The **Assistant Inspector General for Administration and Management (AIG-A&M)** shall:

- a. Direct and maintain the OIG Records Management Program and ensure that the objectives and policies are efficiently and effectively implemented; and designate an individual to administer the OIG Records Management Program.
- b. Ensure effective control over the creation, organization, maintenance, use and disposition of the OIG records, regardless of media.
- c. Maintain a records holding area to encourage the cost-effective and timely removal of inactive records from office space and to provide access to those records when necessary.

3. The **Records Management Officer (RMO)** shall:

- a. Maintain a comprehensive records management program to ensure effective control over the organization, maintenance, use, designation and disposition of records, regardless of media.
- b. Develop and apply standards, procedures and techniques to improve the management of official records.
- c. Ensure prompt retirement or disposal of temporary records and the timely transfer of permanent valuable records under authorized schedules.
- d. Oversee the efforts of the OIG Components in implementation of this Instruction as the Federal Agency Records Officer to ensure compliance with the provisions of this chapter and the Federal Property Management Regulations (FPMR).
- e. Act as the liaison official with NARA and other Government Agencies on records management matters.
- f. Make provisions for the continued analysis and improvement of records file classifications, indexing systems and the use of filing equipment and supplies.
- g. Ensure that the application of electronic, micrographic and other recordkeeping technology within the OIG is managed economically and efficiently.
- h. Monitor the acquisition of records management recordkeeping equipment, such as computer systems, filing cabinets and micrographic equipment, to include final review and recommendation to the AIG-A&M for approval or disapproval.
- i. Exercise management control over the transfer of records to, and retrieval from, the Federal Records Center.

j. Issue retention and disposition standards for records maintained on electronic or other media.

4. The **OIG Component Heads** shall:

a. Ensure the Records Management Program is implemented within their Components.

b. Appoint in writing a Component Records Officer(s) (CRO) and Alternate Component Records Officer(s) (ACRO) and submit the written appointment to the RMO.

c. Ensure appointment memos are updated upon the departure or change of the CRO and ACRO.

d. Ensure CROs and ACROs are trained in the management of records and have knowledge of applicable laws and regulations governing records management.

5. **Component Records Officer(s) (CRO) and Alternate Component Records Officer(s) (ACRO)** shall:

a. Ensure records are maintained according to the schedules.

b. Ensure requested equipment is appropriate for the specific operations planned.

c. Ensure permanent records are preserved and transferred to NARA as provided by the OIG Records Disposition Schedules in Chapter 8.

d. Ensure temporary records no longer needed in current office space are destroyed or retired, as provided by the OIG Records Disposition Schedules.

e. Perform records management functions and serve as accountable records custodians within the Component.

f. Act in liaison with the RMO.

h. Forward requests for filing equipment, and electronic records management applications, or support to the RMO.

i. Ensure the policies and provisions of reference (i) are followed in the creation of the OIG records.

j. Prepare all required forms used to retire or retrieve records to and from a records center.

6. The **Chief Information Officer (CIO) IRM Official** shall:

a. Serve as the agency official responsible for the information resources management program, (IRM); that is, the process of managing information resources to accomplish missions, which encompasses both information itself and related resources, or assets, such as personnel, equipment, funds and information technology.

b. Coordinate with the agency records officer to ensure that the design and implementation of the agency's information systems incorporate federal and agency records management requirements.

7. The **Systems Administrator** shall:

a. Serve as the person primarily responsible for managing an information system.

b. Work with the records liaison officer, the records custodian, and others to ensure that the design and implementation of the system incorporate federal and agency records management requirements.

8. Office of Record. The physical location of record copies of documents is known as the office of record. Each office of record is responsible for the custody, maintenance, disposition and retirement of its records.

## CHAPTER 2 GENERAL FILE SYSTEM

**A. Files Planning.** In most cases, the OIG Components use decentralized filing. With this approach, documents (files) are accumulated and maintained at the location where the need for them is greatest and access is most convenient. An OIG Component may also establish a central file system within its offices if it is more convenient and will better serve the entire organization.

1. Specialized files of the OIG should be centrally located.
2. Each office of record is responsible for the custody, maintenance, retirement and disposition of its records. The custodian of the files should prepare written procedures explaining where and how records are stored.

**B. Locating File Areas.** The first steps in the effective maintenance of records are to plan the proper location of files, arrange files for ease of use and disposition, and establish procedures for complete documentation. Files should be located to provide maximum availability and use, to avoid duplication and assure the preservation of permanent records and the systematic disposal of all others. For conservation of equipment and space, rapid and economical filing and reference and the protection of records, consider:

1. Access. Records should be kept accessible so that maintenance of duplicate files is unnecessary.
2. Security. Maintain classified material in security containers or secured areas established in accordance with reference (j).
3. Space. Provide space that is sufficient for present and anticipated needs and suitable for the requirements of files operation and protection. Consider the safety, health and morale of records personnel when establishing files area space. Offices storing large quantities of paper records must have fire protection, and approved by the OIG facilities staff. Systems selected to manage electronic records, must comply with reference (o).
4. Placement. Position files equipment and supplies to provide control, smooth workflow and convenience to the maximum number of users. Locate classified files and containers away from windows and doors to prevent illicit acquisition of, or unauthorized access to, classified information.

**C. Records Value.** Records are considered to be of temporary or permanent value depending on their use as administrative tools, as legal or other official evidence, and as material for historical or other research. In general, the records that are the most authoritative, informative and valuable in conducting administrative operations are also the most important for historical or other research purposes.

1. Permanent Records. These are records appraised by the National Archives as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal or fiscal purposes. Only a small portion of the total volume of records accumulated by an agency is of sufficient value to justify preservation as part of the National Archives of the United States. At a specific time, physical and legal custody of those records is transferred to the National Archives.

2. Temporary Records. These are records, approved by the National Archives, for disposal immediately or after a specified period of time. They are disposable after the stated periods of time indicated in the Records Disposition Schedules in Chapter 8.

3. Unscheduled Records. Unscheduled records are Federal records whose final disposition has not yet been approved by NARA in either a General Records Schedule (GRS) or a Program approved schedule. Unscheduled Federal records cannot be without being scheduled and must be treated as Permanent records until NARA approves the disposition. These records shall be brought to the attention of the OIG Records Manager for scheduling.

**D. Functional Filing**

1. The functional file system is based on the concept that each OIG Component maintains records documenting the performance of each of its functions. Records are identified and arranged following the principle that identification or coding of records, papers, correspondence and communications is related to the function that they document.

2. The filing system applies to all records. Personal papers and non-records, such as stacks of publications, blank forms, reference materials, and books in formally organized and officially designated libraries, and reproduction material, such as camera ready master copies and artwork, are not records and are excluded from these requirements. They should, however, be organized in some logical manner for easy retrieval.

**E. Functional Numbering System**

1. The OIG filing system divides records or documents into functional series for ease of reference and disposition. Each series of numbers (100 through 1000) relates to a major functional area within the OIG. General correspondence related to that function is filed immediately following the basic number. Appendix O contains an index of file categories within a major function. Series identification, file number, descriptions and instructions for retention and disposition are contained in the OIG Records Disposition Schedules in Chapter 8. The current major groups with the appropriate numerical designation are:

100 Administration	600 Operational Services
200 Personnel Administration	700 Auditing
300 Planning and Management	800 Investigations
400 Budget and Finance	900 Inspections
500 IT Information and Management	1000 Intelligence

If a requirement for a unique numbering system is required, other than the filing system that has been established by the OIG, a request must be submitted to the RMO for approval.

## **F. File Arrangement**

1. File arrangement concerns the relative position of one paper or group of related papers to another paper or group of related papers within the filing system. This applies to records in all media (paper, electronic, etc.). All offices create records that document actions taken, commitments made, and results achieved. File arrangement is simply the relative positioning of information in a file. Those records are assembled or consolidated in proper sequence to ensure that related information is grouped together. Effective file arrangement ensures simple and economical retrieval, and disposal or retirement of documents.

2. Within the OIG, a document is filed by the function to which it relates and not according to the subject of the document. Within this major functional category, documents are further arranged based on the primary way the file will be requested, such as by case or report number, date, location, organization or topic. Within this arrangement, further subdivision may be applied.

a. Numerical. Numerical files are identified and retrieved by a number, such as a social security number, case or report number, purchase order or a requisition. Arrange files in numerical sequence when they are identified and referred to by a number.

b. Chronological. Chronological files are identified and retrieved by date. Arrange files in date sequence when the date is the primary means of reference. This method is useful for keeping records in small, manageable groups, usually by year, month, and day. Reading and suspense files are examples of files arranged by date.

c. Alphabetical. Alphabetical files are identified and retrieved by subject and name.

(1) Name. Arrange files alphabetically by names of persons, locations or organizations.

(2) Geographical. Arrange files alphabetically by geographical location, such as area, country, state or county, when the geographical location is the primary means of reference. The files are first arranged in alphabetical sequence, using the main geographical area, such as a state (Oklahoma, Texas, West Virginia). The second arrangement would be the next most important subdivision required for reference, such as county or city (Oklahoma: Altus, OK; Gotebo, OK; Mangum, OK; Texas: Amarillo, TX; Kingsville, TX; La Grange, TX).

(3) Organizational. Arrange files alphabetically by the name of the organization when the organization is the primary means of reference. Organizational arrangement is an alphabetical arrangement of organizations as they relate to each other.

(4) Subjective. Arrange files alphabetically by subject when the subject is the primary means of reference.

### CHAPTER 3 FILING PROCEDURES

**A. Files Control.** The success of any filing system depends upon several basic steps. These steps, known as files control, consist of establishing and following a list of the files maintained in the office; arranging guides and folders in sequential order, preparing and filing documents, retrieving papers from the files and charging them out, keeping the files orderly and removing inactive or obsolete files according to the approved records disposition schedules. Each office of record is responsible for the following filing procedures.

**B. Office File Plan.** A file plan is used as an organizing tool. A file plan offers many benefits to include easier filing, consistent record practices, quick reference and records dispositions, effectiveness, efficiency and overall improvement of a records program.

1. Prepare an office file plan that identifies the numbers and titles of all files maintained in the office (Chapter 8).

2. Have the plan reviewed by the supervisor or office manager.

3. Forward the original and one copy of the plan to the RMO for review and approval. The original will be returned to the office of origin and filed under the appropriate functional file number.

4. Review the office plan and compare it with the records disposition schedules in Chapter 8 annually to ensure that the plan is accurate and complete. If revision is necessary, forward two copies of the revised plan as outlined above.

**C. Guide Cards and File Folders**

1. Guide cards. Use guide cards to identify and separate major file series or to identify and support portions of a series. Type standard labels and attach them to the guide card tab. Do not retire or discard file guides when disposing of files, they could be reused. The guide card label should include the series number, title and CY or FY created.

2. File Folders. Use folders that are appropriate to the size of the documents being stored in them. For example, do not use legal-sized folders to store letter-sized documents.

3. Preparation. Prepare folders only for those record categories currently needed.

**D. Labels**

1. Preparation. Type identifying data on standard labels. Include the file number, title, year file created, cutoff (COFF) date and disposition instructions. Use subtitles if needed. Special acronyms and filing definitions are found in Appendices B and C. Commonly accepted abbreviations may also be used.

**EXAMPLE OF A FOLDER LABEL**

File Number	Title	FY/CY	Year File Created
Cutoff Date	Disposition Date		

100a	Admin Correspondence Files		CY 05
COFF	Dec 31 05	DEST	Jan 1 08

2. Placement. Place labels on file folders as follows:

a. Temporary files in the office of record or transferred to the WNRC. Place label on the left side of the top edge of the folder.

b. Permanent files. Place label on right side of the top edge of the folder.

c. Privacy Act on File Labels. When the contents of a folder must be protected, in accordance with reference (k), use IG Form 5400.11-1, *Enclosures Are Personal In Nature*, Privacy Act Information coversheet (Appendix D), or place the following statement adjacent to the regular filing label: “WARNING! This information requires protection under the Privacy Act of 1974” (reference (l)). To protect Privacy Act information, also use IG Form 5400.11-1.

**E. Preparing Documents for Filing**

1. Ensure that action has been completed and that documents are ready to file. Write “file copy” or “record copy” on the right side of the document.

2. Ensure that the file is complete and that enclosures or related papers are included or accounted for.

3. Remove and DESTROY identical, duplicate copies before filing. Ensure that duplicate copies of such records retained for convenience are identified as such and any duplicates or versions of records retained in computers that are no longer needed for reference are deleted as per the dispositions stated within Chapter 8.

4. Remove mail control forms, classified cover sheets (only if classified material has been removed or declassified), envelopes and routing slips unless they contain significant record value.

5. Mend or reinforce torn or frayed temporary papers with transparent tape. Do not tape nor attempt to mend permanent documents. Upon retirement, torn or frayed permanent documents should be supported as best as possible in file folders. The NARA personnel shall mend such documents using methods and materials designed to ensure their preservation. (Glue from tape discolors documents over time and contributes to information loss.)

6. Assemble related documents for filing in the order shown below.

- a. The latest action on top.
- b. The basic paper.
- c. Endorsements, beginning with the earliest.
- d. Enclosures in numerical order.
- e. Supporting papers.

7. Staple related papers together in the upper left corner. Use pronged fasteners only when the material is too thick to use wire staples or if precise arrangement of papers is important in understanding the file.

8. Bring forward related papers. Combine papers of a later date with papers of an earlier date only when reference requirements clearly require such action. Use DD Form 2861, *Cross Reference*, (Appendix E), for papers brought forward to maintain continuity. A reference to an earlier paper does not necessarily require that papers be combined. Examples of papers that are not combined are:

- a. Recurring reports with the policy documents requiring the report.
- b. Applications with the policy document governing submission of the application.
- c. Papers on the same subject that relate to different transactions, such as reports of inspection of two different organizations.

**F. Coding Papers for Filing.** After documents have been prepared for filing, the next step is to code or categorize them. Coding segregates the papers into logical categories for ease of filing and finding. The OIG Component personnel shall adhere to the following guidelines for identifying documents to be filed:

1. Exercise care in determining their administrative, legal, and research value to their relationship to the organization; usefulness as archival documents; and the costs of keeping them. See Chapter 8 and the office file plan for proper file number.

2. In selecting a file number, first determine the functional series that represents the subject matter, and the specific subdivision.
3. Select the proper file designation by referring to the series and title descriptions listed in Chapter 8.
4. Indicate the filing designation (file number) on the right margin of the document.
5. If the material being filed involves one or more subjects by which it may be requested, indicate the cross-reference file number for the additional subject by placing it below the file number shown for the major subject.

**G. Cross-Reference.** Use DD 2861, *Cross Reference*, (Appendix E), to locate documents quickly when they are needed. A cross-reference is a paper filed under one classification and date to show the location of material filed elsewhere. If the record may be requested by more than one subject, place the cross-reference file number for the additional subject below the file number of the major subject. The cross-reference number is preceded by an “X” to distinguish it from the major subject file number and to indicate that it is a cross-reference (i.e., X325-50).

1. For small documents, write the cross reference number and the actual location file number below it on an extra copy. File this copy under the cross-reference number.
2. For large amounts of material, prepare a file label and folder for the cross-reference number. Staple the folder shut and file it under the cross-reference file number.

#### **H. Filing Procedures**

1. File papers loosely in the proper folder with the latest date in front. Use pronged fasteners to attach papers to the folder when the files are frequently used, when sequence of arrangement is of special importance or when all documents in the folder pertain to the same transaction, case or project.
2. Keep folder labels visible by neatly arranging papers in the folders. When the contents of a folder increases to the point that the papers begin to obscure the folder label, crease the bottom front of the folder.
3. When the contents of a folder reaches three-fourths of an inch, begin a new folder. Divide the material at a logical break point, such as at the end of the quarter, showing inclusive dates on the folders. Place the new folder in front of the full folder.
4. Allow at least 4 inches of space in each active file drawer to permit sufficient working space.

5. File bulky material in a storage area suited to its size. For example, unclassified documents maintained in a three-ring binder or large report volumes are best kept in a bookcase. Maintain this material in file classification, date or serial number order. Mark bulky material with storage location and file number to associate it with related papers kept in a file drawer.

**I. Labeling File Drawers and Containers.** All file drawers and containers must be labeled. Use discretion so that identification numbers or markings do not indicate the classification of the stored material. Indicate only the major file series and inclusive dates of the material.

**J Classified Information.** Classified files shall be safeguarded in accordance with reference (c).

1. The interfiling of unclassified and classified information shall be restricted to the information that directly supports, explains, or documents the record of the action or transaction.

2. Classified documents or materials shall be filed or stored in approved classified containers, systems, or secure areas appropriate with the classification of the material to be protected.

**K. Chargeout Procedures.** Prepare an OF 23, *Chargeout Record* card, (Appendix F), as a substitute for documents or other records borrowed or permanently withdrawn from the files. Place the chargeout card in the folder at the exact place where the material was filed so that the “out” portion is visible. This identifies charged out files and simplifies refiling them. When refiling charged out material, line out the entry on the card.

## CHAPTER 4 FILING EQUIPMENT AND SUPPLIES

**A. Filing Equipment.** Filing equipment includes the containers, machines, devices and furniture used for maintaining and servicing files, except Federal Records Center storage cartons used for transferring records. In some cases, shelf filing equipment may be more appropriate than filing cabinets for special storage. However, shelf filing is not authorized for storage of classified material unless located within secured areas established and protected in accordance with reference (j).

1. Use standard equipment listed in the General Services Administration (GSA) Store Catalog, Federal Supply Schedules, and the Defense Services Fund Catalog when possible. Use nonstandard equipment only when no standard equipment will satisfy the filing requirement. The need for nonstandard equipment must be documented and its acquisition approved by the Director, Administration and Logistics Services Division (ALSD).

2. Give careful consideration to the particular files operation before selecting file cabinets. Five-drawer filing cabinets have been standardized because they provide 25 percent more filing area than 4-drawer cabinets in the same amount of floor space.

3. The CROs/ACROs shall contact the RMO for assistance in selecting the best equipment for specific filing needs. For assistance in selecting appropriate storage containers for classified material, contact the Office of Security.

**B. Equipment Conservation.** Equipment should meet office filing requirements. The following procedures apply:

1. When available, use reconditioned or used equipment.

2. Return excess equipment to supply for redistribution.

3. Avoid storing large amounts of blank forms, publications and office supplies in filing cabinets.

**C. File Supplies.** File supplies include folders, guides, fasteners, labels, forms and other related items used for maintaining and servicing files. To conserve folders and guides:

1. Limit the amount of material placed in folders and file drawers so that new materials may be inserted and withdrawn without damaging the folders and guides.

2. Place folders and guides in drawers so that their bottom edges rest flat on the drawer bottom. Reuse folders and guides whenever possible.

3. Contact the RMO if non-standard file supplies are required and for assistance in determining what products will work best.

## CHAPTER 5 RECORDS DISPOSITION

### A. General

1. Disposition of records includes the actions taken when records are no longer needed in current office space. Disposition of temporary records means destruction at the end of a specified period of time. Disposition of permanent records means the transfer of legal and physical custody to the National Archives.

2. Disposition instructions provide the retention period for the files involved (for example DESTROY or retire after a specified number of years after cutoff). Unless otherwise indicated, the disposal date begins at the date the file is cutoff or closed. Disposition helps to preserve records of continuing value, systematically eliminate unnecessary records and remove inactive records from office space to lower the cost of storage space and reduce the cost and effort of recordkeeping.

3. The Federal Records Center (FRC) Notification to Dispose of Records. The FRC notifies the RMO 90 days before scheduled destruction by mailing a *Notice of Eligibility of Disposal Form*, (NA Form 13001). The RMO will distribute a copy of the notification to the CRO to indicate concurrence or nonconcurrence. If the Component concurs, the destruction automatically takes place on the specified date. If nonconcurrence the Component must provide a justification for nonconcurrence, in either a letter or memo, attach it to the copy of the NA Form 13001 and forward to the RMO to submit to the FRC.

**B. Files Cutoff Procedures.** Files cutoff is used to break or end files at regular intervals, usually at the end of a CY or FY. Case files are generally cutoff at the end of the year in which the case is closed. Periodic cutoff of files controls the accumulation and growth of records and simplifies their disposition. When files are cutoff, they become "inactive" or "non-current" and should be segregated from the "active" or "current" files. The following procedures apply to cutoff files:

1. Although usually cutoff at the close of a fiscal or calendar year, files may also be Cutoff at the conclusion of an event or activity.
2. Withdraw the cutoff files from the active file and place them in the rear of the file drawer or in another file drawer. If a file is exceptionally large, simply discontinue further filing within the folder.
3. Do not place current documents in cutoff files.
4. Review all reference materials and DESTROY those that are no longer current or useful.

**C. Records Retention**

1. The retention period is the length of time that records must be kept. Retention periods, published in the Records Disposition Schedules in Chapter 8, were established and approved by NARA.

2. The retention period begins on the date after the files are cutoff unless otherwise indicated. For example, a 2005 file cutoff at the end of the fiscal year and to be retained for 2 years would be cutoff on September 30, 2005 and on October 1, 2007.

**D. Changes to Retention Periods.** When the retention period for a series of records is changed, the following general rules apply:

1. **Increased Retention.** If the change lengthens the retention period, apply the new retention period to all files concerned, regardless of where they are maintained or when they were created. Bring inactive and cutoff files affected by the change under the new retention period.

2. **Reduced Retention.** If the change shortens the retention period, apply the new period to all current records and to inactive records when practical. For example, if the new retention period can be applied only by screening files and marking folders on an individual basis, it is normally more practical to retain the files for the longer period than to attempt to apply the change.

3. **Continued Retention Past Schedule Destruction Date.** If an agency wishes to keep records more than one year past the scheduled destruction date, the head of the agency may request approval of a temporary extension of a retention period by sending a letter to NARA. (See reference (h).) Contact the RMO if records must be retained for an extended period of time.

4. For Records kept less than one year past the destruction date, the agency does not have to submit a formal extension.

5. **Record Freezes or Moratoriums.** The destruction of the affected record information is suspended until the record freeze or moratoriums are lifted. The requirement to suspend the retention period is court or agency ordered, and all affected information is retained until all litigation or disputes are resolved. The Department of Justice (DOJ) or the DoD General Counsel will notify the RMO and the Office of General Counsel of the freeze or moratorium. The record freezes or moratoriums are usually accompanied by a records search for all applicable information.

**E. Changes to Disposition Schedules.** Submit recommendations for changes or additions to the Records Disposition Schedules to the RMO. The RMO reviews and coordinates recommendations and forwards them to NARA for final approval.

1. When recommending changes, submit a memorandum to the RMO with the following information:

- a. Explain in detail why the change is needed.
- b. Follow the format and writing style used in the Records Disposition Schedules in Chapter 8.

2. If recommending the establishment of disposition standards for files for which no instructions are provided, include the following information:

- a. Recommended file title.
- b. A concise description of the record series for which the extension is required.
- c. Reference to the regulations, directives or procedures that caused the creation of the records or file.
- d. The function of the file document.
- e. Recommended filing arrangement.
- f. Recommended cutoff, transfer and disposition instructions.
- g. Volume of records created each year (linear feet).
- h. Current volume of records (linear feet).
- i. State if records are Vital Records.
- j. A statement of the current and proposed physical location of the records.
- k. Approval of a request for extension of retention for the records.

**F. Records Transfer.** Records transfer is the process of moving records from one location to another. Eligible records are routinely transferred to a the Washington National Records Center (WNRC), or a Records Holding Area (RHA) to relieve crowded office space and to provide lower cost storage for records.

1. Retirement. Permanent records are transferred to the WNRC for a specific time period prescribed by the Records Distribution Schedule, then transferred to NARA. Legal custody of the records remains with the agency until final transfer to NARA. This type of transfer is referred to as records retirement. Procedures for retiring records are outlined in Chapter 6.

2. Federal regulations prohibit the transfer of files from one Federal agency to another without the approval of the Archivist of the United States except when:

a. Authorized Transfers to Another Federal Agency. The transfer of records or functions must be required by statute, Executive Order, Presidential reorganization plan, or by a specific determination made by this instruction, ruling or agreement. When records are transferred to another Federal agency, both legal and physical custody go to the gaining agency. Obtain authority to transfer records to any other Government agency through the RMO. In the request for transfer, include the name and location of the receiving agency, reason for the transfer, description of the files to be transferred and an estimate of the volume in linear feet.

b. Records Transferred to a NARA Center. NARA accepts both physical and legal custody of all permanent records.

c. Records Transferred to the WNRC. Prepare an SF 135, "*Records Transmittal and Receipt Form*," (Appendix G) and a box listing, as described in Chapter 6. Provide the original and one copy to the receiving organization and one copy to the RMO.

d. Transfer of Component Function. When a transfer of function from one OIG Component to another or from one location to another occurs, the files pertaining to that function must also be transferred. The order directing the transfer of functions should also direct the transfer of files. Transfer the current files relating to the function to the gaining organization, where they are maintained as a separate entity to preserve their administrative origin. The records transmittal procedures are outlined in Chapter 6.

e. Transfer Inactive COFF Files to the RHA, using the procedures in Chapter 6. Furnish the gaining organization a list of the transferred current files and a copy of the SF 135 listing the inactive files transferred to the RHA.

f. Re-designation or Reorganization. On re-designation without transfer of function, files continue as though no change had occurred.

g. Discontinuance. On discontinuance without transfer of functions, files not authorized for immediate disposal are retired to the RHA. Those procedures also apply to any specially organized element, such as a board, committee, council or commission.

## CHAPTER 6 FILES TRANSFER AND RETIREMENT

**A. General.** The main reasons for transferring records are records protection and cost savings. The records remain in the legal custody of the agency. The agency is responsible for the records until the records are disposed of or until permanent records are accessioned into the Archives and legal custody is transferred. Inactive files should be transferred (retired) from the current office area when they are no longer needed for reference on a regular basis. As a general rule, records routinely referenced less than once a month should be transferred. Records designated for transfer or retirement are treated as follows:

1. Temporary records to be retained for less than 3 years are held in the office of record until time for destruction.
2. Temporary records to be retained 3 or more years are held for 2 years in the office of record, then transferred to the WNRC until destruction.
3. Permanent records are held for 2 years in the office of record, then transferred to the WNRC. At a predetermined time, they are transferred to the National Archives.

**B. SF 135 Records Transmittal and Receipt.** The primary document used in retiring records is the SF 135. The SF 135 serves as a packing list for the transfer and retirement of files, as a medium for controlling the location and disposition of files in records holding areas and records centers, and as a receipt for records retired to records centers. All information recorded on the form must be typed, and all files should be listed in such a way that they can be serviced by WNRC personnel and retrieved when needed.

1. Contact the RMO to obtain special record boxes and an accession number. The SF 135 is available on the Intranet through "OIG Forms" and selection of the form number.
2. Prepare the box listing (Appendix H). A list of records by box and file must be prepared for each accession. When preparing the list:
  - a. Show the accession number and total number of boxes at the top of each page.
  - b. List the contents of boxes sequentially, filling each page. Do not use a separate page for each box.
  - c. Leave 1 inch of space in each box so that files may be removed or replaced easily.
3. Complete the SF 135.
  - a. Complete all blocks on the SF 135 except block 4 and block 6j-m, to be "COMPLETED BY RECORDS CENTER."

b. Obtain the accession number for blocks 6a-c, from the RMO. Obtain an accession number for each block of records having the same disposition authority and final disposition date (called “disposal date” on the SF 135). There is no FRC limit on the number of boxes in a transfer.

c. In Item 6d, the volume in cubic feet corresponds to the total number of FRC storage cartons in the accession (1 carton = 1 cubic foot).

d. In block 6f, Series Description, describe the records in sufficient detail to allow WNRC personnel to verify compliance with the OIG Records Disposition Schedules. Use the Title from the OIG Records Distribution Schedule in Chapter 8 and show inclusive dates. State "GAO Site Audit" if the records have been so designated by the Government Accountability Office. Follow this information with “See Attached Box Listing for Folders.”

For example:

"Audit Project Files - Resolution FY 05"

(See Attached Box Listing for Folders)

At the bottom of the SF 135 type, “ACCESS RESTRICTED TO OIG OFFICIALS ONLY!”

e. Complete block 6g, Restriction, using one of the codes listed on the back of the SF 135. For Unclassified records, use "R" in this column for restricted use – witnessed disposal not required, and “W” witnessed disposal required. For classified documents, use the appropriate code from the back of the form, C-Confidential, S-Secret, T-Top Secret, R-Restricted and W-Witness Restricted use. Code “W” should be used for unclassified Privacy Act System Records.

f. Complete block 6h by citing the OIG Records Disposition Schedules File Number for the Series Description in 6f. This number is found in Chapter 8 and is the number to the left of the description title.

g. Compute the “disposal date”, block 6i, using instructions in the OIG Records Disposition Schedules. Since disposition is accomplished on a quarterly cycle, the date may be advanced to the beginning of the next calendar quarter (for example, 1/2000, 4/2000, 7/2000, 10/2000) to obtain the actual date of disposition.

h. After the records have been shelved at the records center, location information will be furnished by the RMO. Record this information on columns 6j-m of the SF 135 retained in your office.

i. If the transfer of records constitutes a system of records subject to the Privacy Act of 1974 (reference (m)), place a copy of the most recent Privacy Act notice covering the records in the first packing box.

j. Copy and distribute the completed SF 135 and box listing. Retain one copy for your office files. Since this is the only source of information describing the transferring records, the document is vital when the need arises to retrieve a specific paper. Distribute as follows:

- (1) Original SF 135 with box listing to the records management office.
- (2) Copy 1 of SF 135 with box listing for your office files
- (3) Copy 2 of SF 135 with box listing - Put in box #1 on top of the folders.

### **C. Packing Instructions**

1. Pack all records with the same disposition authority and disposal date together under the same accession number. Obtain individual accession numbers for records having permanent retention, for records having the same disposition authority, but different disposal dates, and for records having different disposition authority even though the disposal date may be the same.

2. Before placing records in the cartons, remove non-record material, such as extra copies of documents in the same file. Remove metal clips. If records are in 3-ring binders, remove the records, place them in folders and label the folders.

3. Use the FRC storage boxes (see Appendices I and J) to accommodate either letter- or legal-size file folders. These boxes are available from the RMO. Special containers for odd-sized materials such as punch cards may also be obtained through the RMO. If records are too large or too small for standard containers, pack the documents in a manner that precludes damage in route. Contact the RMO before preparing such shipments and discuss the particular packing requirements.

4. Fill boxes with only one row of file folders. Place letter-size records with tabs facing the front end of the box. Place legal-sized records so that the tabs face to the left of the front end of the box. When filled to capacity, no packing material is required between the files and the inner walls of the box.

5. Pack records snugly in the box, but do not force them. Do not disturb the existing filing arrangement to make future reference easier. Pack potentially active files less tightly than files not expected to be referred to often. As a general rule, allow at least 1 inch of space in the box so that files can be removed or replaced easily and so that the box can be closed with the flaps completely flat.

6. If the last box is not filled, pack the space between the files and the inner walls of the box with crumpled or wadded paper to prevent movement of the contents during shipment. Do not use shredded paper or surplus file folders as packing material.

**D. Labeling and Transferring Records Storage Boxes.** Use a large black magic marker to print the information directly on the box (Appendix J). Print must be 1 to 1-1/2 inches in height. Print the accession number in the upper left-hand corner and the box number in the upper right-hand corner. Place printing in the appropriate block stamped on the front end of the box. Print the agency, major and minor subdivisions (such as, OIG, AUD-ROS) in the lower left portion of the front end of the box. Number the boxes consecutively for each accession number starting with number 1 and show the total number of boxes in the appropriate block. *No other writing is authorized on the records box.*

**E. Records Recall Procedures.** The RMO is authorized to recall records from the WNRC. If records are needed for 6 months or less, a temporary loan is recommended. Records permanently withdrawn cannot be returned to the records center under their original accession number. A new SF 135 must be submitted using a current accession number to retire permanently withdrawn records again. When retrieval is necessary:

1. Complete IG Form 5015.2-1, *Records Request*, (Appendix K). This form is available on the Intranet at "OIG Forms" and selection of the form number, or go to "L Drive", open forms folder " and select the form number.

2. For each item requested, use a separate form and show the accession number, box number, folder title or complete box, records center location (shown on SF 135), name, address and telephone number of the Component Records Liaison. A separate form for each item (file or box) is required because a copy is placed in the record box or in place of the box, as a charge out form. Files from charged out boxes should not be removed, added to or shuffled from one box to another. Request the entire box and not individual folders. This will eliminate the loss of folders.

3. Provide this completed form to the RMO.

4. The RMO will request the record or file via the postal service, telephone, telefax or via electronic transfer to the records center through the Centers Information Processing System (CIPS). CIPS is the electronic processing of reference requests to agencies storing records at any records center. This system speeds service by eliminating the delivery of reference requests via the postal service or courier; and negative replies due to wrong center locations. In almost all cases, CIPS will be used by the RMO.

5. The record or file should be returned to the WNRC as soon as possible. A maximum retention time is set at 6 months from the date the CRO signs for the record. Should a longer retention be required, a written request signed by the CRO should be sent to the RMO and will include the accession number, box number and a suggested new return date. This letter will be filed with the IG Form 5015.2-1 or equivalent documentation.

**CHAPTER 7**  
**SAFEGUARDING CLASSIFIED DOCUMENTS**  
**(Comply with IGDINST 5200.1)**

**A. Filing Classified Documents.** The Records Disposition Schedules are used to determine retention and disposition. Classified documents require additional special handling.

1. Avoid filing unclassified papers with classified papers when possible. Interfile only those unclassified papers that directly support, explain, or document the record of the action or transaction.

2. File all classified material in approved classified security containers or secure areas appropriate with the classification of the material to be protected. Use security containers and filing equipment authorized by reference (c).

**B. Protective Markings**

1. Do not mark secure storage containers with the level of classification of documents stored in them.

2. When a file, folder or group of classified documents is removed from secure storage, it must be marked conspicuously with the highest classification of any of the classified documents. Use one of the following classified document cover sheets (see Appendix L):

a. Standard Form 705, *Confidential Cover Sheet*.

b. Standard Form 704, *Secret Cover Sheet*.

c. Standard Form 703, *Top Secret Cover Sheet*.

3. Although not considered a classified document, unclassified information marked For Official Use Only (FOUO) must also be protected. Mark and cover a FOUO document using DD Form 2286 and safeguard as directed in reference (q).

**C. Retirement of Classified Files**

1. Accession Numbers. Obtain a separate accession number for retiring classified documents. Do not include TOP SECRET material in any accession identified as SECRET or below in classification. The WNRC provides separate storage for TOP SECRET material. Failure to retire TOP SECRET documents under a properly identified TOP SECRET accession number constitutes a security violation.

2. Declassification and Downgrading. Determine if the material can be declassified or downgraded in accordance with of reference (e). If the records are “PERMANENT” and “CLASSIFIED,” the originator must perform a review of the documents in each box of the accession (see Chapter 7, paragraph E3 for procedures).

**D. TOP SECRET Files Retirement.** In addition to Chapter 7, paragraph C:

1. Review TOP SECRET documents that are eligible for retirement by downgrading or declassification as required by reference (c).

2. Transfer TOP SECRET documents to the WNRC under a separate accession number. Do not include TOP SECRET documents in accessions that are retired under an accession number identified as SECRET or below. The WNRC provides separate storage for TS records. Notify the RMO when TS records have been identified for transfer.

3. Cross-reference downgraded or declassified TOP SECRET documents that are a part of the files already retired and sent to WNRC. Make an entry on the office copy of the SF 135 that transmitted the documents to WNRC.

4. Before discontinuance of an office or organization, review all TOP SECRET documents for downgrading or declassification before shipping records to the WNRC.

**E. Preparing the SF 135 for Classified Documents**

1. Complete the SF 135 as described for unclassified records (Chapter 6). Do not list classified titles on the box list since the SF 135 must be an unclassified document. Show a single classification for each accession number. The classification of each document in the box is not shown, only the highest classification in the box. In column 6g, indicate the classification of the records being transferred or any special restrictions to access to the documents. In column 6f, Series Description, describe the records so as not to include any classified information in the description of the file.

2. For TOP SECRET material, complete the SF 135 in the usual manner except that the box listing shows the TOP SECRET documents under each subject and file number to facilitate identification for possible future downgrading.

3. When retiring PERMANENT CLASSIFIED records, the originator will review the contents of each box to determine if the contents can be declassified.

a. The originator of the box of records must prepare an Authority Listing showing each classified document. This listing will include the document title, document date, the classification date and the classification authority.

b. Attach the Authority Listing to the SF 135. Tab records that are to be withheld from declassification by stapling strips of white paper to the documents.

c. Attach a Declassification Supplementary Information Questionnaire (Appendix M) to the SF 135. This information is required so that the National Archives can appropriately protect information that is exempt from declassification after 25 years under the provisions of references (m) and (n).

d. Before submitting the SF 135 (with attachments) to the RMO, the OIG Security Officer must initial the SF 135 indicating approval of the declassification review.

e. Based on the SF 135 and all attachments, the RMO will stamp each box of records with a “Declassification Reviewed” stamp (Appendix N) and forward the forms to the WNRC for approval.

**F. Sensitive Intelligence (SI) Documents.** The WNRC is not cleared to provide storage for documents classified SI. Therefore, permanent SI documents must be retained in the office of record until they are transferred to the National Archives for permanent retention or returned to the originating office. Temporary SI records will be held in the office of record until they are downgraded or destroyed.

**G. Packing and Shipping Classified Files**

1. Do not pack large quantities of unclassified material in classified shipments or a few classified documents in a shipment that is predominantly unclassified. As a general rule, provided file integrity is not damaged:

a. For shipments of 10 cubic feet (10 boxes) or less that contain 50 percent or more unclassified material, segregate the unclassified material and forward as an unclassified shipment under a separate accession number.

b. For shipments of more than 10 cubic feet that contain 25 percent or more unclassified material, segregate the unclassified material and forward as an unclassified shipment under a separate accession number.

2. Cover the openings on the front and back of the box by placing card stock inside the box.

3. Stamp or write the security classification on the boxes and tape boxes closed. Do not cover the accession number and other information listed on the outside of the box.

**CHAPTER 8  
RECORD NUMBERS AND DISPOSITIONS**

**SERIES 100- ADMINISTRATION FILES**

**\*\*A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**100 ADMINISTRATION FILES.** The files described in this series relate to the management and performance of administrative operations and to obtaining administrative services from the offices responsible for providing them. Cutoff all files at the end of the CY when completed unless otherwise directed.

**\*100a Administration Correspondence Files - General.** Records relating to administration that cannot logically be filed with detailed records listed below or that are received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (N1-509-00-6)

**101 Internal Administration Files.** Documents relating to the day-to-day management and internal administration or housekeeping activities of an individual office, rather than the functions for which the office exists. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**101-01 Internal Office Procedures Files.** Documents concerning internal office procedures, hours of duty, and individual duties that do not have continuing applicability. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**\*101-02 Participation in Unofficial Affairs Files.** Records of short-term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidentiary value. Included are such records as:

- a. Routine requests for information and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;
- b. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;
- c. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, blood donor program, Combined Federal Campaign, and similar records;

d. Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;

e. Suspense and tickler files or “to-do” and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date. *Disposition*: DESTROY immediately, or when no longer needed for reference, (e.g., implementing the auto-delete feature of electronic mail systems). (GRS 23-7)

**101-03 Safety and Emergency Procedures Files**. Documents concerning emergency evacuation procedures and office safety, such as notification of unsafe practices. *Disposition*: Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**101-06 Office Instructions Files**. Documents relating to the preparation and issuance of memorandums or continuing instructions that apply only to internal administrative practices within the preparing office. *Disposition*: Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**101-10 Suspense Files**. Papers arranged in a chronological order as a reminder that:

a. An action is required on a given date. *Disposition*: Recordkeeping copy (paper): DESTROY after action is taken. (GRS 23-6a)

b. File or Extra copies (paper): of an outgoing communications, filed by the date on which a reply is expected.

*Disposition*: (1) File copy (paper): Withdraw when reply is received. Incorporate in official file. (GRS 23-6b(2))

(2) Extra copy (paper): Withdraw when reply is received. DESTROY immediately. (GRS 23-6b(1))

**\*101-11 Memoranda of Understanding or Agreement Files**. Documents on agreements between Components of the OIG, and other Military services or Federal Agencies, or between Components of the OIG and other non-Federal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding and cooperation between recognized organizations in the DoD and other Federal agencies. Included are agreements, agreement checklists, amendments, review comments, related correspondence and similar documents. *Disposition*: Recordkeeping copy (paper): DESTROY 6 years and 3 months after supersession, cancellation, or termination of the agreement. (N1-509-99-2)

**101-20 Orientation and Briefings Files**. Documents used in orientations and briefings given to visitors and new employees about the mission, functions, and physical layout of an office. *Disposition*: Recordkeeping copy (paper): DESTROY when obsolete or superseded. (GRS 16-1a)

**108**      **Office Reference Files.** *Non-record* files maintained for reference convenience within an office. REVIEW annually and remove all materials that are no longer needed.

**108-01**    **Publications References Files.** Copies of publications issued by other Government agencies and non-governmental organizations. *Disposition:* Recordkeeping copy (paper): DESTROY when no longer needed. Return accountable publications to supply channels. (GRS 16-1a)

**108-02**    **Technical Materials References Files.** Copies of technical materials retained for reference purposes only. *Disposition:* Recordkeeping copy (paper): DESTROY when no longer needed. Return accountable publications to supply channels. (GRS 16-1a)

**\*108-05**   **Policy and Precedent References Files.** Extra copies of documents establishing policy or precedent for the future and continuing action such as copies of standing operating procedures (SOPs) or examples of typical cases. *Disposition:* Recordkeeping copy (paper): DESTROY individual documents when superseded or obsolete. DESTROY entire file on discontinuance of organizational element to which it relates. (N1-330-88-4)

**108-10**    **Chronological Reading Files.** Information copies of outgoing correspondence arranged in chronological order for reference only. Cutoff monthly, quarterly, or semiannually.

a. Office of Inspector General and Deputy Inspectors General files. *Disposition:* (1) Recordkeeping copy (paper): PERMANENT. Transfer to National Archives after 30 years. (N1-330-92-4) (2) Copies created on electronic mail and word processing systems: DELETE after recordkeeping copy has been produced. (N9-509-00-01)

b. Other Offices. *Disposition:* (1) Recordkeeping copy (paper): DESTROY after 1 year. (N1-330-92-4) (2) Copies created on electronic mail and word processing systems: DELETE after recordkeeping copy has been produced. (N9-509-00-01)

**108-20**    **Activity Reports Files.** Documents submitted to the Weekly, Bi-Weekly, Monthly or Annual Activity Reports and completed reports. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**109**      **Unidentified / Unscheduled Files.** Documents for which no file category or disposition has been established by the OIG Records Disposition Schedules. Contact the OIG Records Manager for disposition instructions.

## **110**      **ADMINISTRATION POLICY AND PROGRAM PROCEDURE FILES**

**112**      **Administration Guidance and Instructions Files.** Documents related to the issuance of IG Administrative Instructions, backup, previous issues, notes and related papers. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a) **Note:** For disposition of Agency-wide policy and programming files, see File Number 310.

**115**      **Implementation Files.** Records relating to the implementation of procedures, systems, methods and standards, and associated matters which result in operational and administration changes. *Disposition:* Recordkeeping copy (paper): Cutoff on completion of the process. DESTROY when issuance is destroyed. (GRS 16-1b)

**120**      **POSTAL AND MAIL MANAGEMENT FILES.** Postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers, agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service and Federal Express).

**\*120-01**   **Office Mail Control Files.** Documents which relate to the control of incoming and outgoing mail by offices (not official mail centers and postal activities). For example: records of messenger trips and similar documents. May also include copies of receipts for accountable mail, such as registered, certified, and numbered insured mail.

a. Accountable mail receipts (recordkeeping (paper): copies): *Disposition:* DESTROY when 1 year old. (GRS 12-6a)

b. Other (paper): documents. *Disposition:* DESTROY immediately or when no longer needed for reference. (GRS 23-7)

**120-25**   **Receipt and Dispatch of Mail Reports Files.** Production reports on mail handling and work, showing statistics on mail received, dispatched, and on hand. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 12-6d)

**120-30**   **Mail Management General Files.** Internal procedures, correspondence, instructional materials. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old or when superseded or obsolete, whichever is applicable. (GRS 12-6g)

**120-35**   **Statistical Mail Reports Files.** Statistical reports and data relating to the handling of mail and volume of work performed. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 12-6d)

**120-40**   **Mail Management Program Files.** General files including correspondence, memoranda, directives, and guides relating to the administration of mail center operations. Documents on the various aspects of the Mail Management Program. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old or when superseded or obsolete, whichever is applicable. (GRS 12-6g)

**120-41**   **Official Meter Mail Files.** Official meter mail reports and all related papers. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 12-7)

**\*121**      **Accountable Mail Files.** Records relating to the receipt and dispatch incoming and outgoing registered, certified, insured or overnight, express and special delivery mail including receipts and return receipts.

a. Unclassified information. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 12-5a)

b. Secret or Top Secret Classified Defense information. *Disposition:* Recordkeeping copy (paper): Transfer to File Number 131-10 or 131-20 as appropriate.

**121-10**      **Reports of Improper Treatment of Mail Files.** Reports of loss, rifling, delay or late delivery, wrong delivery, or other improper treatment of mail.

a. Unclassified information. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 12-5c)

b. Secret or Top Secret Classified Defense information. *Disposition:* Recordkeeping copy (paper): Transfer to File Number 131-10 or 131-20 as appropriate.

**123**      **Postage Meter Operations Files.** Documents and forms containing information on the postage meter system, except fiscal copies. *Disposition:* Recordkeeping copy (paper): Cutoff at end of FY. DESTROY when 1 year old. (GRS 12-5a)

**124**      **Messenger Service Records Files.** Includes daily logs, assignment records and instructions, dispatch records, delivery receipts. Does not include receipts for Secret and Top Secret classified defense information, route sheets, and related documents. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 months old. (GRS 12-1)

**128**      **Mailing Lists Files.** Mailing lists and related material.

a. Correspondence, request forms, and other records relating to changes in mailing lists. *Disposition:* Recordkeeping copy (paper): DESTROY after appropriate revision of mailing list or after 3 months, whichever is sooner. (GRS 13-4a)

b. Card Lists. *Disposition:* Recordkeeping copy (paper): DESTROY individual cards when cancelled or revised. (GRS 13-4b)

**130**      **SECURITY AND PROTECTIVE SERVICES FILES.** Security and protective services records include the various files created by an agency to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; and to determine loyalty and fitness of individuals employed by, or seeking employment from the Government.

**130-10 Security Policy Files.** Documents that implement or issue security policies and procedures established or required by external agencies. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS16-1a)

**130-20 Security Administration Files.** Documents pertaining to the day-to-day administration of the Security Program. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**130-30 Security Program Review Files.** Files relating to periodic facility checks. Reports of reviews of agency personnel and offices to insure compliance with security policies and procedures.

a. Data sheets, door slip summaries, check sheets, and guard reports on security violations. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 18-18a)

b. Routine after-hours security checks. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 month old. (GRS 18-18b)

**130-35 Security Reports Files.** SF 311, Agency Information Security Program Data, Original Classification Authority, Unauthorized Disclosures, or Special Access Programs. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-1)

**130-50 Security Awareness & Education Files.** Documents relating to procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memorandum indicating that the regulations are understood. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-1)

**130-55 Security Briefings Files.** Security briefings to assigned personnel. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-1)

**130-70 Security Incidents/Violations Files.** Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice (DOJ) or Department of Defense (DoD) for prosecutive determination, exclusive of files held by the DOJ and DoD offices responsible for making such determinations.

a. Recordkeeping copy (paper): *Disposition:* DESTROY 5 years after the close of the case. (GRS 18-24a)

b. Other (paper): copies: *Disposition:* DESTROY 2 years after completion of final action. (GRS 18-24b)

**131 ACCOUNTABILITY OF CLASSIFIED MATERIAL FILES.** Records accumulated from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive Order 12356, other Executive Orders or statutory or regulatory requirements, and DoD Directive 5200.1-R, Information Security Program.

**131-03 Security Container Records Files.** Forms placed on safes, cabinets, or vaults containing security classified documents and used for providing a record of entry into the containers.

a. Recordkeeping copy (paper): *Disposition:* DESTROY 3 months following the last entry on the form. (GRS 18-7b)

b. Forms involved in an investigation (paper): *Disposition:* Transfer to security incident case file. (GRS 18-7b) **Note:** Forms involving investigations will be retained until completion of investigation.

**131-04 Security Container Information Files.** Records of safe and padlock combinations, names of individuals knowing the combinations, and any other information necessary to identify and locate the safes or containers. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded by a new form or list, or upon turn-in of containers. (GRS 18-7a)

**131-07 Temporary Internal Receipts Files.** Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing of classified documents to another office or headquarters. Such loans are normally of short duration and borrowed documents are often returned within the same workday. *Disposition:* Recordkeeping copy (paper): DESTROY on return of the document to the individual or office making the loan. (GRS 23-5b)

## **131-10 TOP SECRET DOCUMENT ACCOUNTING AND CONTROL FILES**

**131-11 Top Secret Register Page (IG Form 5200.1-8).** Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after documents shown are downgraded, transferred, or destroyed. (GRS 18-5a)

**131-12 Top Secret Access Record and Cover Sheet (IG Form 5200.1-5).** Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. *Disposition:* Recordkeeping copy (paper): DESTROY when related documents are down graded, transferred, or destroyed. (GRS 18-5b)

**131-13 Top Secret Inventory Files.** Documents reflecting the identity, internal routing, and final disposition of classified papers for which the office is accountable. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after all classified documents recorded have been transferred, , declassified, or entered on a new sheet. (GRS 18-5a)

**131-14 Top Secret Document Destruction Certificate Files.** Forms or other documents accumulated by an office which reflect the destruction of classified documents. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after destruction of records. (GRS 18-5a)

**131-17 Security Classification Regrading Files.** Documents authorizing the regrading of security classified documents. *Disposition:* Recordkeeping copy (paper): Cutoff after final action. DESTROY after 5 years. (GRS 18-5a)

**131-20 Secret/Confidential Accountability Files.** Forms, ledgers, or registers used to show the identity, internal routing, and final disposition of secret and confidential documents. DOES NOT include receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-4)

**131-21 Office Classified Document Receipt Files.** Records documenting the receipt and issuance of classified documents. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-2)

**131-40 Access Request and Authorization Files.** Requests and authorizations for individuals to have access to or transport classified documents. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after authorization expires. (GRS 18-6)

**133-01 COMSEC Program Administration Files.** Correspondence, reports, and other records relating to the administration and operation of the COMSEC program. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-1)

**133-30 COMSEC Briefing Files.** Materials used in developing and increasing awareness of communications security. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**133-50 COMSEC Inspection Files.** Reports of surveys and inspections to ensure adequacy of protective and preventive measures to safeguard information. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old or upon discontinuance of the facility, whichever is sooner. (GRS 18-9)

**135 Personnel Security Files.** Documents containing information on the security clearances of individual personnel and the accreditation of access to classified files. DOES NOT include reports of investigations, counterintelligence, or clearance documents filed in the OPF. *Disposition:* Recordkeeping copy (paper): DESTROY upon notification of death or not later than 5 years after transfer or separation of individual concerned. (GRS 18-22a)

**135-05 Personnel Security Clearance Status Files.** Lists or rosters showing the current security clearance status of individuals. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 18-23)

**135-10 Classified Information Nondisclosure Agreement (SF 312).** Copies of agreements signed by employees with access to information which is classified or classifiable under standards put forth by Executive Order 12356.

a. If maintained separately from individual's official personnel folder (OPF).  
*Disposition:* Recordkeeping copy (paper): DESTROY when 70 years old. (GRS 18-25a)

b. If maintained in the individual OPF: *Disposition:* Recordkeeping copy (paper): Apply the disposition for the OPF. (GRS 18-25b)

**136 Credential Files.** Identification credentials and related papers. *Disposition:* Recordkeeping copy (paper): DESTROY 3 months after return to the issuing office. (GRS 11-4a)

**136-10 Identification Card Files.** Applications for issue of ID cards and records of issuance. *Disposition:* Recordkeeping copy (paper): DESTROY 3 months after return to the issuing office. (GRS 11-4a)

**137 Facilities Security and Protective Services Files.** Records relating to measures taken for the protection of Government-owned or privately operated facilities given security cognizance by Government from unauthorized entry, sabotage, or loss. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-8)

**137-01 Alarm Services Files.** Correspondence, contracts, and agreements files relating to alarm services. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-8)

**137-02 Facilities Survey and Inspection Files (Government Owned Facilities).** Reports of surveys and inspections of Government Owned Facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. *Disposition:* DESTROY when 3 years old or upon discontinuance of facility, whichever is sooner. (GRS 18-9)

**137-03 Survey and Inspection Files (Privately Owned Facilities).** Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents. *Disposition:* DESTROY when 4 years old or when security cognizance is terminated, whichever is sooner. (GRS 18-10)

**137-05 Visitor Control Files.** Registers or logs used to record names of outside contractors, service personnel, visitors, or employees admitted to areas, and reports on automobiles and passengers.

a. Maximum security areas. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after final entry or 5 years after date of document, as appropriate. (GRS 18-17a)

b. Other areas. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after final entry, or 2 years after date of document, as appropriate. (GRS 18-17b)

**137-10 Guard Services Files.** Documents relating to guard assignments and strength, reports, requests, analyses, change notices, etc. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-13b)

**137-30 Equipment/Supplies Security Files.** Property pass files authorizing removal of property or materials. *Disposition:* Recordkeeping copy (paper): DESTROY 3 months after expiration or revocation. (GRS 18-12)

**137-50 Personal Property Accountability Files.** Reports, receipts, and other papers relating to accountability for personal property lost, found, or stolen. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 18-15b)

**137-60 Key Accountability Files.** Files relating to accountability for keys issued.

a. Maximum security areas. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after turn-in of key. (GRS 18-16a)

b. Other areas. *Disposition:* Recordkeeping copy (paper): DESTROY 6 months after turn-in of key. (GRS 18-16b)

**139 Computer Security Files.** Reports of survey and inspections to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and computer facilities against sabotage and unauthorized entry.

*Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old or upon discontinuance of facility, whichever is sooner. (GRS 18-9)

**140 PUBLICATIONS & BLANK FORMS FILES.** Papers relating to the production, supply, and distribution of publications and blank forms.

**140-01 Publications Request Files.** Requests for publications, photos, and general information. Includes copies of acknowledgments and replies. *Disposition:* Recordkeeping copy (paper): DESTROY immediately or when no longer needed for reference. (GRS 23-7)

**140-02 Blank Forms Request Files.** Requests for blank forms. *Disposition:* Recordkeeping copy (paper): DESTROY immediately or when no longer needed for reference. (GRS 23-7)

**140-10 Publications and Blank Forms Administrative Correspondence Files.** Correspondence files pertaining to the administration and operation of the publications and forms programs. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 13-1)

**141 Forms Case Files**

a. Recordkeeping copy (paper): of each form created by the OIG with related instructions and documentation showing inception, scope, and purpose of the form. *Disposition:* DESTROY 5 years after related form is discontinued, superseded, or canceled. (GRS 16-3a)

b. Working papers, background materials, requisitions, specifications, processing data, and control records. *Disposition:* DESTROY when related form is discontinued, superseded, or canceled. (GRS 16-3b)

**145 Publications Case Files.** Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last manuscript report if not published, relating to management projects. Includes DoD Directives and other publications for which the OIG has proponentcy. Recordkeeping copy (paper): with supporting papers: PERMANENT. *Disposition:* Transfer to the National Archives in 5-year blocks when most recent record is 30 years old. (N1-330-88-4)

**160 COMMUNICATIONS FILES.** Records documenting communication functions including telecommunications service control and operational records and long distance telephone records.

**160-01 Requests for Telephone Services Files.** Internal requests for installation of telephones, DSN, Calling Cards. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after audit or when 3 years old, whichever is sooner. (GRS 12-2d (2))

**160-10 Telecommunications Policy and Procedures Files.** Documents reflecting the OIG procedures for the telecommunications program. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**160-11 Telecommunications Policy Background Materials Files.** Backup materials, drafts, and examples of policy from other agencies. *Disposition:* Recordkeeping copy (paper): DESTROY when issuance is. (GRS 16-1b)

**160-20 Directory Change Files.** Requests for changes to telephone directories. *Disposition:* Recordkeeping copy (paper): DESTROY 2 months after issuance of listing. (GRS 11-3)

**\*160-50 Telecommunications Services Contract and Agreement Files.** Copies of agreements or contracts with background data and other records relating to agreements for telecommunications services. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after expiration or cancellation of agreement. (GRS 12-2e)

**161 Telephone Floor Plan Files.** Floor plans showing location of office telephone extensions. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 12-2b)

**163 Telecommunications Voucher Files (Reference).** Reference copies of vouchers, bills, invoices, and related records. *Disposition:* Recordkeeping copy (paper): Cutoff annually (FY). DESTROY 1 year after cutoff. (GRS 12-2d (1))

**163-05 Telephone Statement and Toll Slip Files.** Summaries of long distance telephone reports used to indicate authorized use of telephone service. *Disposition:* Recordkeeping copy (paper): Cutoff annually (FY). DESTROY 3 years after period covered by related account, fiscal year cutoff. (GRS 3-10)

**165 Data Communications Systems Case Files.** Records relating to the installation, change, removal, and servicing of data communications network systems. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after audit or when 3 years old, whichever is sooner. (GRS 12-2d (2))

**167 Telephone Case Files.** Records relating to the installation, change, removal and servicing of office telecommunications systems and equipment. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after audit or when 3 years old, whichever is sooner. (GRS 12-2d(2))

**170 BUILDING AND SPACE ADMINISTRATION FILES.** Acquisition, allocation, and utilization of space and office services and related correspondence.

**\*170a Space and Maintenance General Correspondence Files.** Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation and related papers. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 11-1)

**170-01**

**Office Space Request Files.** Suspense file of uncompleted requests for office space and similar documents related to office space.

a. Recordkeeping copy (paper): *Disposition:* Transfer to appropriate case file when action is completed. (GRS 23-6(b) (2))

b. Extra (paper): copies: *Disposition*: DESTROY when action is completed. (GRS 23-6a)

**170-10 Office Space - Utilization and Planning Files.** Records relating to the allocation, utilization, and release of space under the OIG control. *Disposition*: Recordkeeping copy (paper): Cutoff on termination of assignment, when lease is canceled, or when obsolete or superseded. DESTROY 2 years after cutoff. (GRS 11-2a)

**171 Building Plan Files.** Floor plans showing placement of walls, doors, electrical wiring, ductwork, lighting, etc. *Disposition*: Recordkeeping copy (paper): Cutoff on termination of assignment, when lease is canceled or when obsolete or superseded. DESTROY 2 years after cutoff. (GRS 11-2a)

### **173 OFFICE SPACE REPORT FILES**

**173-01 Office Space - GSA Report Files.** Records supporting and copies of reports submitted to the General Services Administration regarding space occupied. *Disposition*: Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 11-2b(1))

**173-02 Office Space - DoD Report Files.** Records supporting and copies of reports submitted to the DoD regarding space occupied. *Disposition*: Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 11-2b(2))

**175 Office Space Case Files.** Case files reflecting administrative space assigned to the OIG offices, lease agreements, work orders, etc. *Disposition*: Recordkeeping copy (paper): Retain in office files. DESTROY 2 years after assignment is terminated or lease is canceled or when plans are superseded or obsolete. (GRS 11-2a)

**180 AUDIOVISUAL RECORDS** This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

### **STILL PHOTOGRAPHY**

**180-01 Photographs.** Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency. *Disposition*: DESTROY when 1 year old. (GRS 21-1)

**180-02 Personal Identification or Passport Photographs.** *Disposition*: DESTROY when 5 years old or when superseded or obsolete, whichever is later. (GRS 21-2)

**GRAPHIC ARTS**

- 180-03** **Viewgraphs.** *Disposition:* DESTROY 1 year after use. (GRS 21-5)
- 180-04** **Routine Artwork for Handbills, Flyer, Posters, Letterhead and other Graphics.**  
*Disposition:* DESTROY when no longer needed for publication or reprinting. (GRS 21-6)
- 180-06** **Negatives.** Line and halftone negatives, screened paper prints and offset lithographic plates used for photomechanical reproduction. *Disposition:* DESTROY when no longer needed for publication or reprinting. (GRS 21-7)
- 180-07** **Line Copies of Graphs and Charts.** *Disposition:* DESTROY when no longer needed for publication or reprinting. (GRS 21-8)
- 180-08** **Films.** Films acquired from outside sources for personnel and management training. *Disposition:* DESTROY 1 year after completion of training program. (GRS 21-9)
- 180-09** **Programs.** Programs acquired from outside sources for personnel and management training. (GRS 21-14) *Disposition:* DESTROY 1 year after completion of training program.
- 180-10** **Tapes.** Practice tapes. *Disposition:* DESTROY Immediately. (GRS 21-16)
- 180-11** **Recordings.** Recordings that document routine meetings and award presentations. *Disposition:* DESTROY when 2 years old. (GRS 21-20)
- 180-12** **Transcription.** Recordings of meetings made exclusively for note taking or transcription. EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. *Disposition:* DESTROY immediately after use. (GRS 21-22)
- 180-13** **Dictation Tapes or Belts.** *Disposition:* DESTROY immediately after use. (GRS 21-23)

**\*199 WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

- a. **Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

b. **Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 200 – PERSONNEL FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**\*200 PERSONNEL FILES.** Most of the records filed under this series are prescribed by Title 5 of the Code of Federal Regulations. Beginning with sub-series 230, file numbers relate to Title 5 of the Code of Federal Regulations chapter series. For example, 230 - 239 relate to Civilian Personnel Employment and contain information prescribed by Title 5 of the Code of Federal Regulations Chapters in the 300 series. For each sub-series, there is a general correspondence category. Many documents in this series are retained in the current files area until the employee leaves the agency. Cutoff all files at the end of the CY when completed unless otherwise directed.

**200a Personnel Administration Correspondence Files - Action.** Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-3)

**200b Personnel Office Administration General Correspondence Files – Non-Action.** Documents relating to personnel that are received for information only and require no action. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**201 Requests for Personnel Action Files.** Suspense copies of SF 52 for various civilian personnel actions, such as accessions, position changes, rate of pay changes, or separations.

*Disposition:*

a. Recordkeeping copy (paper): INCORPORATE into the official file. (GRS 23-6b(2))

b. Extra (paper): copies: DESTROY immediately. (GRS 23-6b(1))

**202 Office General Personnel Files.** Files maintained for the day-to-day administration of office employees. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**\*202-01 Time and Attendance (T&A) Source Files.** All time and attendance records upon which leave input data is based, such as time or sign-in sheets; flextime records (IG Form 1400.610-1); leave applications for jury and military duty; authorized premium pay or overtime maintained at duty post. Records may be in either machine readable or paper form. *Disposition:* Recordkeeping copy (paper): Cutoff files at end of CY. DESTROY after GAO audit or when 6 years old, whichever is sooner. (GRS 2-7)

**\*202-02 Time and Attendance Input Records.** Records neither paper nor machine readable form used to input time and attendance data into payroll system, maintained either by agency or payroll processor. *Disposition:* Recordkeeping copy (paper): DESTROY after GAO audit or when 6 years old, whichever is sooner. (GRS 2-8)

**202-05 Leave Application Files.** SF 71 or equivalent plus any supporting documentation for requests and approvals of leave.

a. If employee initials time card or equivalent. *Disposition:* Recordkeeping copy (paper): DESTROY at end of following pay period. (GRS 2-6a)

b. If employee has not initialed time card or equivalent. *Disposition:* Recordkeeping copy (paper): DESTROY after GAO audit or when 3 years old, whichever is sooner. (GRS 2-6b)

**202-10 Flextime Attendance Files.** Consolidated with File Number 202-01 above.

**\*202-20 Donated Leave Program Case Files.** Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donations or OPM 630A, supervisor and timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records. *Disposition:* Recordkeeping copy (paper): Beginning in January 1994, DESTROY one year after the end of the year in which the file is closed. (GRS 1-37)

**\*203 Personnel Function Files - General.** Files relating to the general administration and operation of personnel functions. Includes college programs, selective placement programs (handicapped, veterans, and ex-offenders) programs, special careers (Summer Aid, Stay-in-School), examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere, excluding those at agency staff planning levels. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**203-20 Employment Programs and Manpower Management Files - General Information.** Correspondence, report memoranda, and other records relating to employment programs and functions, and manpower management and evaluation. Includes experts and consultants, reemployment rights, employee transfer and detail, overseas employment, and accepted positions. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**\*205 Ethics Program Records.** Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, Title IV, authorizes the development of an executive branch-wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of Title IV and Office of Government Ethics (OGE) executive branch-wide regulation at 5 C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records

documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists are not included in this schedule. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

**Note:** Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

**205-01 Standards of Conduct Files.** Documents relating to procedures to assure that all personnel fully understand the standards of conduct and ethics. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood. *Disposition:* Recordkeeping copy (paper): DESTROY after the next periodic application of the procedure or when obsolete. (N1-330-88-4)

**\*205-02 Ethics Program Implementation, Interpretation, Counseling, and Development Files.** Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Including:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.
- Determinations, including advice and counseling to individual employees, and supporting records.
- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.
  - a. Records such as determinations regarding attendance at widely-attended gatherings which appropriate agency ethics officials determine are related to the routine, non-

precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. " 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines. *Disposition* Recordkeeping copy (paper): DESTROY when 3 years old or when superseded or obsolete, whichever is later. (GRS 25-1a).

b. All other records. *Disposition*: Recordkeeping copy (paper): DESTROY when 6 years old or when superseded or obsolete, whichever is later. (GRS 25-1b).

**\*205-03 Financial Disclosure Reporting Files.** Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.

(1) SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected. *Disposition*: Recordkeeping Copy (paper): DESTROY 1 year after nominee or candidate ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 25-2a(1)).

(2) All other SF 278s. *Disposition*: Recordkeeping copy (paper): DESTROY when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 25-2a(2))

b. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.

(1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate. *Disposition*. Recordkeeping copy (paper): DESTROY 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 25-2b(1)).

(2) All other OGE Form 450s and OGE Optional Form 450-As. *Disposition*: Recordkeeping copy (paper): DESTROY when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 25-2b(2)).

c. Alternative or additional financial disclosure reports and related records.

(1) Reports for individuals not subsequently confirmed by the U.S. Senate.

*Disposition:* Recordkeeping copy (paper): DESTROY 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 25-2c(1)).

(2) All other alternative or additional financial disclosure reports. *Disposition:*

Recordkeeping copy paper: DESTROY when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 25-2c(2)).

**\*205-04 Ethics Agreement Records.** Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

- Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.
- Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.
- Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3).

*Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken or is no longer in effect, whichever is later. (GRS 25-3).

**\*205-05 Ethics Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.** Referrals made to Inspectors General or the Department of Justice and notifications to the OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution.

*Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 25-4).

**\*205-06 Non-Federally Funded Travel Files.**

a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the OGE in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 25-5a)

b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after submission of report to the Office of Government Ethics. (GRS 25-5b)

**\*205-07 Ethics Program Review Files.** Reports, correspondence, and other records relating to the OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.

a. The OGE program review reports, agency 60-day response letters, and other follow-up records sent to the OGE on the resolution of program deficiencies. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 25-6a)

b. All other records produced during OGE program reviews, including notes and background materials. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the date of the OGE program review report or, if there are recommendations, one year after they are closed. (GRS 25-6b)

**\*205-08 Annual Agency Ethics Program Questionnaire Files.**

a. Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after submission. (GRS 25-7a)

b. All other records related to responses to annual agency ethics program questionnaires. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after submission of associated annual agency ethics program questionnaire. (GRS 25-7b)

**\*205-09 Ethics Program Employee Training and Education Files.**

a. Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 25-8a)

b. Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old or when superseded or obsolete, whichever is later. (GRS 25-8b)

**\*205-10 Ethics Program Procedures Files.** Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old or when superseded or obsolete, whichever is later. (GRS 25-9).

**\*205-10 Ethics in Government Financial Disclosure Statement Files.** *Deleted.*  
Incorporated in OIG File Number 205-03. (GRS 25-2a(1))

**\*205-20 Employment and Financial Interest Statement Files.** *Deleted* Replaced by OIG File Number 205-10. (GRS 25-09).

**210 PERSONNEL POLICY AND PROGRAM PROCEDURES FILES.** Records which relate to developing internal OIG policies and procedures and to implementing OPM or DoD policies and procedures. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**210-05 Personnel Policy and Procedures Background Material Files.** Background information pertaining to the development of policies, procedures, and standards governing civilian personnel administration. *Disposition:* Recordkeeping copy (paper): DESTROY when issuance is . (GRS 16-1b)

**\*211 Personnel Administration and Operations Files.** Information pertaining to the internal management and operational aspects of civilian personnel administration, such as control of positions, determinations and justifications of personnel authorizations and requirements, controls to assure that authorizations are not exceeded, and reporting records covering civilian personnel strength not covered under other items in this section. *Disposition:* Recordkeeping copy (paper): Cutoff annually (FY). DESTROY when 3 years old. (GRS 1-3)

**211-01 Administration and Operation Correspondence Files.** Documents relating to personnel administration and operation. *Disposition:* Recordkeeping copy (paper): Cutoff annually (FY). DESTROY when 3 years old. (GRS 1-3)

**\*211-02 Offers of Employment Files.** Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted Offers. *Disposition:* Recordkeeping copy (paper): DESTROY when employment is effective. (GRS 1-4a)

b. Declined Offers.

(1) When name is received from certificate of eligibles. *Disposition:* Return to OPM with reply and application. (GRS 1-4b(1))

(2) Temporary or accepted appointment. *Disposition:* Recordkeeping copy (paper): File with application. (GRS 1-4b(2))

(3) All others. *Disposition:* Paper copies: DESTROY immediately. (GRS 1-4b(3)).

**\*211-03 Interview Records.** Correspondence, reports, and other records relating to interviews with employees. *Disposition:* Recordkeeping copy (paper): DESTROY 6 months after separation of employee. (GRS 1-8)

**\*211-04 Examining and Certification Records.** Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

a. Delegated agreements. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after termination of agreement. (GRS 1-33a)

b. Correspondence concerning applications, certification of eligible, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, the White House, the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 1 year after cutoff. (GRS 1-33b)

c. Correspondence or notices received from eligible's indicating a change in name, address, or availability. *Disposition:* Recordkeeping copy (paper): DESTROY 90 days after updating the appropriate record in the registry or inventory. (GRS 1-33c)

d. Test material stock control. Stock control records of examination test material including running inventory of test material in stock.. *Disposition:* Recordkeeping copy (paper): DESTROY when test is superseded or obsolete. (GRS 1-33d)

e. Application Record Card (OPM Form 5000A, or equivalent). *Disposition:* Recordkeeping copy (paper): Cutoff after examination. DESTROY no later than 90 days after cutoff. (GRS 1-33e)

f. Examination Announcement Case Documentation Files. Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination. *Disposition:* Recordkeeping copy (paper): Cutoff after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. DESTROY 2 years after cutoff. (GRS 1-33f)

g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs). *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after the date on which the register of inventory is terminated. (GRS 1-33g)

h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent). *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 1 year after cutoff. (GRS 1-33h)

i. Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 months old. (GRS 1-33i)

j. Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required. *Disposition:* Recordkeeping copy (paper): Cutoff files annually. DESTROY 5 years after cutoff. (GRS 1-33j)

k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 1 year after cutoff. (GRS 1-33k)

l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active register or inventory. *Disposition:* Recordkeeping copy (paper): DESTROY 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any). (GRS 1-33 (l) (1))

(2) On inactive register or inventory. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 1 year after cutoff. (GRS 1-33 (l) (2))

m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 2 years after cutoff. (GRS 1-33m)

n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. *Disposition:* Recordkeeping copy (paper). Cutoff annually. DESTROY 2 years after cutoff. (GRS 1-33n)

o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form. *Disposition:* Recordkeeping copy (paper). Cutoff annually. DESTROY 1 year after cutoff. (GRS 1-33o)

p. Certificate files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 2 years after cutoff. (GRS 1-33p)

q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 2 years after cutoff. (GRS 1-33q)

r. Interagency Placement Program (IPP) application and registration sheet. *Disposition:* Recordkeeping copy (paper): DESTROY upon expiration of employee's DEP eligibility. (GRS 1-33r)

s. DEP control cards, if maintained. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY 2 years after cutoff. (GRS 1-33s)

t. Reports of audits of delegated examining operations. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after date of the report. (GRS 1-33t)

## 215 MILITARY PERSONNEL FILES

**215-01 Military Authorization Files.** The OIG military manpower authorizations, justification for new positions or deletions; control over grade requirements. (These ARE NOT individual personnel files.) *Disposition:* Recordkeeping copy (paper): Cutoff when no longer current. DESTROY after 10 years. (N1-330-88-4)

**215-10 Military Strength Report Files.** Reports that provide information relating to military strength authorizations and employment. *Disposition:* Recordkeeping copy (paper): Cutoff annually (FY). DESTROY when 2 years old. (GRS 1-16)

**215-50 Military Personnel Records Files.** Documents created as the result of detail or assignment to the OIG, which normally would be made a part of the individual's personnel file and other related correspondence. Orders, promotions, classification, citations for medals, etc.

a. Records appropriate for inclusion in the individual's official personnel file. *Disposition:* (1) Recordkeeping copy (paper): Forward to the appropriate Military Service

within 30 days after release from duty with the OIG. (N1-330-88-4); (2) Copies created on electronic mail and word processing systems. DELETE after recordkeeping copy has been produced. (N9-509-00-01)

b. Other paper records. *Disposition*: DESTROY 1 year after transfer of the individual. (N1-330-88-4)

**215-60 Military Leave Files.** Records relating to leave of military personnel. *Disposition*: Recordkeeping copy (paper): DESTROY individual leave authorization when adjustments are made. (N1-330-88-4)

**220 PERSONNEL PROGRAM FILES – GENERAL.** Files relating to the overall general personnel program.

**220-01 Official Personnel Folders (OPF) Files.** Records filed on the right side of the OPF. (See GRS 1, Item 10, IG File Number 220-05, for temporary papers on the left side of the OPF.) Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.

a. Transferred Employees. *Disposition*: Recordkeeping copy (paper): See Chapter 7 of the Guide to Personnel Recordkeeping for instructions relating to folders of employees transferring to another agency. (GRS 1-1a)

b. Separated Employees. *Disposition*: Recordkeeping copy (paper): Transfer folder to the National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separated. The NPRC will DESTROY 65 years after separation from Federal service. **Note**: Make listing of Name, SSAN, DOB and DOS for each box. (GRS 1-1b)

**\*220-05 Temporary Individual Employee Files.**

a. All copies of correspondence and forms maintained on the left side of the OPF in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records. *Disposition*: Recordkeeping copy (paper): DESTROY when superseded or obsolete, or upon transfer or separation of the employee unless specifically required to be transferred with the OPF. (GRS 1-10a)

b. Immigration and Naturalization Service Form I-9. *Disposition*: Recordkeeping copy (paper): Create new files in FY/CY in which employee enters the OIG. Cutoff file in FY/CY in which employee separates or transfers to another agency. DESTROY 3 years after employee separates from service or transfers to another agency. (GRS 1, Item 10b)

**\*220-06 Supervisors' Personnel Files and Duplicate OPF Documentation**

a. Supervisors' Personnel Files. Correspondence, forms and other records relating to positions, authorizations, pending actions, position descriptions, request for personnel action, and records on individual employees duplicated in or not appropriate for the OPF. *Disposition:* Recordkeeping copy (paper): Review annually and DESTROY superseded or obsolete documents, or DESTROY file relating to an employee within 1 year after separation or transfer. (GRS 1-18a)

b. Duplicate Documentation. Other copies of documents duplicated in OPFs not provided elsewhere in this schedule. *Disposition:* DESTROY when 6 months old. (GRS 1-18b)

**\*225 Notification of Personnel Action – Standard Form 50 (SF 50) Files.** SF 50, documenting all individual personnel actions such as employment, promotions, transfers, separations, exclusive of the copy in the OPF.

a. Chronological file copies, including fact sheets, maintained in personnel offices. *Disposition:* Recordkeeping copy (paper): Cutoff monthly. DESTROY when 2 years old. (GRS 1-14a)

b. All other copies maintained in personnel office. *Disposition:* Other copies (paper): DESTROY when 1 year old. (GRS 1-14b)

**\*225-01 Transfer or Separation Leave Record.**

a. Record of employee leave, such as SF 1150, prepared upon transfer or separation. *Disposition:* Recordkeeping copy (paper): File on right side of Official Personnel Folder (OPF). (GRS 2-9a)

b. Creating agency copy, when maintained. *Disposition:* DESTROY when 3 years old. (GRS 2-9b)

**\*230 CIVILIAN PERSONNEL EMPLOYMENT FILES.** The 230 sub-series contains information prescribed by the "300" series of chapters in Title 5 of the Code of Federal Regulations.

**\*230-05 Individual Actions Files.** Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.

a. Correspondence and forms relating to pending personnel actions. *Disposition:* Recordkeeping copy (paper): DESTROY when action is completed. (GRS 1-17a)

b. Retention registers and related records.

(1) Registers and related records used to effect reduction-in-force actions.

*Disposition:* Recordkeeping copy (paper): Create new files in FY/CY. Cutoff file at end of FY/CY. DESTROY when 2 years old. (GRS 1-17b(1))

(2) Registers from which no reduction-in-force actions have been taken and related records. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 1-17b)

(3) All other correspondence and forms. *Disposition:* Paper copies: DESTROY when 6 months old. (GRS 1-17c)

**\*230-10 Retention Register Files.** *DELETED.* Incorporated in File Number 230-05b.

**\*232 Certificates of Eligibility (SF 39) Files.** Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 1-5)

**\*233 Merit Promotion Case Files.** Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluation of candidates. Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within grade, merit increases, suggestions and outstanding performance. *Disposition:* Recordkeeping copy (paper): DESTROY after OPM audit or 2 years after the personnel action is completed, whichever is sooner. (GRS 1-32)

**235 Statistical Reports Files - Civilian Personnel.** Statistical reports maintained or prepared by the Human Capital Advisory Services Directorate (HCAS). *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 1-16)

**\*240 EMPLOYEE TRAINING FILES.** The 240 sub-series contains information that is prescribed by the "410" series of chapters in Title 5 of the Code of Federal Regulations.

**240-10 Individual Employee Training Files.** Files such as applications for training, authorizations, schedules reflecting the employee participation in training programs, sponsored by government and non-Government institutions. *Disposition:* Recordkeeping copy (paper): Cutoff files at end of CY. DESTROY when 5 years old or when superseded or obsolete, whichever is sooner. (GRS 1-29b)

**241**      **Training Reports Files.** Documents reflecting training programs available and employee participation in training programs. *Disposition:* Recordkeeping copy (paper): Cutoff files at end of CY. DESTROY when 5 years old or when superseded or obsolete, whichever is sooner. (GRS 1-29b)

**\*245**      **Training Courses and Programs Files.** General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

a. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans and objectives relating to the establishment and operation of training courses and conferences with the OPM, other Federal agencies and non-Government organizations. Recordkeeping copy (paper): *Disposition:* DESTROY when 5 years old or 5 years after completion of a specific training program. (GRS 1-29a(1))

b. Background and Working Files. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-29a(2))

**245-10**    **Training Aids Files.** One copy of each manual, syllabus, textbook, or other training aid developed or contracted for development by OIG. **Note:** Training aids developed by other Government agencies or non-Government institutions are considered non-record reference materials and may be when obsolete or superseded. *Disposition:* Recordkeeping copy (paper): PERMANENT. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

**\*245-40**    **Course Announcement Files.** Correspondence, memoranda, reports, and other records relating to the availability of training sponsored by other government agencies or non-government institutions. *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old or when superseded or obsolete, whichever is sooner. (GRS 1-29b)

**\*250**      **POSITION CLASSIFICATION, PAY AND ALLOWANCES FILES.** The 250 sub-series contains information prescribed by the "500" series of chapters in Title 5 of the Code of Federal Regulations.

**250-10**    **Position Classification Standards Files.** Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 1-7a(1))

**\*250-12**    **Position Classification Development Files.** Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency. Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

a. Case File. *Disposition*: Recordkeeping copy (paper): DESTROY 5 years after position is abolished or description is superseded. (GRS 1-7a(2)(a))

b. Review File. *Disposition*: Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 1-7a(2)(b))

**250-20 Position Classification Appeals Files.** Case files relating to classification appeals. *Disposition*: Recordkeeping copy (paper): DESTROY 3 years after case is closed. (GRS 1-7d (1))

**250-22 Classification Certificate Files.** Certificates of classification issued by OPM. *Disposition*: Recordkeeping copy (paper): DESTROY after position is abolished or superseded. (GRS 1-7d(2))

**252 Position Description (PD) Files.** Files describing established positions, including information on title, series, grade, duties and related documents. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after position is abolished or description is superseded. (GRS 1-7(b))

**252-05 Desk Audits and Survey Files**

a. Correspondence, reports and other records relating to desk audits, inspections, surveys, and evaluations. *Disposition*: Recordkeeping copy (paper): DESTROY when obsolete or superseded. (GRS 1-7c(2))

b. Classification survey reports on various positions prepared by classification specialist, including periodic reports. *Disposition*: Recordkeeping copy (paper): DESTROY when 3 years old or 2 years after regular inspection, whichever is sooner. GRS1-7c(1)

**\*255 Civilian Position Structure Files.** Information reflecting the civilian position structure of each organizational segment. Includes structure charts, summaries, and survey lists; position descriptions; target transition plans; evaluation statements; and similar information. *Disposition*: Recordkeeping copy (paper): Cutoff when superseded. DESTROY when 2 years old. (GRS 23-1)

**\*257 Merit Pay Computation Files.** General Awards Records, EXCLUDING those relating to department-level awards. Information for a merit pay unit listing covered employees. Includes initial salary, computation of funds for the unit, and salary increases granted automatically. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after approval or disapproval. (GRS 1-12a(1))

**260 EMPLOYEE PERFORMANCE AND UTILIZATION FILES****261 Performance Files for Non-SES Appointees (5 USC 4301(2))**

a. Unacceptable Performance. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected, and all related documents. *Disposition:* Recordkeeping copy (paper): DESTROY after employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. (GRS 1-23a(1))

b. Superseded Records. Performance records superseded through an administrative, judicial or quasi-judicial procedure. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded. (GRS 1-23a(2))

c. Former Employees. Performance-related records pertaining to a former employee. *Disposition:* (1) Recordkeeping copy (paper): Latest rating or record 3 years old or less and performance plan upon which it is based and any summary rating. Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates. (GRS 1-23a(3)(a)); (2) All other copies (paper): DESTROY when 4 years old. (GRS 1-23a(3)(b))

d. Other Summary Appraisals. All other summary performance appraisal records. Includes performance appraisals and job elements and standards upon which they are based. *Disposition:* Recordkeeping copy (paper): DESTROY 4 years after date of appraisal. (GRS 1-23a(4))

e. Supporting Documents. *Disposition:* Recordkeeping copy (paper): DESTROY 4 years after date of appraisal. (GRS 1-23a(5))

**\*262 Performance Files for SES Appointees.** Performance records for SES appointees. (5 USC 3132a(2)).

a. Superseded Records. Performance records superseded through an administrative, judicial, or quasi-judicial procedure. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded. (GRS 1-23b(1))

b. Former Appointees. Performance-related records pertaining to a former SES appointee.

(1) Latest rating of record is less than 5 years old, performance plan upon which it is based, and any summary rating. *Disposition:* Recordkeeping copy (paper): Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to the NPRC if employee leaves Federal service. (GRS 1-23b(2)(a))

(2) All other performance ratings and plans. *Disposition*: Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 1-23b(2)(b))

c. All Others. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based. EXCLUDES those for appointees serving on a Presidential appointment (5CFR 214). *Disposition*: Recordkeeping copy (paper): DESTROY 5 years after date of appraisal. (GRS 1-23b(3))

d. Supporting Documents. *Disposition*: Recordkeeping copy (paper): DESTROY 5 years after date of appraisal. (GRS 1-23b(4))

**\*263**      **Presidential Appointee Files**. DELETED. The OSD maintains these files for the OIG.

**\*264**      **Performance Rating Board Case Files**. Copies of case files forwarded to OPM relating to performance rating board reviews. *Disposition*: Recordkeeping copy (paper): DESTROY 1 year after case is closed. (GRS 1-9)

## **265**      **EMPLOYEE AWARDS FILES**

**265-01**    **Awards Correspondence Files**. Correspondence pertaining to awards from other Federal agencies or private organizations. *Disposition*: Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 1-12a(2))

**265-02**    **Award Lists or Indexes**. Lists of nominees and winners and indexes of nominations. *Disposition*: Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 1-12d)

**265-10**    **General Awards Files**. Recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards, such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after approval or disapproval. (GRS 1-12a(1))

**265-11**    **Service Awards Files**. Length of service and sick leave, and list of awardees. *Disposition*: Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 1-12b)

**265-15**    **Letters of Commendation and Appreciation Files**. Letters recognizing length of service and retirement and letters of appreciation and commendation for performance. EXCLUDES copies filed in the OPF. *Disposition*: Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 1-12c)

**265-20**    **Departmental Level Awards Files**. Records relating to awards made at levels higher than the OIG. (Secretary of Defense, Presidential, etc.) *Disposition*: Recordkeeping copy (paper): DESTROY after 5 years. (N1-330-88-4)

**265-30 Incentive Awards Program Report Files.** Reports pertaining to the operation of the Incentive Awards Program. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-13)

**\*270 PERSONNEL RELATIONS AND SERVICES FILES.** The 270 sub-series contains information that is prescribed by chapters in the "700" series of chapters in Title 5 of the Code of Federal Regulations. Cutoff on termination of counseling or when case is closed.

**\*270-10 Counseling Files.** Reports of interviews, analyses, and related records. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after termination of counseling. (GRS 1-26a)

**\*270-50 Retirement Assistance Files.** Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 1-39)

**\*270-55 Deposits for Military Services Files.** SF 2803, SF 3108, work sheets, etc., used to establish payment into the retirement system to cover active military service years. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 1-39)

**\*271-10 Adverse Action Files (5 CFI 752).** Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in-grade) against an employee. Includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records. EXCLUDES letters of reprimand. *Disposition:* Recordkeeping copy (paper): DESTROY no sooner than 4 years but no later than 7 years after case is closed. (GRS 1-30b)

**271-50 Grievance and Appeals Files (5 CFR 771).** Records originating in the review of grievance and appeals raised by agency employees, EXCEPT EEO complaints. Case files include original complaint, statements of witnesses, reports of interviews and hearings, examiner findings and recommendations, the original decision, related correspondence and exhibits, and records relating to a reconsideration request. (MSPB Files) *Disposition:* Recordkeeping copy (paper): DESTROY no sooner than 4 years but no later than 7 years after case is closed. (GRS 1-30a)

**272 Labor - Management Relations Case Files.** Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups. Cutoff on completion or resolution of the case.

a. Office negotiating agreement. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after expiration of agreement. (GRS 1-28a(1))

b. Other offices. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 1-28a(2))

**272-20** **Arbitration Case Files - General.** Correspondence, forms, and background papers relating to arbitration cases. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after final resolution of case. (GRS 1-28b)

**273-05** **Alternative Dispute Resolution (ADR) Files.** Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees. **Note:** This schedule does not apply to: administrative grievance files, adverse action files, formal and informal equal employment opportunity proceedings, traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to the ADR, or private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.

a. General Files. General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. Longer retention is authorized if records are needed for agency business. (GRS 1-27a)

b. Case Files. Records documenting ADR proceedings. These files may include an agreement to use the ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after settlement is implemented or case is discontinued. (GRS 1-27b)

**275** **Equal Employment Opportunity (EEO) Files.** General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation, and agency EEO committee meetings and records including minutes and reports. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old or when superseded or obsolete whichever is applicable. (GRS 1-25g)

**275-11** **EEO Employment Statistics Files.** Periodic and one-time statistical reports analyzing the OIG workforce relating to race, national origin, and sex. *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 1-25f)

**\*275-20** **EEO Affirmative Action Plan (AAP) Files**

a. Agency copy of consolidated AAP(s). *Disposition:* Recordkeeping Copy (paper): DESTROY 5 years from date of plan. (GRS 1-25h(1))

b. Agency feeder plan to consolidated AAP(s). *Disposition*. Recordkeeping copy (paper): DESTROY 5 years from date of plan or when administrative purposes have been served, whichever is sooner. (GRS 1-25h(2))

c. Report of on-site reviews of Affirmative Action Programs. *Disposition*: Recordkeeping copy (paper): DESTROY 5 years from date of report. (GRS 1-25-(h)(3))

d. Agency copy of annual report of Affirmative Action Programs. *Disposition*: DESTROY 5 years from date of report. (GRS1-25(h)(4))

**275-50 EEO Official Discrimination Complaint Case Files.** Documents created in investigating or requesting the investigation of complaints of discrimination. Includes correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 29 CFR 1613.222.

a. Cases resolved within the agency, by EEOC, or a U.S. Court. *Disposition*: Recordkeeping copy (paper): DESTROY 4 years after resolution of the case. (GRS 1-25a)

b. Copies of complaint case files. *Disposition*: Recordkeeping copy (paper): DESTROY 1 year after resolution of the case. (GRS 1-25b)

**\*275-51 EEO Preliminary and Complaint Background Files**

a. Background records not filed in the official discrimination complaint case file. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after resolution of case. (GRS 1-25c(1))

b. Records documenting complaints that do not develop into official discrimination complaint cases. *Disposition*: Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 1-25c(2))

**275-60 EEO Compliance Review Files.** Reviews, background papers, and correspondence relating to contractor employment practices. *Disposition*: Recordkeeping copy (paper): DESTROY when 7 years old. (GRS 1-25d(1))

**275-61 EEO Compliance Reports Files.** Information reflecting activities and conditions related to equal employment opportunity for civilian employees. Includes statistical and narrative reports; training report information, summaries and consolidations, and similar information. *Disposition*: Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-25d(2))

**278 Alcohol and Drug Abuse Program Files.** Records created in planning, coordinating, and directing alcohol and drug abuse programs. *Disposition*: Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-26b)

**\*278-01 Alcohol and Drug Abuse Files - General.** Documents relating to substance programs which, due to their general nature cannot logically be filed elsewhere in the 278 series. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**278-12 Alcohol and Drug Abuse Program Report Files.** Recurring reports directly related to the activities of the programs and required by the DoD and other Federal Agencies. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-3)

**\*278-20 Federal Workplace Drug Testing Program Files.** Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468). EXCLUDES consolidated statistical and narrative reports concerning the operation of agency programs and annual reports to Congress as required by Public Law 100-71, 503(f).

**\*278-21 Drug Test Plans and Procedures Files.** EXCLUDES documents that are filed in record sets of formal issuances such as instructions, procedures handbooks, operating manuals, etc. Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of drug testing programs, including the determination of testing incumbents in designated positions. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old or when superseded or obsolete. See note (2) after item 278-25. (GRS 1-36a)

**278-22 Employee Acknowledgment of Notice Forms Files.** Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested. *Disposition:* Recordkeeping copy (paper): DESTROY when employee separates from testing designated position. See note (2) after item.278-25. (GRS 1-36b)

**278-23 Selection/Scheduling Drug Testing Records.** Records relating to the selection of specific employees/applicants for testing. Includes lists of selects, notification letters, and testing schedules. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. See note (2) after item 278-25. (GRS 1-36c)

**278-24 Collection and Handling of Specimens Files**

a. Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after date of last entry. See note after item 278-25. (GRS 1-36d(1))

b. Chain of Custody Records. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. See note after item 278-25. (GRS 1-36d(2))

**\*278-25 Test Results Files.** Records documenting individual test results, including reports, notifications of employees/applicants and employing offices, and follow-up testing.

a. Negative Results. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-36e(2))

b. Positive Results.

(1) Employees. *Disposition:* Recordkeeping copy (paper): DESTROY when employee leaves the OIG or when 3 years old, whichever is later. (GRS 1-36e(1)(a))

(2) Applicants not accepted for employment. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-36e(1)(b))

**Notes:** (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b (IG File Number 271-10), which authorizes destruction of records between 4 and 7 years after the case is closed.

(2) Any records covered by items 36 a-e (IG File Number 278-20-278-25) that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

**278-28 Collection and Analysis Files.** Reports based on statistical data and studies on drug testing activities. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after date of summary or report. (GRS 1-22)

**\*278-30 Drug Testing Support Agreement Files.** Interagency support agreements with Federal agencies to procure drug testing services required. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 1-26b)

**278-50 Alcohol and Drug Abuse Program Evaluation Files.** Documents relating to program evaluation. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

## **280 HEALTH AND SAFETY FILES**

**\*281 Personal Injury Files.** Forms, reports correspondence and related medical and investigatory records relating to on-the-job injuries whether or not a claim for compensation was made. EXCLUDES copies filed in the Employee Medical Folder and copies submitted to the Department of Labor. *Disposition:* Recordkeeping copy (paper): Cutoff on termination of compensation or when deadline for filing a claim has passed. DESTROY 3 years after cutoff. (GRS 1-31)

**\*282**      **Occupational Injury and Illness Files.** Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200 or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment. *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 1-34)

**283**      **Health and Safety Statistical Summary Files.** Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after date of summary or report. (GRS 1-22)

**\*284**      **Individual Non-Occupational Health Record Files.** Forms, correspondence and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after date of last entry. (GRS 1-19)

**\*285**      **Health Records Files.** Employee Medical Folder (EMF).

- a. Long term medical records as defined in 5 CFR Part 293, Subpart E.
  - (1) Transferred employees. *Disposition:* Recordkeeping copy (paper): See 5 CFR Part 293, Subpart E for instructions. (GRS 1-21a(1))
  - (2) Separated employees. *Disposition.* Transfer to the NPRC, St Louis, MO, 30 days after separation. The NPRC will DESTROY 75 years after birth date of employee, 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later. (GRS 1-21a (2)).
- b. Short term or temporary records as defined in The Guide to Personnel Recordkeeping. *Disposition:* Recordkeeping copy (paper): Cutoff on separation or transfer of employee. DESTROY after 1 year. (GRS 1-21b)
- c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility. *Disposition:* Recordkeeping copy (paper): DESTROY 60 years after retirement to the NARA records storage facility. (GRS 1-21c) **Note:** Electronic master files and databases created to supplement or replace the records covered by record series 285 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.

**\*287**      **Health Benefit Enrollment Files.** Eligibility claims and enrollment files and related papers. *Disposition:* Recordkeeping copy (paper): Create enrollment file in accordance with sub-chapter S17 of the Federal Employees Health Benefits (FEHB) Handbook. (GRS 1-35b(1))

**\*287-20**      **Health Benefit Claims Files - Denied.** Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

a. Health benefits denied, not appealed. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after denial. (GRS 1-35a)

b. Health benefits denied, appealed to the OPM for reconsideration.

(1) Appeal successful - benefits granted. *Disposition:* Recordkeeping copy (paper): Create enrollment file in accordance with sub chapter S17 of the FEHB Hand Book. (GRS 1-35b(1))

(2) Appeal unsuccessful - benefits denied. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after denial. (GRS 1-35b(2))

**\*288**     **Handicapped Individuals Appointment Case Files.** Case files containing position, title and description; fully executed SF 171; medical examiners report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years following the date of approval or disapproval of each use. (GRS 1-40)

**\*289**     **Reasonable Accommodation Request Records**

a. Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

(1) Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;

(2) Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and

(3) Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

b. This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former

employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

(1) General Files. Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the EEOC, the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity (EEO) office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures. *Disposition:* Recordkeeping copy (paper): Cutoff files in FY/CY. DESTROY 3 years after supercession or when no longer needed for reference whichever is later. (GRS 1-24a)

(2) Employee Case Files. Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or Human Resource (HR) specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes. *Disposition:* Recordkeeping copy (paper): Cutoff CY/FY in which all case files are concluded. DESTROY 3 years after employee separation from the agency or all appeals are concluded whichever is later. (GRS 1-24b) **Note:** These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.

c. Supplemental Files. Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, emails, and notes. *Disposition:* Recordkeeping copy (paper): Cutoff files in FY/CY in which all appeals are concluded. DESTROY 3 years after end of FY in which accommodation is decided or all appeals are concluded, whichever is later. (GRS1-24c) **Note:** These records are neither part of an employee's OPF nor part of a supervisor's unofficial personnel file.

d. Tracking System. Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and EEOC guidance. *Disposition:* Recordkeeping copy (paper): Cut files off in FY/CY in which compliance report filed. DESTROY/delete 3 years after compliance report is filed or when no longer needed for reference. (GRS 1-24d)

**\*290 Alternate Worksite Records**

a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee, and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information data subject to the privacy act. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after end of employee's participation in the program. (GRS 1-42a)

b. Unapproved requests. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after request is rejected. (GRS 1-42b)

c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old, or when no longer needed, whichever is later. (GRS 1-42c)

**\*291 Wage Survey Files.** Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets). *Disposition:* Recordkeeping copy (paper): DESTROY after completion of second succeeding wage survey. (GRS 1-38)

**\*292 Pay Comparability Records.** Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later. (GRS 1-41)

**\*299 WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

a. **Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

b. **Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for

recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 300 – PLANNING AND MANAGEMENT FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**300 PLANNING AND MANAGEMENT FILES**

The files described in this series relate to the organizational planning, development, and management of the agency. Cutoff all files at the end of the CY when completed unless otherwise directed.

**\*300a Planning & Management Correspondence Files- General.** Records relating to planning and management that cannot logically be filed with detailed records listed below or that are received for information only and on which no action is required. *Disposition:* Recordkeeping copies (paper): DESTROY when 2 years old. (N1-509-00-6)

**301 Internal Office Organization Files.** Documents relating to the day-to-day organization and function of an office, such as copies of organizational and functional charts and statements, documents relating to office staffing and personnel strength, and similar papers. Also includes documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require approval by the IG. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**\*310 Planning and Management Policy Files.** Formal directives that establish agency policies and procedures pertaining to program functions. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

**\*312 Management and Planning Policy Implementation Files.** OIG documents that issue the procedures for implementing external policies or directives such as DoD, OMB, Executive Orders, within the OIG. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**315 Management Policy Review Files.** Case files documenting the development, review and coordination of external policy and procedures documents. *Disposition:* Recordkeeping copy (paper): DESTROY when issuance is . (GRS 16-1b)

**320 Organization Planning Files.** Record copies of documents relating to the establishment of and changes in organization, functions, and relationships of the OIG when such actions affect, or may affect, the management and operation of the agency. Included are: staff studies, reports of working groups, and minutes of committee or task force meetings and staff conferences relating to overall functions and mission. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff files at end of CY. Transfer to the National Archives in 5 year blocks

when most recent record is 20 years old. **Note:** Duplicate copies used for reference are non-record material and may be when no longer needed. (N1-330-88-4)

**320-01 Organization Charter Files.** Record copies of the Organizational Charter, Delegations of Authority, copies of published directives implementing establishment or change and related or similar documents. Documents which authorize and define the scope of authority, primary functions and organizational relationships within the OIG offices or special committees. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff when superseded. Transfer to the National Archives in 5-year blocks when most recent record is 20 years old. DESTROY duplicate copies when no longer required. (N1-330-88-4) **Note:** Duplicate copies used for reference are non-record material and may be when no longer needed.

**\*320-02 Organizational Structure Files.** Documents, charts and publications pertaining to the OIG organizational structure. Includes reorganization studies materials, such as final recommendations, proposals and staff evaluations. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff when superseded. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. DESTROY duplicate copies when no longer required. (N1-330-88-4))

**\*322 Staffing Surveys and Studies Work Papers.** Working papers, recommendations, charts and papers related to staffing surveys and studies within the OIG. These may result from new requirements generated internally or from realignment of functions, requiring new staffing and include both civilian and military. *Disposition:* Recordkeeping copy (paper): Retain in current files area. DESTROY 6 months after final action or 3 years after completion of report if no action is taken. (N1-509-99-3)

**\*325-01 Emergency Planning Administrative Correspondence Files.** Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-26) **Note:** This item does not cover records documenting policies and procedures accumulated in offices having agency wide responsibilities for emergency programs.

**\*325-02 Emergency Planning Case Files.** Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents. EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directive files. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after issuance of a new plan or directive. (GRS 18-27)

**Notes:** (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives by submission of an SF 115.

(2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans

are also permanent and must be scheduled for transfer to the National Archives by submission of an SF 115.

**325-03 Emergency Planning Files.** Documents which describe evacuation, relocation, vital records program, and continuity of operation, personnel assignments, and related procedures. *Disposition:* Recordkeeping copy (paper): of each plan or directive issued: PERMANENT: Cutoff when canceled or superseded. Transfer to the National Archives in 10-year blocks when most recent record is 15 years old. (N1-330-88-4)

**\*325-04 Emergency Operations Test Files.** Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports. EXCLUDING consolidated and comprehensive reports. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 18-28)

**\*325-05 National Defense Executive Reserve (NDER) Case Files.** Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

a. Case files on reservists. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after termination from NDER program. (GRS 18-29a)

b. Case files on individuals whose applications were rejected or withdrawn. *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 18-29b)

### **330 PROGRAM PLANNING, REVIEW, & ANALYSIS FILES**

**333 Program Progress Files.** Records relating to management programs progress and accomplishments. Includes related planning records and other backup case records. These files contain all significant management programs, objectives, planned milestones, progress reports, and related documents.

*Disposition:*

a. Recordkeeping copy (paper): PERMANENT: Cutoff on completion of case. Transfer to the National Archives in 5 year blocks when most recent record is 30 years old. (N1-330-88-4)

b. Duplicate paper copies and background material. DESTROY after 6 months. (N1-330-88-4)

**340 MANAGEMENT IMPROVEMENT FILES**

**340-10 Management Practices Files.** Papers, charts, diagrams, policy on agency management practices, theory, techniques, case studies, and the like to develop and improve agency management practices. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 25 years old. (N1-330-88-4)

**340-20 Management Survey Case Files.** Comprehensive surveys involving the systematic formal review of organizational structure or operational procedures. Included are documents reflecting the request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.

a. Office conducting the survey or sponsoring the contract. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff when superseded. Transfer to the National Archives in 5 year blocks when most recent record is 25 years old. (N1-330-88-4)

b. Office surveyed. *Disposition:* Recordkeeping copy (paper): DESTROY on completion of next comparable survey, or when no longer required for reference. (N1-330-88-4)

c. Background Files. Data collected for a management survey and accumulated in offices conducting or participating in the survey. *Disposition:* Recordkeeping copy (paper): DESTROY when no longer required for reference. (N1-330-88-4)

**341 Management Improvement Project Files.** Documents relating to projects which result in initiation of changes in the manner or method of planning, directing, controlling, or doing work.. *Disposition:* Recordkeeping copy (paper): Cutoff on completion of project. DESTROY 4 years after Cutoff. (N1-330-88-4)

**342 INTERNAL MANAGEMENT CONTROL (IMC) PROGRAM FILES.** Records created in accordance with procedures mandated by OMB Circular A-123, Internal Control Systems, and P.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud and mismanagement.

**342-10 IMC Policy, Procedures, and Guidance Files.** Copies of internal directives maintained by the agency's IMC staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded. (GRS 16-14a)

**342-15 IMC Plans Files.** Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular 1-123. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded. (GRS 16-14b)

**342-20 IMC Risk Analyses Files.** Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions. *Disposition:* Recordkeeping copy (paper): Cutoff closed files annually. DESTROY after next review cycle. (GRS 16-14c)

**342-25 IMC Annual Report and Assurance Statement Files.** Reports and statements created at the organizational Component and compiled into a single unified report for direct submission to the Secretary of Defense. *Disposition:* Recordkeeping copy (paper): Cutoff closed files annually. DESTROY after next reporting cycle. (GRS 16-14d)

**342-30 IMC Tracking Files.** Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report and correspondence relating to the performance of the reviews. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after report is completed. (GRS 16-14e)

**342-35 IMC Review Files.** Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

a. Office with responsibility for coordinating IMC functions. *Disposition:* Recordkeeping copy (paper): Cutoff when no further corrective action is necessary. DESTROY 5 years after cutoff. (GRS 16-14f(1))

b. Copies maintained by other offices as internal reviews. *Disposition:* Recordkeeping copy (paper): Cutoff when no further corrective action is necessary. DESTROY 1 year after cutoff. (GRS 16-14f(2))

**344 Work Simplification Files.** Documents related to the analysis of specific work procedures to simplify and improve them. *Disposition:* Recordkeeping copy (paper): Cutoff when final action is taken. Transfer to the WNRC after 3 years. DESTROY 25 years after cutoff. (N1-330-88-4)

**\*345 TEMPORARY COMMISSIONS, BOARDS, COUNCILS AND COMMITTEES**

**Note:** This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term "commission" is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media. Agencies are required to refer to the most current version of the CFR and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA's transfer requirements for permanent records. See 36 CFR Sections: 1228.266 – Audiovisual Records; 1228.268 – Cartographic and Architectural Records; 1228.270 – Electronic Records; 1230.026 – Microform Records. Contact the Records Manager for arrangements.

*Disposition Note:* When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the National Archives in an approved electronic format.

**\*345-01 Agency Committee Management Files.** Related to the Agency's Mission. Documents reflecting the establishment, organization, membership, and policy of advisory, committees or councils. Includes minutes, final reports, and related papers. Committee management or sponsor's office. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff on disapproval or dissolution of the committee. Transfer to the National Archives in 5 year blocks when most recent record is 25 years old. (N1-330-88-4)

**\*345-02 Agency Committee Files.** Unrelated to an Agency's Mission.

a. Committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act (FACA), e.g. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

b. Any files created and/or maintained by the committee.

*Disposition:* Recordkeeping copy (paper): Create new documents in course of FY/CY. Cut files off upon termination of committee. DESTROY/delete when no longer needed for administrative purposes. (GRS 26-1a)

**\*345-03 Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established Under the Federal Advisory Committee Act (FACA).**

**Note:** The term "advisory committee" as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is: (1) established by statute or reorganization plan; (2) established or utilized by the President; or (3) established or utilized by one or more agencies or officers of the

Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government.

a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as:

(1) Original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its Components,

(2) Agenda's, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed,

(3) One copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files,

(4) Correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission,

(5) Substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data),

(6) Questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item IIA (may include data maintained electronically), and

(7) Records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act.

*Disposition:* Recordkeeping Copy (paper): PERMANENT. Cutoff files upon termination of committee. Transfer to the National Archives on termination of the Commission. Earlier transfer is authorized for commissions operating for 3 years or longer. (GRS 26-2a) **Note:** Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements.

b. Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as:

(1) Correspondence, reference and working files of Commission staff (excluding files covered by Item IIA);

(2) Audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events;

(3) Other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc.; and

(4) Extra copies of records described in Item IIA, e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor.

*Disposition:* Cutoff files upon termination of committee. DESTROY/delete on termination of Commission. (GRS 26, Item 2b) **Note:** Prior to the Commission's termination, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives on termination of the Commission. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel, and fiscal records) should be transferred to the agency providing administrative support.

c. Web site records.

(1) Electronic version of web site(s). *Disposition:* Cutoff files upon termination of committee. DESTROY/delete on termination of commission. (GRS 26-2c1)

(2) Design, management, and technical operation records. *Disposition:* Cutoff files upon termination of committee. DESTROY/delete on termination of commission. (GRS 26-2c2)

(3) Electronic version of content records duplicated in textual series of commission records. *Disposition:* Cutoff files upon termination of committee. DESTROY/delete on termination of commission. (GRS 26-2c3) **Note:** Prior to the Commission's termination, NARA, in consultation with Commission staff, will review records covered by Item 2c, (1) and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives on termination of the Commission along with any records covered by Item 2c, (2) that NARA requires to maintain and access permanent web content records.

**\*345-04 Committee Records Not Maintained by the Sponsor or Secretariat.** Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat. *Disposition:* Recordkeeping copy (paper): Cutoff files upon termination of committee. DESTROY when 3 years old. (GRS 26-3) **Note:** The records of an international committee held by the U.S. member or representative when the U.S. is not the

sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority. Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority.

**\*345-05 Committee Management Officers Records.** Records maintained by agency Committee Management Officers for committees established under the FACA as amended (5 U.S.C.). Committee management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees. Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer. *Disposition:* Recordkeeping copy (paper): Create new documents in course of FY/CY. Cutoff files upon termination of committee. DESTROY/delete when 6 years old. (GRS 26-4) **Note:** Prior to the Commission's termination, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives on termination of the Commission.

**\*345-20 Internal Committee Reporting Files.** RESCINDED Incorporated into file 345-03.

### **350 INFORMATION RESOURCES MANAGEMENT (IRM) FILES**

**350-10 IRM Triennial Review Files.** Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Includes associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports. *Disposition:* Recordkeeping copy (paper): DESTROY when 7 years old. (GRS 16-11)

**350-20 Information Collection Budgeting Files.** Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations. *Disposition:* Recordkeeping copy (paper): DESTROY when 7 years old. (GRS 16-12)

**352 Office Equipment Management Files.** Internal instructions prescribing policies and responsibilities of the office management program in the OIG. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**352-10 Office Equipment Feasibility Studies.** Feasibility studies and justification for systems such as copiers. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after completion or cancellation of study. (GRS 16-9)

**352-20 Office Equipment Approval Files.** Documents related to approval and use of such items of equipment as office copiers. *Disposition:* Recordkeeping copy (paper): Retain in current files area. DESTROY after 5 years or when equipment is no longer used or is disposed of. (GRS 16-9)

**352-30 Office Equipment Utilization Files.** Inventories of office management systems. Documents reflecting individual and cumulative repairs, adjustments, usage of items of office equipment, and similar or related documents. *Disposition:* Recordkeeping copy (paper): Retain in current files area. DESTROY when 2 years old. (GRS 23-1)

**353 Micrographics Management Files.** Policy directives prescribing functions and responsibilities of the IG micrographic management program. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**353-10 Micrographics Systems Feasibility Studies.** Feasibility studies and justification for systems developed to convert hard copy to microform version. *Disposition:* Recordkeeping copy (paper): Retain in current files area. DESTROY 5 years after completion or cancellation of the study. (GRS 16-9)

**353-20 Micrographics Systems Approval Files.** Documents related to approval and use of micrographics systems. *Disposition:* Recordkeeping copy (paper): Retain in current files area. DESTROY when 2 years old. (GRS 23-1)

**353-30 Micrographics Systems Utilization Files.** Documents reflecting individual and cumulative repairs, adjustments, usage of equipment, and similar or related documents. *Disposition:* Recordkeeping copy (paper): DESTROY 3 months after work is performed or requisition is cancelled. (GRS 11-5)

**355 Records Management Files.** Correspondence reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 16-7)

**355-01 Office Record Locator Files.** Documents used to locate files in the current files area. Included are numbers, copies of file plans not issued as directive. Lists of selected file numbers may be filed loosely in front of organized files. *Disposition:* Recordkeeping copy (paper): DESTROY or DELETE with the related records. (GRS 23-9)

**355-02 Record Access Files.** Documents that identify individuals authorized access to official records, particularly classified material. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after authorization expires. (GRS 18-6)

**355-03** **Access to Information Files.** Documents relating to the OIG procedures on the release of information from files, release of copies, and the granting of access to records for official or unofficial research. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**355-05** **Records Disposition Files.** Descriptive inventories, disposal authorizations, schedules, and reports. Basic documentation of records description and disposition programs. Includes completed SF 115's, SF 135's, SF 258's, and related documentation.

a. SF 115's that have been approved by the National Archives. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after supersession. (GRS 16-2a(1))

b. Other records. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the related records are transferred to the National Archives, whichever is applicable. (GRS 16-2a(2))

c. Routine correspondence and memoranda. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 16-2b)

**\*355-07** **Records Holding Reporting Files.** Documents used in preparation of the records holding report. Included are statistical reports of agency holdings, including feeder reports from all other offices and data on the volume of records disposed of by destruction or transfer.

a. Agency report. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 16-4a)

b. Others (feeder). *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 16-4b)

**355-09** **National Archives Liaison Files.** Documents and other correspondence pertaining to exchanges between the National Archives and the OIG on the subject of records management.

a. Authority to DESTROY or exceptions granted by the National Archives. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the related records are transferred to the National Archives, whichever is applicable. (GRS 16-2a(2))

b. Routine correspondence and memoranda. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 16-2b)

**355-10** **Records Management Survey Files.** Documents relating to staff visits and surveys 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.

a. Office performing IG-wide staff responsibility. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 16-7)

b. Other offices. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

c. Background files. *Disposition:* Recordkeeping copy (paper): DESTROY when no longer needed. (GRS 23-1)

**355-50 Vital Records Program Files.** Directives and policies relating to the Vital Records Program. To include records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the legal and financial rights of that organization and of the individuals directly affected by its activities. Includes both emergency-operating and the legal and financial rights records. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

**355-51 Vital Records Program Correspondence Files.** Correspondence relating to the Vital Records Program. Records essential to the continued functioning or reconstitution of the OIG during and after an emergency and also those records essential to protecting the rights and interests of the organization and of the individuals directly affected by its activities. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 18-26)

**\*356 INFORMATION SERVICES RECORDS**

**\*356-01 Information Request Files.** Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, no special compilations or research and requests for and transmittals of publications, photographs, and other information literature. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 months old. (GRS 14-1)

**\*356-02 Acknowledgment Files.** Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply. *Disposition:* Recordkeeping copy (paper): DESTROY 3 months after acknowledgment and referral. (GRS 14-2)

**\*356-03 Press Service Files.** Press service teletype news and similar materials. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 months old. (GRS 14-3)

**\*356-04 Information Project Files.** Information service project case files maintained in formally designated information offices. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after close of file or 1 year after completion of project. (GRS 14-4)

**\*356-05 Commendation/Complaint Correspondence Files.** Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies. EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 months old. (GRS 14-5)

**\*356-06 Indexes and Check Lists.** Bibliographies, checklists and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent. *Disposition:* DESTROY when superseded or obsolete. (GRS 14-6)

### 357 PRIVACY ACT FILES

**357-01 Privacy Act Control Files.** Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

a. Register or listing. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after date of last entry. (GRS 14-24a)

b. Other files. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after final action by the agency or final adjudication by courts, whichever is later. (GRS 14-24b)

### 357-02 Privacy Act Reports Files.

a. Recurring reports and one-time information requirement relating to agency implementation. *Disposition:* Recordkeeping copy (paper): DESTROY after 2 years. (GRS 14-25)

b. Annual reports to the Congress, OMB, and the IG. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

**357-03 Privacy Act Accounting of Disclosure Files.** Files maintained under the provision of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure and proof of subject individual's consent when applicable. *Disposition:* Recordkeeping copy (paper): Use the approved disposition instructions for the related subject or DESTROY 5 years after the disclosure for which the accountability was made, whichever is later. (GRS 14-23)

**\*357-10 Privacy Act General Administrative Files.** Notices, memoranda, routine correspondence, and related records relating to the OIG implementation of the Privacy Act. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 14-26)

**\*357-20 Privacy Act Request Files.** Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them. Contains the original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or a copy of the record. EXCLUDES the official file copy of the records requested if filed herein. Correspondence and supporting documents:

a. Granting access to all the requested records. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after date of reply. (GRS 14-21a(1))

b. Responding to requests for nonexistent records, to requesters who provide inadequate descriptions, and to those who fail to pay agency reproduction fees.

(1) Request not appealed. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after date of reply. (GRS 14-21a(2)(a))

(2) Requests appealed. *Disposition:* Recordkeeping copy (paper): Dispose of in accordance with the approved disposition instructions for related subject or 3 years after final adjudication by courts, whichever is later. (GRS 14-21a(2)(b))

c. Denying access to all or part of the records requested.

(1) Requests not appealed. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after date of reply. (GRS 14-21a(3)(a))

(2) Requests appealed. *Disposition:* Recordkeeping copy (paper): Dispose of in accordance with the approved disposition instructions for related subject or 3 years after final adjudication by courts, whichever is later. (GRS 14-21a(3)(b))

d. Official file copy of requested records. *Disposition:* Recordkeeping copy (paper): Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later. (GRS 14-21b)

**357-50 Privacy Act Amendment Case Files.** Files relating to a request to amend a record pertaining to the individual as provided for under 5 U.S.C. 552a(d)(2); to a request for review of an agency's refusal of the individuals request to amend a record as provided for under 552a(d)(3); and to any civil action brought against the refusing agency as provided under 5 U.S.C. 552a(g).

a. Requests agreed to by agency. Includes the requests to amend, to review a refusal to amend, copies of agency replies, and related materials. *Disposition:* Recordkeeping copy (paper): DISPOSE of in accordance with the approved disposition instruction for the related subject or 4 years after agency agreement to amend, whichever is later. (GRS 14-22a)

b. Requests refused by agency. Includes requests to amend and to review refusal to amend, copies of agency's replies, statement of disagreement, justification for refusal, and related materials. *Disposition*: Recordkeeping copy (paper): DISPOSE of in accordance with the approved disposition instructions for the related subject; or 4 years after final determination by agency; or 3 years after final adjudication by courts, whichever is later. (GRS 14-22b)

c. Appealed Requests. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. *Disposition*: Recordkeeping copy (paper): DISPOSE of in accordance with the approved disposition instructions for related subject or 3 years after final adjudication by courts, whichever is later. (GRS 14-22c)

**\*357-60 Mandatory Review for Declassification Requests Files.** Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a. Correspondence and supporting documents. EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable.

(1) Granting access to all the requested records. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after date of reply. (GRS 14-31a(1))

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after date of reply. (GRS 14-31a(2)(a))

(b) Request appealed. *Disposition*: Recordkeeping copy (paper): DESTROY as authorized under Item 357-61. (GRS 14-31a(2)(b))

(3) Denying access to all or part of the records requested.

(a) Request not appealed. *Disposition*: Recordkeeping copy (paper): DESTROY 5 years after date of reply. (GRS 14-31a(3)(a))

(b) Request appealed. *Disposition*: Recordkeeping copy (paper): DESTROY as authorized under Item 357-61. (GRS 14-31a(3)(b)).

b. Official file copy of requested records. *Disposition*: Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later. (GRS 14-31a(3)(b)3b)

c. Sanitizing instructions. *Disposition*: DESTROY when superseded or when requested documents are declassified. (GRS 14-31a(3))

**\*357-61 Mandatory Review for Declassification Appeals Files.** Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents. EXCLUDING the official file copy of the records under appeal if filed herein. *Disposition:* Recordkeeping copy (paper): DESTROY 4 years after final determination by agency. (GRS 14-32a)

b. Official file copy of records under appeal. *Disposition:* Recordkeeping copy (paper): Dispose of in accordance with approved agency disposition instructions for the related records, or with the related mandatory review request, whichever is later. (GRS 14-32b)

**357-62 Mandatory Review for Declassification Control Files.** Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

a. Registers or listing. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after date. (GRS 14-33a)

b. Other files. *Disposition:* Recordkeeping copy (paper): DESTROY 5 years after final action by the agency. (GRS 14-33b)

**\*357-63 Mandatory Review for Declassification Reports Files.** Reports relating to agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including annual reports submitted to the Information Security Oversight Office. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 14-34)

**\*357-64 Mandatory Review for Declassification Administrative Files.** Records relating to the general agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including notices, memoranda, correspondence, and related records. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 14-35)

**\*357-65 Erroneous Release Files.** Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.

a. Files that include the official file copy of the released records. *Disposition:* Recordkeeping copy (paper): Follow the disposition instructions approved for the released official file copy or DESTROY 6 years after the erroneous release, whichever is later. (GRS 14-36a)

b. Files that do not include the official file copy of the released records. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the erroneous release. (GRS 14-36b)

### **358 FREEDOM OF INFORMATION ACT (FOIA) FILES**

**358-01 FOIA Control Files.** Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

a. Registers or listing. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after date of last entry. (GRS 14-13a)

b. Other files. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after final action by the agency or after final adjudication by courts, whichever is later. (GRS 14-13b)

#### **\*358-02 FOIA Reports Files**

a. Annual reports to the Congress or the DoD. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

b. Recurring reports and one time information requirements, relating to the agency implementation of FOIA. EXCLUDING annual reports to the Congress at the departmental or agency level. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 14-14)

**358-10 FOIA Administrative Files.** Notices, memoranda, routine correspondence, and related records relating to the general agency implementation of the FOIA. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 14-15)

**358-20 FOIA Request Case Files.** Files created in response to requests for information under the Freedom of Information Act. Contains the original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or a copy of the record. EXCLUDES the official file copy of the records requested if filed herein.

a. Correspondence and supporting documents.

(1) Access Granted. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after date of the reply. (GRS 14-11a(1))

(2) Responding to requests for nonexistent records, to requesters who provide inadequate descriptions, and to those who fail to pay agency reproduction fees.

(a) Not appealed. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after date of reply. (GRS 14-11a(2)(a))

(b) Appealed. *Disposition:* Recordkeeping copy (paper): DESTROY as authorized under File Number 358-50. (GRS 14-11a(2)(b))

(3) Denying access to all or part of the records requested.

(a) Not appealed. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after date of reply. (GRS 14-11a(3)(a))

(b) Appealed. *Disposition:* Recordkeeping copy (paper): DESTROY as authorized under File Number 358-50. (GRS 14-11a(3)(b))

b. Official file copy of requested records. *Disposition:* Recordkeeping copy (paper): DISPOSE of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later. (GRS 14-11b)

**358-50 FOIA Appeals Files.** Files created in response to administrative appeals under the FOIA for release of information denied by the agency. Contains the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after final determination by agency, 6 years after the time at which a requestor could file suit, or 3 years after final adjudication by courts, whichever is later. (GRS 14-12a)

b. Official file copy of records under appeal. *Disposition:* Recordkeeping copy (paper): DISPOSE of in accordance with approved agency disposition instructions for the related record, or with the related FOIA requests, whichever is later. (GRS 14-12b)

**360 EXECUTIVE AND LEGISLATIVE LIAISON FILES****362 White House Liaison Files**

**362-10 White House Correspondence Files - Routine.** White House correspondence of a routine, non-policy nature with no long-term value. *Disposition:* Recordkeeping copy (paper): Cutoff every 2 years. DESTROY when 8 years old.

**\*362-20 White House Correspondence Files - Policy Related.** Correspondence relating to substantial policy related matters. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff every 2 years. Transfer to the National Archives in 2-year blocks when most recent record is 20 years old. (N1-509-99-4)

**363 CONGRESSIONAL LIAISON FILES.** Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, which are forwarded to the OIG for reply.

**363-10 Congressional Correspondence Files - Routine.** Correspondence of a routine nature with no historical value. Congressional inquiries which are forwarded to the OIG for reply but do not require IG signature. *Disposition:* Recordkeeping copy (paper): Cutoff after 2 CY years. DESTROY after 8 years. (N1-509-99-4)

**\*363-20 Congressional Correspondence Files - Historical Value.** Correspondence of a substantial nature with historical significance and which require IG signature. Congressional inquiries which are originated by Congress and pertain to substantial policy issues or disposition of inquiries required under statute. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff when case is closed. Transfer to the National Archives in 6 year blocks when most recent record is 20 years old. (N1-509-99-4)

**363-50 Congressional Hearings Files**

a. Testimony presented to the Congress by the IG and Senior Officials of the OIG. Includes record copy of testimony and original briefing books. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff on completion of the hearing. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-509-97-1)

b. Work papers and background material. *Disposition:* Recordkeeping copy (paper): DESTROY when 10 years old. (N1-509-97-1)

**363-60 Congressional Staff Briefing Files.** Memoranda for the Record on meetings between the OIG staff and Congressional staff. *Disposition:* Recordkeeping copy (paper): Cutoff after 2 years. DESTROY when 8 years old. (N1-509-99-5)

**363-75** **Legislation Review Files.** Reviews of the legislation that impact on the OIG function. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff on completion of review. Transfer to the National Archives in 6 year blocks when most recent record is 20 years old. (N1-509-99-4)

**\*364** **PRESIDENT'S COUNCIL ON INTEGRITY AND EFFICIENCY (PCIE) FILES**

**\*364-10** **PCIE Subjective Files.** Requests for general information from the PCIE; records and materials from both the Council and committee meetings of the PCIE including agenda, background information, and commitments made at the meeting. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY when 7 years old. (N1-509-99-5)

**365** **Semiannual Report to Congress Files.** Reports prepared by the OIG and submitted to the Congress. The reports summarize the activities of the OIG for the six-month periods ending March 31 and September 30.

*Disposition:*

a. Recordkeeping copy (paper): PERMANENT: Cutoff upon transmission to the Congress. Transfer to the National Archives in 10-year blocks when most recent record is 10 years old. (N1-330-88-4)

b. Extra (paper): copies and working papers: DESTROY when no longer needed. (N1-330-88-4)

c. Copies created on electronic mail and word processing systems:

(1) To facilitate access by staff and the public: DELETE when 5 years old. (N9-509-00-01)

(2) Used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is completed. (N9-509-00-01)

**370** **Public Relations Files.** Speeches, addresses, news releases, comments. Remarks made at formal ceremonies and during interviews by senior agency officials concerning agency programs. Textual Records. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

**372**      **Agency Publications Files.** Record copy of each publication, poster, booklet, brochure, pamphlet, and similar material. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff upon completion of the publication. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4) **Note:** Other copies used for reference only are non-record material and may be when obsolete or no longer needed.

**374**      **Agency Historical Files.** Agency histories and selected background materials. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

**380**      **AUTOMATIC DATA PROCESSING MANAGEMENT FILES. DELETED.**

**Note:** Program files relating to the Automatic Data Processing Program This record series has been revised under new GRS Schedules for Information Technology Operations and Management Records (ITOM). IT records are now located in record series 500.

**\*399**      **WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

**a. Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

**b. Electronic Mail Records.** Senders and recipients versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 400 – BUDGET AND FINANCE FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**400 BUDGET AND FINANCE FILES.** This series contains the files accumulated in the agency in the course of formulating the OIG budget for submission to the Office of Management and Budget (OMB) and to the Congress and the expenditure accounting files of the OIG. Cutoff all files at the end of the CY when completed unless otherwise directed.

**400a Budget and Finance Correspondence Files.** Correspondence files in formally organized budget offices that pertain to routine administration, internal procedures, and other matters not covered elsewhere in this schedule. EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 5-1)

**400b Office Administration Files.** Documents relating to budget matters that are received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**\*401 Office Financial Files.** Documents that relate to the expenditure of funds incidental to the performance of the mission of the office, such as cost estimates and requests for funds, notifications from budget offices of funds that are available, and comparable papers. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**410 Budget Policy Files.** Files documenting the OIG internal policy and procedures governing day to day budget administration, and reflecting external policy decisions affecting expenditures for the OIG programs. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**411 Budget Guidance Files - OSD/OMB**

a. Manuals received from OSD or OMB concerning budget preparation guidance. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY

b. Supplemental guidance on the preparation of the budget. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**415 FYDP Submissions Files.** Five year development plans. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**416** **Program Element Definitions Files.** *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**417** **Program Element Summary Files.** FY printouts. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

## **420 BUDGET FORMULATION AND PRESENTATION FILES**

**421** **Budget Estimates and Justifications Files.** Copies of budget estimates and justifications prepared or consolidated for the OIG Components and forwarded to OSD and OMB. Includes appropriation language sheets, narrative statements, and related schedules and data. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**421-10** **Budget Submissions to OSD/OMB Files.** Copies of budget submissions to OSD/OMB. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**421-11** **Supplemental Budget Data Files - OSD/OMB.** Additional information requested by OSD/OMB on the requests submitted to them. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**421-12** **Budget Submissions Workpapers - OSD/OMB.** Working papers and background for budget estimates and justifications. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**421-20** **Program Budget Review Calendar Files.** Periodic reports on the status of budget accounts. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after the end of the FY. (GRS 5-3b)

**421-21** **IG Component Budget Requirements Files.** Copies of budget estimates and justifications prepared by the OIG Components for consolidation in the official budget submission. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**422** **Budget Submissions Files – Additional.** *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**422-01** **Budget Submissions Workpapers -Additional.** Working papers and background for additional budget submissions. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**423** **Program Budget Decisions (PBD) Files.** The OIG-wide program budget. The OSD Authorizations for OIG funding. *Disposition:* Recordkeeping copy (paper): PERMANENT:

Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**423-01 Reclamas to Program Budget Decision (PBD) Files.** Requests by the OIG, to the OSD for changes to the PBD. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**424 Budget Submissions Files - President's.** The OIG, budget submitted to the OSD, which, in turn is submitted to the President. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**424-04 Budget Submissions Workpapers - President's.** *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**424-10 Supplemental Budget Data Files - Congress.** Supplemental data in support of the President's budget. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**424-20 Witness Statements to The Congress Files.** Testimony before Congress in support of the President's budget. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**424-21 Witness Statements - Backup Material.** Backup material for witness statements to the Congress. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**425 Budget Apportionment Files.** Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after the close of the FY. (GRS 5-4)

**426 Budget Reports Files.** Periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of FY). *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 5-3a)

b. All other. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after the close of the FY. (GRS-5-3b)

**426-10 Budget Reporting Instructions and Formats Files.** *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**427 PROGRAM OBJECTIVE MEMORANDUMS (POM) FILES**

**427-01 POM Submission Files.** Internally within the OSD, first cycle of the 5 Year Plan. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**427-02 POM Workpapers.** *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY covered by the budget. (GRS 5-2)

**427-03 Program Decision Memorandums (PDM) Files.** Decision issued as part of the POM which contains the approved manpower and dollar figures. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**428 Budget History Files.** *Disposition:* Recordkeeping copy (paper): DESTROY after 5 years. (N1-330-88-4)

**429 Program Change Decisions (PCD) Files.** *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff after 5 years. Transfer to the National Archives in 5 year blocks when the most recent record is 30 years old. (N1-330-88-4)

**430 BUDGET EXECUTION FILES.** Records concerned with accounting for availability and status of the OIG funds.

**431 Appropriation Allotment Files.** Allotment records showing status of obligations and allotments under each authorized appropriation. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after the close of the FY involved. (GRS 7-3)

**431-01 Expense Operating Budget Authority (EOB) Files.** Information on transactions involving authorizations received from the DoD making specific funds available to the OIG. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after the close of the FY involved. (GRS 6-1a)

**431-05 Operating Budget Authorizations Files.** Information on transactions involving authorizations received from the DoD making specific funds available to the OIG for the purpose of issuing allotments. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after the close of the FY involved. (GRS 6-1a)

**432 Budget Execution Forecasts / Analysis Files.** Status of funds reports for current fiscal year and prior fiscal years; flash reports on current month obligations; advance reports of cumulative obligations, and related information.

a. OIG Obligation Plan Files. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after the close of the FY involved. (GRS 7-3)

b. Management Indicators. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after the close of the FY involved. (GRS 7-3)

**433**      **Emergency & Extraordinary Fund Expenditures Files.** Information that reflects the receipt and accounting for funds. Includes copies of reimbursement vouchers and receipts for funds entrusted to agent officers which also reflect acknowledgement of return of funds and statement of balance. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 7-4b)

**435**      **Representation Fund Expenditures Files.** Information which reflects the receipt of and accounting for funds. Includes copies of reimbursement vouchers and receipts for funds entrusted to agent officers which also reflect acknowledgement of return of funds and statement of balance. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 7-4b)

**436**      **Travelers Checks Files.** Information which reflects the receipt of and accounting for travelers checks funds. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 7-4b)

**\*437**      **Appropriation Accounts & Apportionment Reports Files.** Periodic reports on the status of appropriation accounts and apportionment.

a. Annual Reports. *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 5-3a)

b. Others. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after the end of the FY. (GRS 5-3b)

**\*437-01**      **Minor Construction Report Files**

a. Annual Reports (end of fiscal year). *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 5-3a)

b. Others. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after the end of the FY. (GRS 5-3b)

**\*437-02**      **Obligation by State Report Files**

a. Annual Reports (end of fiscal year). *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 5-3a)

b. Others. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after the end of the FY. (GRS 5-3b)

**\*437-03 Workyear and Cost Reports Files**

a. Annual Reports (end of fiscal year). *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 5-3a)

b. Others. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after the end of the FY. (GRS 5-3b)

**\*437-04 Report on Civil Rights Expenditures Files**

a. Annual Reports (end of fiscal year). *Disposition:* Recordkeeping copy (paper): DESTROY when 5 years old. (GRS 5-3a)

b. Others. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after the end of the FY. (GRS 5-3b)

**438 General Expenditures Files.** Information on disbursement of amounts due to contractors and commercial firms dealing with the OIG. Included are expenditures by purpose and reimbursement and similar information. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-05 Telephone Toll Tickets Files.** Originals and copies of toll tickets filed in support of telephone toll call payments. *Disposition:* Recordkeeping copy (paper): DESTROY after GAO audit or when 3 years old, whichever is sooner. (GRS 6-8)

**438-10 Communication Cost Files.** Information on disbursement of funds for communications. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-11 Postage Cost Files.** Information on disbursement of funds for postage. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-12 PL 92-212 Federal Building Fund Cost (SLUC) Files.** *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-13 Training Cost Files.** *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-14 Travel Cost Files.** *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-15 Permanent Change of Station (PCS) Cost Files.** Accounting Administrative Files consisting of correspondence, reports and data relating to voucher preparation, administrative audit and other accounting and disbursing operations. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-16** Overtime Cost Files. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-17** Word Processing Cost Files. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-18** Automatic Data Processing (ADP) Services Cost Files. *DELETE.* Incorporated in IT Series 500.

**438-19** Leased Vehicle Cost Files. Information pertaining to the leasing, maintenance, and operation of motor vehicles leased by the OIG. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after discontinuance of ledger or date of work sheet. (GRS 10-3)

**438-30** Pay Increase Cost Files. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-31** Health Insurance Cost Files. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**438-32** Workmen's Compensation Cost Files. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-5b)

**439** General Collections Files. Information on collection of amounts due the U.S. Government involving OIG personnel. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-4)

**439-20** Unofficial Telephone Call Payment Files. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 6-4)

**440** Financial Report Files. Recurring and one time reports on financial management primary program reports. Reports on the execution of the budget – reports to the OSD on how money is spent, by quarter; manpower reports to the OSD. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

**450** Accountable Officer's Files. Original or copy of accounts maintained for site audit by GAO consisting of statements of transaction, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers, exclusive of commercial passenger transportation and freight records and payroll records. Also are included are equivalent agency forms that document the basic financial transaction as described above.

SF 215	Deposit Ticket
SF 224	Statements of Transactions
SF 1012	Travel Voucher

SF 1034	Public Voucher for Purchases and Services Other Than Personal
SF 1036	Statement of Certificate and Award
SF 1038	Advance of Funds Application and Account
SF 1047	Public Voucher for Refunds
SF 1069	Voucher for Allowance at Foreign Posts of Duty
SF 1080	Voucher for Transfer Between Appropriations and/or Funds
SF 1081	Voucher and Schedule of Withdrawals and Credits
SF 1096	Schedule of Voucher Deductions
SF 1097	Voucher and Schedule to Effect Correction of Errors
SF 1098	Schedule of Canceled Checks
SF 1113	Public Voucher for Transportation Charges
SF 1129	Reimbursement Voucher
SF 1143	Advertising Order
SF 1145	Voucher for Payment Under Federal Tort Claims Act
SF 1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee
SF 1156	Public Voucher for Fees and Mileage
SF 1164	Claim for Reimbursement for Expenditures on Official Business
SF 1166	Voucher and Schedule of Payments
SF 1185	Schedule of Undeliverable Checks for Credit to Government Agencies
SF 1218	Statement of Accountability (Foreign Service Account)
SF 1219	Statement of Accountability
SF 1220	Statement of Transactions According to Appropriation, Funds, and Receipt Accounts
SF 1221	Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)
OF 1114	Bill of Collection
OF 1114A	Official Receipt
OF 1114B	Collection Voucher.

*Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after period covered by account. (GRS 6-1a)

**451**      **Expenditures Accounting Files.** Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration. *Disposition:* DESTROY when 2 years old. (GRS 7-1)

**451-05**    **Expenditures Accounting Posting and Control Files.** Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.

a. Original records. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 7-4a)

b. Copies. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 7-4b)

**452**      **General Accounting Ledger Files.** General accounts ledgers, showing debit and credit entries and reflecting expenditures in summary. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after the close of the FY involved. (GRS 7-2)

**\*499**      **WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

**a. Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

**b. Electronic Mail Records.** Senders and recipients versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 500 – INFORMATION TECHNOLOGY OPERATIONS  
AND MANAGEMENT RECORDS**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS  
(ITOM)**

\*Authorization for the destruction of electronic mail and word processing system copies varies within the ITOM 500, 501 and 502 series for Information Technology and Management Records. Items are included within each series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system (reference file number 500-99).

**\*500 Information Technology Operations and Management Records GRS 24.** This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), “information technology” includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This series does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in GRS 24, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items. **Note:** GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records.

**\*500-10 Oversight and Compliance Files.** Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

a. Performance measurements and benchmarks. *Disposition:* Recordkeeping copy (paper): DESTROY/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. (GRS 24-1a)

b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. *Disposition:* Recordkeeping copy (paper): DESTROY/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. (GRS 24-1b) **Note:** See record series 500-12b for performance files relating to systems.

**\*500-11 IT Facility, Site Management, and Equipment Support Services Records.**

Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence. *Disposition:* Recordkeeping copy (paper): DESTROY/delete when 3 years old, or when superseded or obsolete, whichever is longer. (GRS 24-2)

**\*500-12 IT Asset and Configuration Management Files**

a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 1 year after completion of the next inventory. (GRS 24-3a)

b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 1 year after termination of system. (GRS 24-3b1)

(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

*Disposition:* Recordkeeping copy (paper): DESTROY/delete when 3 years old or 1 year after termination of system, whichever is sooner. (GRS 24-3b2) **Note:** If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).

**\*500-13 System Backups and Tape Library Records**

a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

*Disposition:*

(1) Recordkeeping copy Delete/DESTROY incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (GRS 24-4a1)

(2) Recordkeeping copy Delete/DESTROY full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. (GRS 24-4a2) **Note:** See GRS 20, item 8, for backups of master files and databases.

b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. *Disposition:* Recordkeeping copy DESTROY/delete when superseded or obsolete. (GRS 24-4b)

**\*500-14 Files Related to Maintaining the Security of Systems and Data**

a. System Security Plans and Disaster Recovery Plans. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 1 year after system is superseded. (GRS 24-5a)

b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 1 year after system is superseded. (GRS 24-5b)

**\*500-15 User Identification, Profiles, Authorizations, and Password Files, EXCLUDING Records Relating to Electronic Signatures**

a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.

*Disposition:* Recordkeeping copy DESTROY/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later. (GRS 24-6a)

b. Routine systems, i.e., those not covered by item 6a. *Disposition:* See GRS 20, item 1c. (GRS 24-6b)

**\*500-16. Computer Security Incident Handling, Reporting and Follow-up Records.**

*Disposition:* Recordkeeping copy (paper): DESTROY/delete 3 years after all necessary follow-up actions have been completed. (GRS 24-7)

**\*500-17 IT Operations Records**

a. Workload schedules, run reports, and schedules of maintenance and support activities. *Disposition:* Recordkeeping copy (paper): DESTROY/delete when 1 year old. (GRS 24-8a)

b. Problem reports and related decision documents relating to the software infrastructure of the network or system. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 1 year after problem is resolved. (GRS 24-8b)

c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports. *Disposition:* DESTROY/delete when 3 years old. (GRS 24-8c)

**\*500-18 Financing of IT Resources and Services.** **Note:** Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3, IG File Number 651.

a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 3 years after agreement is superseded or terminated. (GRS 24-9a)

b. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 3 years after control measures or procedures are superseded or terminated. (GRS 24-9b)

c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services. EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7. *Disposition:* Recordkeeping copy (paper): DESTROY/delete records with no outstanding payment issues when 3 years old. (GRS 24-9c)

**\*500-19 IT Customer Service Files**

a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 1 year after record is superseded or obsolete. (GRS 24-10a)

b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting. *Disposition:* Recordkeeping copy (paper): DESTROY/delete when 1 year old or when no longer needed for review and analysis, whichever is later. (GRS 24-10b)

**\*500-20 IT Infrastructure Design and Implementation Files.** Records of individual projects designed to provide and support new agency IT infrastructure (see note), systems, and services. Includes records documenting: (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

a. Records for projects that are not implemented. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 1 year after final decision is made. (GRS 24-11a)

b. Records for projects that are implemented. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 5 years after project is terminated. (GRS 24-11b)

c. Installation and testing records. *Disposition:* Recordkeeping copy (paper): DESTROY/delete 3 years after final decision on acceptance is made. (GRS 24-11c)

**Note:** IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such

components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this series and must be scheduled individually by the agency by submission of an SF 115 to NARA.

**\*501 ELECTRONIC RECORDS GRS 20.** This schedule provides disposal authorization for certain electronic records and specified hard copy (paper) or microform records that are integrally related to the electronic records.

This schedule applies to disposable electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Electronic records not covered by GRS 20 may not be unless authorized by a Standard Form 115 that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 2a and 1a (in part) of this schedule apply to hard-copy or microform records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for disposable electronic records whatever the medium in which such documentation and programs exist.

This schedule has been revised to include electronically-generated records previously covered in General Records Schedule 23, Records Common to Most Offices. The original numbering of the items in GRS 20 has been preserved. The items moved from GRS 23 have been added at the end, except the item covering administrative data bases that has been incorporated into item 3.

Electronic versions of records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

**\*501-01 Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records**

a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records. *Disposition:* Delete/DESTROY when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-1a)

b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. *Disposition:* Delete after information has been transferred to the master file and verified. (GRS 20-1b)

c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. *Disposition:* Delete/DESTROY when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-1c)

**\*501-02 Input/Source Records**

a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule. *Disposition:* DESTROY after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later. (GRS 20-2a)

b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes. *Disposition:* Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. (GRS 20-2b)

c. Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. *Disposition:* Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later. (GRS 20-2c)

d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database. *Disposition:* Delete after the necessary data have been incorporated into a master file. (GRS 20-2d)

**\*501-03 Electronic Versions of Records Scheduled for Disposal**

a. Electronic versions of records that are scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5. *Disposition:* Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later. (GRS 20-3)

b. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.

(1) When hard copy records are retained to meet recordkeeping requirements. *Disposition:* Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-3b1)

(2) When the electronic record replaces hard copy records that support administrative housekeeping functions. *Disposition:* Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later. (GRS 20-3b2)

(3) Hard copy printouts created for short-term administrative purposes. *Disposition:* DESTROY when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-3b3)

**\*501-04 Data Files Consisting of Summarized Information.** Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988. EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be before securing NARA approval. *Disposition:* Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 501-04) **Note:** Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be before securing NARA approval.

**\*501-05 Records Consisting of Extracted Information.** Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA approved disposition schedule. EXCLUDING extracts that are produced as disclosure-free files to allow public access to the data; or produced by an extraction process which changes the informational content of the source master file or data base; which may not be before securing NARA approval. For print and technical reformat files see items 501-06 and 501-07 of this schedule respectively. *Disposition:* Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational

purposes. (GRS 20-5) **Notes:** (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be before securing NARA approval. (2) See item 501-12 of this schedule for other extracted data.

**\*501-06 Print File.** Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports. *Disposition:* Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-6)

**\*501-07 Technical Reformat File.** Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives. *Disposition:* Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-7)

**\*501-08 Backups of Files.** Electronic copy considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

a. File identical to records scheduled for transfer to the National Archives.  
*Disposition:* Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied. (GRS 20-8a)

b. File identical to records authorized for disposal in a NARA-approved records schedule. *Disposition:* Delete when the identical records have been deleted, or when replaced by a subsequent backup file. (GRS 20-8b)

**\*501-09 Finding Aids (or Indexes).** Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. *Disposition:* Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. (GRS 20-9)

**\*501-10 Special Purpose Programs.** Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. *Disposition:* Delete when related master file or database has been deleted. (GRS 20-10)

**\*501-11 Documentation**

a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA approved disposition schedule. *Disposition:* DESTROY or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. (GRS 20-11a)

b. Copies of records relating to system security, including records documenting periodic audits or review and re certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130. *Disposition:* DESTROY or delete when superseded or obsolete. (GRS 20-11b)

**Notes:** (1) Documentation that relates to permanent or unscheduled master files and data bases is not authorized for destruction by the GRS. (2) See item 501-01a of this schedule for documentation relating to system testing.

**\*501-12 Downloaded and Copied Data.** Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review. *Disposition:* Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-12a)

b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal. *Disposition:* Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20-12b)

c. Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations. *Disposition:* Delete from the receiving system or device when no longer needed for processing. (GRS 20-12c)

**Note:** See item 501-05 of this schedule for other extracted data.

**\*501-13 Electronic Spreadsheets.** Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

a. When used to produce hard copy that is maintained in organized files. *Disposition:* Delete when no longer needed to update or produce hard copy. (GRS 20-15a)

b. When maintained only in electronic form. *Disposition:* Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired. (GRS 20-15b)

**\*501-14 Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the word processing system when no longer needed for updating or revision. (GRS 20-13)

**\*501-15 Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.

**\*502 Records of the Chief Information Officer GRS 27.** This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must

separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

**Note:** GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management. This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA.

**\*502-01 Information Technology (IT) Program Planning Records.** Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY/delete when 7 years old or when no longer needed, whichever is later. (GRS 27-1) **Note:** This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA.

**\*502-02 Enterprise Architecture Records.** Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans. *Disposition:* Recordkeeping copy (paper): Cutoff when superseded by a new iteration of the enterprise architecture. DESTROY/delete when 7 years old or when no longer needed, whichever is later. (GRS 27-2)

**\*502-03 IT Capital Investment Records.** Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY/delete when 7 years old or when no longer needed, whichever is later. (GRS 27-3) **Note:** Records needed to support contracts are scheduled under GRS 3, IG File Number 651.

**\*502-04 Legal and Regulatory Compliance Records** Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY/delete when 5 years old. (GRS 27-4)

**\*502-05 CIO Committee Records**. Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY/delete when 5 years old. (GRS 27-5) **Note:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.

**\*502-06 CIO Subject and Office Records**. Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY/delete when 5 years old. (GRS 27-6) **Note:** Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere.

**\*502-07 Schedules of Daily Activities**. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems. *Disposition:* Recordkeeping copy (paper): Cutoff annually. DESTROY/delete when not less than 2 years but not more than 5 years old. (GRS 27-7) **Note:** This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.

## **\*502-99 WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

a. **Word Processing Files**. Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

b. **Electronic Mail Records**. Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for

recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 600 – OPERATIONAL SERVICES FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**600 OPERATIONAL SERVICES FILES.** Documents relating to logistical type services performed in the OIG. Cutoff all files annually (FY) unless otherwise instructed.

**600a Operational Services Correspondence Files - General.** Correspondence relating to operational services that cannot logically be filed with detailed records listed below or that are received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 23-1)

**\*602-01 Services Request Files - (Pending).** Documents relating to logistical type services requested by or provided to an office that cannot logically be filed with detailed records listed below.

*Disposition:*

- a. Recordkeeping copy (paper): Incorporate into the official file. (GRS 23-6b(2))
- b. Extra copy (paper): DESTROY immediately. (GRS 23-6b(1))

**620 PERSONNEL TRAVEL & TRANSPORTATION FILES.** Records pertaining to the movement of personnel under Government orders. Documents are essentially copies of travel orders authorizing travel and subsequent payment and standard form vouchers showing payment for official travel. Copies of some records used to support payments become part of the accountable officer's accounts or are accounting posting media.

**620-01 Travel Correspondence Files.** Routine correspondence, forms and related records pertaining to agency travel and transportation functions not covered elsewhere. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 9-4a)

**620-10 Travel Policies and Procedures Files.** Internal administrative OIG policy and procedures for travel. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 16-1a)

**620-20 Travel Agreements and Contracts Files.** *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 9-4a)

**621 Travel Orders Files.** Copies of requests and authorizations for travel and related documents.

a. Issuing office copies. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the period of the account. (GRS 9-1c)

b. Accountability records. Records documenting the issue or receipt of accountable documents. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after all entries are cleared. (GRS 9-4b)

**621-01 Reimbursable Travel Files (Non-commercial).** Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

a. Travel administrative office files. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 9-3a)

b. Obligation copies. *Disposition:* Recordkeeping copy (paper): DESTROY when funds are obligated. (GRS 9-3b)

**621-10 Blanket Travel Orders Files**

a. Issuing office copies. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the period of the account. (GRS 9-1c)

b. Accountability records. Records documenting the issue and receipt of accountable documents. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after all entries are cleared. (GRS 9-4b)

c. Cancellations and change. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 9-4a)

**621-20 Operations & Management TDY Files.** Requests for TDY for general purposes.

a. Issuing office copies. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the period of the account. (GRS 9-1c)

b. Accountability records. Records documenting the issue or receipt of accountable documents. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after all entries are cleared. (GRS 9-4b)

**621-30 Training TDY Files.** Requests and authorizations for TDY for training purposes.

a. Issuing office copies. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the period of the account. (GRS 9-1c)

b. Accountability records. Records documenting the issue or receipt of accountable documents. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after all entries are cleared. (GRS 9-4b)

**621-40**     **Permanent Change of Station (PCS) Files.** Requests and authorizations for PCS travel.

a. Issuing office copies of Government or bills of lading, commercial passenger transportation vouchers, (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the period of the account. (GRS 9-1c)

b. Accountability records. Records documenting the issue or receipt of accountable documents. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after all entries are cleared. (GRS 9-4b)

**622**           **General Travel and Transportation Files**

a. Correspondence, forms and related records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 9-4a)

b. Accountability records. Records documenting the issue or receipt of accountable documents. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after all entries are cleared. (GRS 9-4b)

**624**           **Official Passport Files**

a. Application files. Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts and copies of travel authorizations. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old or upon separation of the bearer, whichever is sooner. (GRS 9-5a)

b. Annual reports concerning official passports. Reports to the Department of State concerning the number of official passports issued and related matters. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 9-5b)

c. Passport registers. Registers and lists of agency personnel who have official passports. *Disposition:* Recordkeeping copy (paper): DESTROY when superseded or obsolete. (GRS 9-5c)

**Note:** Official passports should be returned to the Department of State upon expiration or upon the separation of the employee.

**627**      **Local Transportation Files.** Documents relating to local transportation required by or available to an office. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 9-4a)

**628**      **Passenger Reimbursement Files.** Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents or others authorized by law to travel.

a. Administrative copies. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 9-3a)

b. Obligation copies. *Disposition:* Recordkeeping copy (paper): DESTROY after funds are obligated. (GRS 9-3b)

### **630**      **FREIGHT MOVEMENTS FILES**

**631**      **Bills of Lading Register Files.** Registers used to account for bills of lading. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after the period of the account. (GRS 9-1a)

**632**      **Lost or Damaged Shipments Files.** Freight records relating to the Government Losses in Shipment Act. Includes schedules of valuables shipped and related papers and reports. *Disposition:* Recordkeeping copy (paper): DESTROY when 6 years old. (GRS 9-2)

**640**      **MOTOR VEHICLES OPERATOR FILES.** Documents relating to the operation of Government-owned vehicles. Includes driver tests, authorization to use, safe driving awards, violations, and related correspondence. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after separation of employee or 3 years after revision of authorization to operate a Government owned vehicle, whichever is sooner. (GRS 10-7)

### **645**      **MOTOR VEHICLE REPORTS FILES**

**645-10**    **Motor Vehicle Accident Report Files.** Records relating to motor vehicle accidents, including SF91, Motor Vehicle Accident Report, investigative reports, SF94, Statement of Witness and other accident report forms. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years after case is closed. (GRS 10-5)

**645-20**    **Motor Vehicle Maintenance Report Files.** Includes those relating to service and repair. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 10-2b)

**645-30 Motor Vehicle Operating Report Files.** Includes those relating to gas and oil consumption, dispatching and scheduling. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 months old. (GRS 10-2a)

**645-40 Motor Vehicle Files - Other Reports.** Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF82, Agency Report of Motor Vehicle Data. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after date of report. (GRS 10-4)

## **650 PROCUREMENT FILES**

### **650-01 Requests for Procurement Files**

*Disposition:*

a. Recordkeeping copy (paper): Incorporate into official files after action is taken. (GRS 23-6b(2))

b. Extra copy (paper): DESTROY immediately. (GRS 23-6b(1))

**651 Procurement Transactions Files.** Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment. Cutoff at end of FY, EXCEPT files on which actions are pending shall be brought forward to the next FY files.

a. Obligation copy. *Disposition:* Recordkeeping copy (paper): DESTROY when funds are obligated. (GRS 3-3b)

b. Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. *Disposition:* Recordkeeping copy (paper): DESTROY 6 years and 3 months after final payment. (GRS 3-3a(1)(a))

c. Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after final payment. (GRS 3-3a(1)(b))

d. Administrative Duplicates. Copies of contracts, requisitions, purchase orders, leases and other papers that are duplicates used by component elements of a procurement office for administrative purposes. *Disposition:* Recordkeeping copy (paper): DESTROY upon termination or completion of action. (GRS 3-3c)

**655 Property Accountability Files.** Files containing inventory lists and cards for accountability of property. Includes hand receipts, property transfers, etc. Cutoff when superseded or obsolete.

a. Inventory Lists. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years from date of list. (GRS 3-9a)

b. Inventory Cards. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after discontinuance or equipment is transferred from the OIG. (GRS 3-9b)

## **660 SUPPLY AND SERVICES FILES**

**\*660-01 Requests for Office Service and Supply Files.** Documents for supplies or services required by an office.

*Disposition*:

a. Recordkeeping copy (paper): Transfer to official file (File Number 661) after action is taken. (GRS 23-6b(2))

b. Extra copy (paper): DESTROY immediately. (GRS 23-6b(1))

**661 Supply Purchases Files.** Purchase organization copy and related papers. *Disposition*: Recordkeeping copy (paper): DESTROY 3 years after final payment. (GRS 3-3a(2)(b))

**661-20 Supply Requirements Reports Files.** Reports on supply requirements and procurement matters submitted for supply management purposes.

a. Copies received from other units for internal purposes or for transmission to staff agencies. *Disposition*: Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 3-4a)

b. Copies in other reporting units and related work papers. *Disposition*: Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 3-4b)

**662 Supply Requisitions Files.** Requisitions for supplies and equipment from current inventory.

a. Stockroom copy. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after completion or cancellation of requisition. (GRS 3-8a)

b. Other copies. *Disposition*: Recordkeeping copy (paper): DESTROY when 6 months old. (GRS 3-8b)

**664 Supply Inventory Control Files.** Files containing lists and cards for control of stock. Cutoff when superseded or obsolete.

a. Lists. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years from date of list. (GRS 3-9a)

b. Cards. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after discontinuance of item or stock balance is transferred to a new card or recorded under a new classification or 2 years after equipment is removed from agency control. (GRS 3-9b)

**664-10** **Report of Survey Files.** Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the General Records Schedules. *Disposition*: Recordkeeping copy (paper): DESTROY 2 years after date of survey action or date of posting medium. (GRS 3-9c)

**665** **Equipment Service Files.** Requests for equipment maintenance services, excluding fiscal copies. *Disposition*: Recordkeeping copy (paper): DESTROY 3 months after work is performed or requisition canceled. (GRS 11-5)

## **670 BUILDING MAINTENANCE FILES**

**670-02** **Office Environment Files.** Documents relating to the modification, repair, or change of office heating, lighting, ventilation, cooling, electrical, and plumbing systems, excluding fiscal copies. *Disposition*: Recordkeeping copy (paper): DESTROY 3 months after work is performed or requisition canceled. (GRS 11-5)

**670-03** **Office Physical Structure Files.** Documents relating to painting, partitioning, repairing or other aspects of maintaining the office physical structure, excluding fiscal copies. *Disposition*: Recordkeeping copy (paper): DESTROY 3 months after work is performed or requisition canceled. (GRS 11-5)

**670-04** **Office Property Control Files.** Cards, lists, hand receipts or comparable documents showing accountable property charged to the office. *Disposition*: Recordkeeping copy (paper): DESTROY or DELETE when no longer needed for convenience of reference. (GRS 23-5b)

**670-05** **Keys and Locks Files.** Requests and other documents concerning the issue of keys and/or locks to an office. *Disposition*: Recordkeeping copy (paper): DESTROY 6 month after turn-in of key or lock.. (GRS 18-16b)

**671** **Building Service Files.** Requests for building maintenance services, excluding fiscal copies. *Disposition*: Recordkeeping copy (paper): DESTROY 3 months after work is performed or requisition canceled. (GRS 11-5)

**672** **PARKING CONTROL FILES.** Documents pertaining to issuance of permits and passes for local parking areas.

**672-10** **Requests for Parking Passes Files.** *Disposition*: Recordkeeping copy (paper): DESTROY 3 months after pass is issued or requisition canceled. (GRS 11-4a)

**672-15 Parking Passes Issued Files.** *Disposition:* Recordkeeping copy (paper): DESTROY 3 months after superseded or obsolete or parking pass is turned in or canceled, whichever is first. (GRS 11-4a)

**672-50 Visitor Parking Files.** *Disposition:* Recordkeeping copy (paper): DESTROY 3 months after pass is issued or requisition canceled. (GRS 11-4a)

**680 PRINTING, BINDING, DUPLICATION AND DISTRIBUTION SERVICES FILES.** Records relating to the printing binding, duplication, and distribution of publications.

*Disposition:*

a. Recordkeeping copy (paper): Transfer to official case file after action is taken. (GRS 23-6b(2))

b. Extra copies (paper): DESTROY after action is taken. (GRS 23-6b(1))

c. Accounting copy (paper): DESTROY when 2 years old. (GRS 7-1)

**680-01 Printing Requisitions Files.** Requisitions, invoices, specifications, and related papers. *Disposition:* Recordkeeping copy (paper): DESTROY when 1 year old. (GRS 13-2a)

**680-02 Project Control Files.** Control registers pertaining to requisitions and work orders. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after the close of the FY in which completed or 1 year after filling of register, whichever is applicable. (GRS 13-3)

**680-05 Printing Services Administrative Correspondence Files.** Correspondence files pertaining to the administration and operation of the OIG printing section. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 13-1)

**680-10 Printing Services Internal Management Files.** Records relating to the internal management and operation of the unit. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (GRS 13-6)

**680-20 Printing/Binding Project Planning Files.** Files pertaining to planning and other technical matters. *Disposition:* Recordkeeping copy (paper): DESTROY when 3 years old. (GRS 13-2b)

**680-50 Printing/Duplication Project Files.** Job or project records containing all papers and data pertaining to the execution of printing, binding, duplication and distribution jobs. *Disposition:* Recordkeeping copy (paper): DESTROY 1 year after completion of the job. (GRS 13-2a)

**\*699 WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

a. **Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

b. **Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 700 – AUDITING PROGRAM FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system except for record series 760.**

**700      AUDITING PROGRAM FILES.** This series covers records created or maintained by the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management. Unless otherwise directed, Cutoff case files at the end of CY when completed.

**700a      Auditing Correspondence Files General.** Correspondence related to auditing that can not logically be filed with detailed records listed below or that are received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (N1-509-00-6)

**701      Internal OIG Audit Files.** Reports of audits and surveys that pertain to the operation of a mission or function within the OIG. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (N1-509-00-7)

**\*702      Indexes to Audit Case Files.** RESCINDED. See File Number 750 or 751 for indexes of Audit Project Files (N1-330-90-4) (N1-509-00-1) (N1-509-00-7)

**703      Case Control System Files.** RESCINDED. These records never existed and are not required in Audit. (N1-330-88-4) (N1-509-00-01) (N1-509-00-7)

**\*705      Inquiries and Reports Files.** RESCINDED. If files that are internally generated (required by the OIG from DOD Agencies or the Military Services) they were incorporated into File Number 700. If they were files that were externally generated by the OIG as required by the GAO, Congress, OMB or other Government agencies, they were incorporated into File Number 750 or 751. (N1-330-90-4) (N1-509-00-01) (N1-509-00-7)

**705-10      Congressional Inquiries Files.** RESCINDED. If inquiries and responses were of a routine nature, they were incorporated into File Number 363-10, 700 or 750. If they were of a substantive nature having historical value, they were incorporated into File Number 363-20 or 751. (N1-330-88-4) (N1-509-00-01) (N1-509-00-7)

**710      AUDIT POLICY AND PROGRAM PROCEDURES FILES.** Records defining and documenting the policies required for directing, controlling and carrying out OG audit operations. These files include directives, regulations, guidelines and other policy documents that address audit policy and procedures, such as audit and audit-related directives and the Internal Audit Manual. Also are included are supporting documentation such as comments on new or revised policies and legislation that participated the new or revised policies.

*Disposition:*

- a. Recordkeeping copy (paper): PERMANENT Cutoff when superseded or obsolete. Transfer to the National Archives in 5 year blocks when most recent record is 30 years old. (N1-330-88-4) (N1-509-00-7)
- b. Other copies, workpapers and background material (paper). DESTROY when no longer needed. (N1-330-88-4) (N1-509-00-7)

**715**      **Audit Planning Files.** Records on planning annual audit schedules and procedures pertaining to the selected audits such as the annual audit plan or related documents.

*Disposition:*

- a. Recordkeeping copy (paper): PERMANENT Cutoff when superseded or obsolete. Transfer to the National Archives in 5 year blocks when most recent record is 5 years old. (N1-330-88-4) (N1-509-00-7)
- b. Other copies, work papers and background material (paper): DESTROY when no longer needed. (N1-330-88-4) (N1-509-00-7)

**720**      **ROUTINE AUDIT OVERSIGHT CASE FILES.** Documents created by the OIG, which monitor and evaluate DoD and other Federal Agencies internal audit, contract audits, and internal review principles, policies and procedures as well as documents created by the OIG, which monitor and evaluate DOD external audits and external audit principles, policies and procedures. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after final management decision of the final audit oversight report unless management classifies those files as “Permanent Audit Oversight Project Files” which would fall under File Number 721a. (N1-330-88-4) (N1-509-00-7)

**721**      **PERMANENT AUDIT OVERSIGHT PROJECT FILES.** Documents created by the OIG that monitor and evaluate DOD and other Federal Agencies internal and contract audits, internal reviews, the audit principles, policies and procedures, as well as documents created by the OIG, which monitor and evaluate DOD external audits and external audit principles, policies and procedures that: (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for their uniqueness by specialists or outside the Government; or (5) are reviewed in length in the Agency’s annual report to Congress. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff when final report is issued. Transfer to the National Archives in 5 year blocks when most recent record is 3 years old. (N1-509-00-7)

**730**      **AUDIT FOLLOW-UP CASE FILES.** RESCINDED. Incorporated into File Number 735 below. (N1-330-88-4) (N9-509-00-01) (N1-509-00-7)

**735**        **GAO/OIG Audit Follow-up Case Files.** Documents that record the mediation of disputes regarding recommendations in DOD, IG audit reports and follow-up on management corrective action on recommendations in both the OIG and GAO reports. *Disposition:* Recordkeeping copy (paper): Maintain closed Audit Follow-up Case Files in the office of record and review periodically to select those that should be transferred to the WNRC. DESTROY transferred cases 20 years after case closure. (N1-330-88-4) (N1-509-00-7)

**740**        **CONTRACT AUDIT CASE FILES.** RESCINDED. Incorporated into File Number 750 or 751. (N1-330-88-4) (N9-509-00-01) (N1-509-00-7)

**750**        **ROUTINE AUDIT PROJECT FILES.** Documents created or maintained by the OIG pertaining to unclassified or classified audit of programs, operations, policies and procedures and special request audits of external departmental activities and operations. Audit files include such documents as: fact sheets for proposed audits and evaluations, requests/decision memorandums, survey and audit completion debriefs, official audit project files, pre-audit planning material, internal and external audit correspondence, audit working papers, scheduling and management support documents, electronic mail messages, electronic administrative recordkeeping files, internal and external quality control certification statements and peer review reports, draft and final audit reports, and management comments on draft and final reports. Also included are related indexes. (N1-509-00-7), item 750 and 751 dated 9/18/2001) *Disposition:* Recordkeeping copy: (1) (Paper): DESTROY 2 years after final management decision of the final audit report unless audit management classifies those files as “Permanent Audit Project Files”, which would fall under File Number 751a(1). (N1-330-90-4) (N1-509-00-7); (2) Electronic data and related records. (Includes master file of electronic data, source documents/data and output documents data.) Destroy 2 years after final report is issued in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-509-00-7) **Note:** Some audit case files may be considered as PERMANENT: if they attracted great public or industry attention, documented an advance in technology, had a significant impact on industry or documented historical development of the agency. Notify the RMO and the National Archives will be contacted so that an analysis and appraisal of these case files can be conducted and appropriate disposition authorized.

**751**        **PERMANENT AUDIT PROJECT FILES.** Documents created or maintained by the OIG pertaining to unclassified or classified audits of programs, operations, policies, procedures and special request audits that (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for uniqueness by specialists or authorities outside the Government; or (5) are reviewed in length by the Agency’s annual report to the Congress. Also included are related indexes. *Disposition:* Recordkeeping copy: (1) Paper PERMANENT

Cutoff when final report is issued. Transfer with related indexes to the National Archives 25 years after report is issued or when records are declassified, whichever is later. (N1-509-00-7); (2) Electronic data and related record as. (Includes master file of electronic data, source documents/data and output documents/data). PERMANENT. Transfer to the National Archives with technical documentation, 2 years after the final report is issued in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-509-00-7)

**\*760 The Defense Audit Management Information System (DAMIS).** The Defense Audit Management Information System (DAMIS) provides a centralized system for the collection, storage, retrieval and destruction of data and other information relating, but not limited to audits, evaluations, training, audit follow-up and time and attendance. It tracks all audits and evaluations conducted by the Office of the Deputy Inspector General for Auditing (ODIG-AUD) employees, from the beginning of a project until all the recommendations and finding relating to the project and final report are closed. It tracks the hours charged by ODIG-AUD employees directly to each project, and the hours of continuing professional education training for each employee to ensure that employees are qualified to perform their assigned duties.

a. System Input/Source Records.

(1) Non-electronic documents or forms designed and used solely to create, update, or modify the records in electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule. *Disposition:* Temporary. Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as back-up to, a master file or database, whichever is later. (GRS 20-2a)

(2) Electronic Records. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes. *Disposition:* Temporary. Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. (GRS 20-2b)

(3) Electronic Records. Electronic Records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. *Disposition:* Temporary. Delete when data have been entered into master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. (GRS 20-2c)

b. Master File. The Master File contains data relating to audit projects, final reports, training, and time and attendance information. Sample of elements include project milestones, functional area code, issue area codes, findings, recommendations, executive summaries, status on recommendations, training courses, associated costs, and hours charged to each project, and leave taken. *Disposition*: Temporary. Destroy/Delete 20 years after case is closed.

(N1-509-04-1)

c. System Outputs. Specific use reports (not required periodic reports) or results of queries on selected data, such as training history report, project management status report, status of recommendations reports, training budget report. *Disposition*: Temporary. Keep in current file until no longer needed for conducting business, but not longer than 2 years, then destroy.

(N1-509-04-1)

d. System Documentation: Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for destruction by the GRS or a NARA-approved disposition schedule. *Disposition*: Temporary. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the system if the output is needed to protect legal rights, whichever is latest. (GRS 20-11a)

## **\*799 WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

a. **Word Processing Files**. Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition*: Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

b. **Electronic Mail Records**. Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition*: Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note**: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 800- INVESTIGATION PROGRAM FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system except for record series 802.**

**800 INVESTIGATION PROGRAM FILES.** This series covers records created or maintained by the OIG in performing criminal investigation duties and responsibilities to prevent illegal activities within the DoD. Cutoff case files at the end of the CY when completed unless otherwise directed.

**800a Investigations Correspondence Files - General.** Correspondence relating to investigations that cannot logically be filed with detailed records listed below or that are received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (N1-509-00-6)

**\*802 Investigative Data Systems (IDS).** The Defense Criminal Investigative Service (DCIS) Investigative Data System (IDS) is a relational data base designed to:

- Provide centralized management information system for the collection, storage and retrieval of statistical and other data relating to criminal, civil and administrative investigative efforts conducted by the DCIS;
- Track information reports, fraud briefings, technical support on cases, inspections, internal inquiries, and polygraphs conducted for other agencies;
- Provide a record of every subject of every investigation and information report in the history of DCIS; and
- Record in the Workhour Tracking System all employee work hours associated with investigative efforts.

The IDS consists of but is not limited to the following data elements: fraud awareness briefings, information reports, investigative cases, investigative subject data elements, polygraphs, inspections, internal inquiries, technical support and data and employee work hours and office assignments. IDS entries for other categories must be supported by documentation in the master case file (retained by the Office of Primary Responsibility during the pendency of the case). This includes but is not limited to Personal Identifying Data, arrests, adjudicative activity, all monetary claims and most technical support activities. Also includes supporting documentation on the methodology use to calculate dollar amounts. Each unique identifier assigned by the IDS has the data entries required by the DCIS Special Agents Manual, Chapters 28, 50 and 54. The IDS is updated daily.

- a. Recordkeeping copies. Inputs or source documents: Master Case File.  
*Disposition:* Apply disposition instructions found under File Number 850.

b. Electronic copy. *Disposition:* Electronic copy will be maintained by the OIG until determined to be no longer necessary. (N1-509-01-1)

(1) An extract of the Master File containing records relating to Criminal Investigative Case Files records designed as permanent under File Number 850b. PERMANENT. *Disposition:* Transfer to the National Archives with the related case files in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-509-01-1)

(2) Master File. Provided that the extract has been produced for File Number 802a(2)(a) and transferred to the National Archives, *Disposition:* DELETE when 20 years old or when no longer needed for operational purposes, whichever is later. (N1-509-01-1)

c. Outputs not filed under File Number 850. *Disposition:* DESTROY/Delete after 1 year or when no longer needed for operational purposes, whichever is later. (N1-509-01-1)

d. Documentation specified in 36 CFR 1234.20(b), including record layouts, codebooks and other system documentation.

(1) Documentation related to File Number 802a(2)a.. PERMANENT. *Disposition:* Transfer to the National Archives with the Master File extract in accordance with 36 CFR 1228.270 and 36 CFR 1234. (N1-509-01-1)

(2) Documentation related to File Number 802a(2)(b), Maintained by the OIG. *Disposition:* DESTROY. Delete when the Master File to which it pertains has been superseded, is no longer needed for operational purposes, or is 20 years old, whichever is later. (N1-509-01-1)

e. Electronic mail and word processing copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copies. *Disposition:* Delete when dissemination, revision or updating is complete. (N1-509-01-1)

**803** **Evidence Ledgers and Custody Files.** Documents showing the description, receipt, and disposition of physical property held as evidence for use in military or civil court proceedings. Included are vouchers, statements of destruction, ledgers and related information.

a. Ledger. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after all items of evidence have been disposed of. (N1-330-88-4)

b. Custody documents. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after final disposition of evidence. (N1-330-88-4)

**804** **Informant Files.** Documents related to informants used in the conduct of investigations. Included are informant data cards, agent activity summaries, cross index cards and related documents. *Disposition:* Recordkeeping copy (paper): DESTROY 10 years after termination of informant's service. (N1-330-88-4)

**805** **Polygraph Examinations Files.** Polygraph Examinations: Polygraph examination, report and related documents. Filed with the Report of Investigation (ROI) under File Number 850, "Criminal Investigations Case Files." (N1-330-88-4)

**806** **Firearms Authorization Files.** Documents authorizing investigators to carry firearms. *Disposition:* Recordkeeping copy (paper): DESTROY 6 months after expiration of the authorization. (N1-330-88-4)

**806-20** **Loss and Recovery of Firearms and Ammunition Files.** Documents and reports relating to the loss and recovery of firearms and ammunition. *Disposition:* Recordkeeping copy (paper): DESTROY after 10 years. (N1-330-88-4)

**809** **Criminal Information Bulletins Files.** Bulletins used to send out criminal information. Contains the review and analysis of criminal information reports, reports of investigation, the crime prevention survey and other investigation documents received. *Disposition:* Recordkeeping copy (paper): Cutoff at end of CY. DESTROY after 5 years or when no longer needed, whichever is earlier. Selected reports containing information of current operational value may be kept past 5 years but no longer than 20 years. (N1-330-88-4)

**810** **INVESTIGATIONS POLICY AND PROGRAM PROCEDURES FILES.** Records defining and documenting the policies required for directing, controlling, and carrying out OIG investigative operations.

*Disposition:*

- a. Recordkeeping copy (paper): PERMANENT: Cutoff when superseded or obsolete. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)
- b. Other copies, work papers and background material (paper): DESTROY when no longer needed. (N1-330-88-4)

**815** **Investigations Planning Files.** Records on planning investigation schedules and procedures pertaining to the selected investigations.

*Disposition:*

a. Recordkeeping copy (paper): PERMANENT: Cutoff when superseded or obsolete. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

b. Other copies, work papers, and background material (paper): DESTROY when no longer needed. (N1-330-88-4)

**818** **Liaison and Jurisdictional Agreements Files.** Documents dealing with liaison matters of mutual interest with and render requisite assistance to investigative activities and law enforcement. Letters of agreement, status of forces agreements and other similar or related records. *Disposition:* Recordkeeping copy (paper): PERMANENT: Transfer to the National Archives in 10-year blocks when most recent record is 10 years old. (N1-330-88-4)

**820** **REPORTS AND SURVEYS FILES.** Documents created in the course responding to external requests for information pertaining to the investigation function. Requests for information pertaining to the investigation function that require response from the DoD Components and Military Services.

**820-10** **Congressional Inquiries Files.** Responses to Congress concerning on-going or proposed investigations.

a. Those of congressional or public interest pertaining to substantial policy issues. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff when superseded or obsolete. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old. (N1-330-88-4)

b. Routine responses. *Disposition:* Recordkeeping copy (paper): DESTROY after 3 years. (N1-330-88-4)

**820-20** **IG DoD Generated Internal Reports Files.** RESCINDED. Reports required by the OIG from DoD Agencies or the Military Services.

**\*820-30** **External Reports Files.** RESCINDED.

**822** **Fraud/Criminal Briefings Files.** Reports, correspondence, and related records on fraud mission briefings. *Disposition:* Recordkeeping copy (paper): DESTROY after 3 years. (N1-330-88-4)

**822-20** **Analysis of Criminal Offenses and Trends Files.** RESCINDED. Special studies and reports.

**822-50 Fraud Prevention Surveys Files.** Information requested and reports provided for the prevention of fraud in Government operations and contract agreements. *Disposition:* Recordkeeping copy (paper): Retire to the WNRC 2 years after completion. DESTROY after 10 years. (N1-330-88-4)

**825 INVESTIGATIVE REPORTS FILES.** Reports submitted and received by the OIG which pertain to specific investigations.

**825-20 Information Report (IR) Files.** Unsolicited information of a criminal nature received by the OIG, concerning persons or incidents which are of direct interest to other DoD Components or Federal agencies. *Disposition:* Recordkeeping copy (paper): Cutoff on closure. Retire to the WNRC 2 years after Cutoff. DESTROY 10 years after Cutoff. (N1-509-93-1)

**830 INVESTIGATIONS OVERSIGHT PROJECT FILES.** Documents that monitor and evaluate DoD internal investigations, external (contractor) investigations, and internal review principles, policies and procedures. *Disposition:* Recordkeeping copy (paper): PERMANENT: Retire to the WNRC when no longer needed for current operations. Transfer to the National Archives in 10 year blocks when most recent record is 10 years old. (N1-330-88-4)

**\*840 HOTLINE REFERRAL FILES.** Correspondence, preliminary investigations and memoranda of telephone conversations pertaining to complaints received by the DoD Hotline.

a. Not referred. Includes anonymous or vague allegations not warranting an investigation. *Disposition:* Recordkeeping copy (paper): Cutoff at end of CY. DESTROY after 2 years. (N1-509-99-6)

b. Referred. Includes matters referred to constituents or other agencies for handling, and support files providing general information that may prove useful in the OIG investigations. *Disposition:* Recordkeeping copy (paper): Cutoff on closure. Retire to the WNRC 5 years after closure. DESTROY 10 years after cutoff. (N1-509-99-6)

**\*850 CRIMINAL INVESTIGATIONS CASE FILES.** Case files of investigations of alleged violations of laws, regulations, and directives by the DoD agency personnel and external investigations conducted on contractors and grantees. These may include, but are not limited to, official reports of investigations (ROIs), polygraph reports, case initiations, case closings, agents' notes, sworn statements and affidavits and subpoenas and request for authorization to use electronic equipment for consensual monitoring, consensual monitoring reports, significant incident reports, supplemental reports on closed cases, evidence to include pictures, fingerprints, and any other case related documents or information used during the investigation of a particular case. Files may include audio cassette tapes and video cassette tapes.

- a. Initiating officer, resident agency, or field office case files (paper copies).

*Disposition:* Transfer through channels to ODIG-INV 2 years after the case closes.  
(N1-509-93-2)

b. ODIG-INV case files (paper copies and any audiovisual tapes) including any related indexes. Case files that fall into the following categories or meet one or more of the following criteria in Categories F - Redistribution/Marketing Fraud, O - U.S. Customs Violations, S - Environmental, T - Terrorism Related Act, X - Internal Security. Also any other cases that establish a precedent and result in a major policy or procedural change, are involved in extensive litigation, receive widespread news media attention, widely recognized for uniqueness by specialists or authorities outside the Government or reviewed at length in the Agency's semi-annual report to Congress. *Disposition:* Recordkeeping copy (paper): PERMANENT. Retire to the WNRC 3 years after case closure. Transfer to the National Archives in 5 year blocks when the newest case in the block has been closed for 25 years. (N1-509-03-1)

c. ODIG-INV case files (paper copies and any audiovisual tapes) in all other categories not listed in "b" above. *Disposition:* Recordkeeping copy (paper): TEMPORARY. Retire to the WNRC 3 years after case closure. DESTROY 25 years after case closure.  
(N1-509-03-1)

\* \* \*Audiovisual (AV) material accumulated in connection with temporary cases may be retired to WNRC as long as only AV material is included in that accession. Do not mix AV and Textual records. Audiovisual material accumulated in connection with a PERMANENT case may not be retired to the WNRC due to preservation concerns. Maintain on site and transfer directly to the National Archives at the same time that the textual records are transferred. (N1-509-93-2).

**Note:** Some case files (not already scheduled as PERMANENT) warrant PERMANENT retention if they attract great public or judicial attention or documented historical development of the agency. Notify the National Archives so that an analysis and appraisal of these case files can be conducted and appropriate disposition authorized. (N1-509-93-2)

**\*860 SOURCE PROGRAM.** The Defense Criminal Investigative Service's (DCIS) Source Control Officer maintains all original source documents (confidential and registered) acquired by DCIS personnel through investigations. Sources provided criminal information used for DCIS investigations.

**\*860-10 SOURCE PROGRAM MANAGEMENT AND POLICY FILES.** The DCIS Special Agents Manual Chapter 7, "Sources", deal with issues relating to Program implementation, and execution and issues that arise during the normal course of the Source Program. Files do not relate exclusively to a particular source and investigative case or possible future investigation. Files consist of, but not limited to, internal OIG-DCIS and external correspondence establishing the source program, correspondence, with DCIS agents, yearly source reports submitted by the field source control officer on specific issues of program yearly reports. Most if not all of the program management and policy files remain with Investigations.

Program Management files are opened and maintained for general matters of program policy and program administration and admission decisions. *Disposition:* Recordkeeping copy (paper): PERMANENT. Create new folder as issues arise. Retain in Headquarters Source Program Office or as long as the policy/procedure is currently in effect, whichever is longer, then transfer to the WNRC. Transfer to the National Archives 25 years after closure or renewal of policy file. (N1-509-05-1)

**\*860-20 SOURCE FILES.** Source Files contain but are not limited to material dealing with the specific source file. Each source has a specific file that is identified by a unique field office source control number. The source file may relate to a specific investigative case or possible future investigation but may NEVER be placed in a case file in order to protect the source. Each file contains but is not limited to correspondence from field office reports and notes. It may contain an agreement, fingerprints, polygraph, source status reports, any payments made to source, correspondence between the HQ SCO and the Office of General Counsel, the DOD and the U.S. Attorney's Office.

*Disposition:*

a. TEMPORARY. Create a new file each time a new source is established. Close file by the exact date of the fiscal year in which the final SDR was written. Retire all source files that are identified by a field office internal source control to the WNRC 3 years after receipt at INV-HQ of original/final SDR from the field office. DESTROY 25 years after case closure to coincide with destruction of associated investigation. (N1-509-05-1)

b. PERMANENT. Create a new file each time a new source is established. Close file by the exact date of the fiscal year in which the final SDR was written. Retire all source files that are identified by a field office internal source control to the WNRC 3 years after receipt at INV-HQ of original/final SDR from the field office. TRANSFER to the National Archives 25 years after case closure ONLY if the source files were established in conjunction with an investigation that meets one or more of the following criteria: **O** - U.S. Customs Violations, **S** - Environmental, **T** - Terrorism Related Act, **X** - Internal Security, and or any case that establish a precedent and result in a major policy or procedural change, are involved in extensive litigation, receive widespread news media attention, widely recognized for uniqueness by specialists or authorities outside the Government or reviewed at length in the Agency's annual report to Congress. (N1-509-05-1)

**870 ADMINISTRATIVE INVESTIGATIONS CASE FILES.** Complaint files, inquiries, replies, comments, and other documents relating to investigation of non-criminal allegations of misconduct and mismanagement.

a. Routine Inquiries. *Disposition:* (1) Recordkeeping copy (paper): Final Report. DESTROY when 10 years old. (N1-509-97-1) (2) Work papers and background material. DESTROY when 10 years old. (N1-509-97-1)

\* b. Significant Cases. *Disposition*: (1) Recordkeeping copy (paper): Final Report. PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 10 years old. (N1-509-97-1) (2) Work papers and background material (paper): PERMANENT: Transfer to the National Archives in 5 year blocks when most recent record is 10 years old. (N1-509-97-1)

\***Note**: Significant cases include those which attract great public or judicial attention or document a historical development in the agency. (N1-509-97-1)

**870-01** **Internal Investigations Inquiries**. The investigation of misconduct or inappropriate/unprofessional acts by an AIG for Investigations employee.

a. Unfounded or unsubstantiated. *Disposition*: Recordkeeping copy (paper): DESTROY when 10 years old. (N1-509-97-1)

b. Substantiated. *Disposition*: Recordkeeping copy (paper): DESTROY when 10 years old or 5 years after termination of employee, whichever is later. (N1-509-97-1)

## **880** **SUBPOENA PROGRAM**

**880-10** **SUBPOENA PROGRAM AND POLICY FILES**. Documents relating to Program Origination, Implementation and Execution. Includes but is not limited to such documents as policy memoranda, subpoena training materials, program plans, performance measures, program briefings and subpoena database policies and procedures. *Disposition*: Recordkeeping copy (paper): Cutoff files at end of fiscal year. Create new folders at the beginning of each fiscal year. DESTROY 20 years after cutoff. (N1-509-03-2)

**880-20** **SUBPOENA CASE FILES**. Internal memoranda and copies of original subpoena documents sent to field investigative offices. Includes but is not limited to such records as request package documents consisting of request memo, draft subpoena, draft appendix, draft cover letter, Privacy Act Notice, Certificate of Compliance and if applicable, Right to Financial Privacy Act Documents, as well as a copy of the signed subpoena, appendix and various OIG memoranda and correspondence between the agent and the IPO/DCIS action officer and correspondence between the Office of General Counsel and the action officer. Also included are copies of case status summaries and reports of investigations or report excerpts. If the subpoena is challenged in court, the file may also contain court documents and related correspondence. **Note**: Original versions of issued subpoenas and associated records are maintained by the Defense Criminal Investigative Organizations (DCIOs) in their investigative case files for longer periods of time.

a. Subpoena files with enforcement action. Legal documents necessary for the litigation and used for legal research and opinions regarding similar investigative cases. Also included is some correspondence that may not be in the original investigative case file. *Disposition*: Recordkeeping copy (paper): Retire to the WNRC 2 years after case closes. DESTROY 10 years after case closes. (N1-509-03-2)

b. Subpoena files with no enforcement. The correspondence maintained in these files is duplicate of the data maintained by the DCIO. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after case closes.

c. Subpoena files containing denied or withdrawn requests. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after denial/withdrawal or case closure, whichever is earlier.

d. Subpoena files that have been cancelled. *Disposition:* Recordkeeping copy (paper): DESTROY 3 years after cancellation or case closure, whichever is earlier.

**880-30** **SUBPOENA DATABASE SYSTEM FILES.** Electronic database used to track the status of subpoenas. Recordkeeping copies.

*Disposition:*

a. Inputs or source documents. Apply disposition instructions found under File Number 880-20. (N1-509-03-2)

b. Master Files. DELETE when case is closed or when no longer needed for operational purposes, whichever is later. (N1-509-03-2)

c. Outputs Not Filed under File Number. 880-10 or 880-20. DESTROY/DELETE after 1 year or when no longer needed, whichever is later. (N1-509-03-2)

d. Documentation. Record layouts, codebooks and other system documentation: DESTROY/DELETE when no longer needed for operational purposes. (N1-509-03-2)

**890** **VOLUNTARY DISCLOSURE PROGRAM MANAGEMENT AND POLICY FILES.** These files deal with issues relating to Program origination, implementation, and execution issues that arise during the normal course of the Voluntary Disclosure Program (VDP). These files do not relate to a particular voluntary disclosure case. Policy files consist of but are not limited to internal OIG-IPO-OSD and external DOJ correspondence establishing the VDP, revisions of the VDP Guidelines and master copy used for printing, correspondence with DOJ on specific issues of the program, the GAO audit of the VDP and periodic reports. Program Management files are opened and maintained for general matters of program administration and admission decisions. Most, if not all, of the program management and policy files remain in the IPO.

a. Policy Files: PERMANENT. *Disposition:* Cut off files when superseded or obsolete. Create new file folders as new issues arise. Retain in the Voluntary Disclosure Office for 2 years, then transfer to the WNRC . Transfer to the National Archives when 25 years old. (N1-509-03-3)

b. Program Management Files: TEMPORARY. *Disposition*: Cutoff files when superseded or obsolete. Create new file folders as new issues arise. Retain in the Voluntary Disclosure Office for 2 years, then transfer to the WNRC. DESTROY when 25 years old.

**891** **VOLUNTARY DISCLOSURE CASE FILES.** These files contain but are not limited to material dealing with a specific voluntary disclosure case. There is a specific case file for each voluntary disclosure. Each file contains but is not limited to correspondence between the Voluntary Disclosure Program Office and the contractor/its counsel, correspondence with various DOD Components and with the DOJ. It also contains the voluntary disclosure agreement and the DCIO case status reports and the final report of investigation and any settlement or other disposition agreements. The file may also contain Defense Contracting Audit Agency (DCAA) Audit reports. An internal control number identifies each voluntary disclosure case which is different from the MCIO case control number and the DOJ number. Files are created as new disclosures are received. Create a new file each time a new Voluntary Disclosure Case is opened. Close file in fiscal year in which case is closed.

a. Case files that meet one or more of the following criteria: (1) Establish a precedent and result in a major policy or procedural change, (2) are involved in extensive litigation, (3) receive widespread news media attention, (4) are widely recognized for uniqueness by specialists or authorities outside the Government or (5) are reviewed at length in the Agency's semiannual report to Congress. *Disposition*: Recordkeeping copy (paper): PERMANENT. Close File in fiscal year in which case is closed. Transfer to the National Archives 25 years after case closure. (N1-509-03-3)

b. All other case files. *Disposition*: Recordkeeping copy (paper): TEMPORARY. Close file in fiscal year in which case is closed. Retire to the WNRC 1 year after case closure. DESTROY 25 years after case closure. (N1-509-03-3)

**\*899** **WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

a. **Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition*: Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

b. **Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition*: Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note**: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 900 – INSPECTIONS PROGRAM FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**900 INSPECTIONS PROGRAM FILES.** This series covers records relating to planning and conducting OIG inspections, inquiries, and surveys to prevent fraud and reduce waste. Unless otherwise directed, cutoff files at the end of the CY.

**900a Inspections Correspondence Files - General.** Correspondence relating to the OIG inspections function that cannot logically be filed with detailed records listed below or received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (N1-509-00-6)

**901 Internal Office Inspections and Surveys Files.** Documents relating to routine inspections and surveys of internal OIG operations and procedures. *Disposition:* Recordkeeping copy (paper): DESTROY after 1 year or after next survey or inspection. (N1-330-88-4)

**902 Indexes to Inspections Case Files.** Indexes to case files used to locate specific documents within the case files or used as a reference. *Disposition:* Recordkeeping copy (paper): Follow disposition instructions for the related case file or DESTROY when no longer needed for reference. (N1-330-88-4)

**905 IG Inquiries Files.** Complaint files, inquiries, replies, comments, and related documents relating to the OIG inspections function but not appropriate for filing with inspections case files. *Disposition:* Recordkeeping copy (paper): DESTROY after 10 years old. (N1-330-88-4)

**910 INSPECTIONS POLICY AND PROGRAM PROCEDURES FILES.** Reports defining and documenting the policies and procedures required for directing, controlling, and carrying out inspection program operations.

*Disposition:*

a. Recordkeeping copy (paper): PERMANENT: Cutoff when superseded or obsolete. Retire to the WNRC. Transfer to the National Archives in 5 year blocks when most recent record is 25 years old. (N1-330-88-4)

b. Other copies, workpapers, and background material (paper): DESTROY when no longer needed for current operations or reference. (N1-330-88-4)

**920 INSPECTIONS PLANNING FILES.** Documents on planning and developing inspections schedules and procedures that pertain to the scheduled inspections.

**920-10 Inspections Universe Files.** Documents relating to the universe of DoD organizations and activities that are subject to the OIG inspection coverage. Accumulated for reference and research in developing concept plans and establishing long-range inspections schedules. *Disposition:* Recordkeeping copy (paper): Review annually. DESTROY when 2 years old. (GRS 23-1)

**920-20 Inspections Schedules Files.** Documents accumulated in planning and preparing long range inspection schedules. Includes announcements, approvals, requests for changes, and related papers.

Disposition:

a. Recordkeeping copy (paper): PERMANENT: Cutoff when superseded or obsolete. Transfer to the National Archives in 5 year blocks when most recent record is 25 years old. (N1-330-88-4)

b. Other copies, workpapers, and background material (paper): DESTROY when no longer needed for current operations or reference. (N1-330-88-4)

**920-30 Mandatory/Special Interest Items for Inspection Files.** Documents accumulated in processing requests for certain items to be inquired into at all inspections in a certain functional area or at certain types of activities. *Disposition:* Recordkeeping copy (paper): DESTROY after 10 years. (N1-330-88-4)

**930 INSPECTIONS ADMINISTRATIVE PROCEDURES FILES.** Documents relating to general, day-to-day administrative procedures and processes of preparing for and conducting individual inspections. *Disposition:* Recordkeeping copy (paper): DESTROY after 10 years. (N1-509-00-4)

**930-10 Inspection Concept Development Files.** Documents which define the initial idea and scope of an inspection. Includes documents which identify the resources required, establish the objectives, or suggest items for inspection, types of expertise or training required on the inspection team, potential sites for inspection, methods of inspection.

a. Approved concept. *Disposition:* Recordkeeping copy (paper): Transfer to File Number 950 (Inspections Case Files) when the inspections team is established and operational. (N1-509-00-4)

b. Disapproved concept. *Disposition:* Recordkeeping copy (paper): Transfer to File Number 920-10 (Inspections Universe). (N1-509-00-4)

**930-20**     **Inspection Administration Files.** Documents accumulated by inspection project teams in coordinating planned inspections. Includes travel and other team personnel information, schedules of proposed visits, itineraries, internal activity or workload reports, approvals, requests for changes, and related papers. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after Inspections Report is completed. (N1-330-88-4)

**940**           **INSPECTIONS PROCEDURES & METHODS REVIEW AND ANALYSIS FILES.** Documents created in the process of evaluating the outcome and impact of an OIG inspection. May include surveys conducted of previously inspected areas, recommendations for adding or removing items from consideration for inspection, recommendations for improving the quality of the inspections process. *Disposition:* Recordkeeping copy (paper): Cutoff on completion of the project. DESTROY after 10 years. (N1-330-88-4)

**950**           **INSPECTIONS CASE FILES.** Documents accumulated from inspections conducted by the OIG. Includes inspection reports and related work papers pertaining to general and special inspections. *Disposition:* Recordkeeping copy (paper): PERMANENT: Cutoff on completion of the Inspections Report. Transfer to the National Archives in 10-year blocks when most recent record is 10 years old. (N1-330-88-4)

**\*999**           **WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

**a. Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

**b. Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 1000 – INTELLIGENCE PROGRAM FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**1000**      **INTELLIGENCE PROGRAM FILES.** This series covers records created or maintained by the OIG relating to planning and conducting intelligence oversight evaluations, audits and inquiries. Cutoff files at the end of the CY when completed unless otherwise directed.

**1000a**      **Intelligence Correspondence Files - General.** Correspondence relating to the OIG intelligence oversight function that cannot logically be filed with detailed records listed below or that are received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): DESTROY when 2 years old. (N1-509-00-5)

**1002**      **Indexes to Intelligence Case Files.** Indexes to Intelligence Case Files (File Number 1050) used to locate specific documents within the case files or used as a reference. *Disposition:* Recordkeeping copy (paper): Follow disposition instructions for the related case file. (File Number 1050). (N1-509-00-5)

**1005**      **IG Inquiries Files.** Complaint files, inquiries, replies, comments and documents relating to the OIG intelligence oversight function but not appropriate for filing with Intelligence Case Files. *Disposition:* Recordkeeping copy (paper): DESTROY 10 years after last action is taken. (N1-509-00-5)

**1010**      **INTELLIGENCE POLICY AND PROGRAM PROCEDURES FILES.** Reports defining and documenting the policies and procedures required for directing, controlling and carrying out intelligence program operations.

*Disposition:*

a. Recordkeeping copy (paper): PERMANENT. Cutoff when superseded or obsolete. Retire to the WNRC. Transfer to the National Archives in 5 year blocks when most recent record is 25 years old. (N1-509-00-5)

b. Other copies, workpapers and background material (paper): DESTROY when no longer needed for current operations or reference. (N1-509-00-5)

**1020**      **INTELLIGENCE PLANNING FILES.** Documents on planning and developing evaluation and audit schedules and procedures that pertain to the scheduled evaluations and audits.

**1020-10 Intelligence Reference Files.** Background documents relating to DoD organizations and activities that are subject to OIG Intelligence coverage. Accumulated for reference and research in developing concept plans and establishing long-range intelligence schedules. *Disposition:* Recordkeeping copy (paper): Review annually. DESTROY when 2 years old. (GRS 23-1)

**1020-20 Intelligence Schedules Files.** Documents accumulated in planning and preparing long-range intelligence schedules. Includes announcements, approvals and requests for changes and related papers.

*Disposition:*

a. Recordkeeping copy (paper): PERMANENT. Cutoff when superseded or obsolete. Transfer to the National Archives in 5 year blocks when most recent record is 25 years old. (N1-509-00-5)

b. Other copies, workpapers and background material (paper): DESTROY when no longer needed for current operations or reference. Disposition Pending. (N1-509-00-5)

**1030 INTELLIGENCE ADMINISTRATIVE PROCEDURES FILES.** Documents relating to general, day-to-day administrative procedures and processes of preparing for and conducting intelligence evaluations and audits. Cutoff at end of calendar year. *Disposition:* Recordkeeping copy (paper): DESTROY 10 years after cutoff . Disposition Pending. (N1-509-00-5)

**1030-10 Intelligence Concept Development Files.** Documents which define the initial idea and scope of an intelligence project. Includes documents which identify the resources required, establish the objectives, or suggest items for evaluation or audit. Also includes types of expertise or training required on the project team; potential sites for evaluation or audit; and methods used by the project team.

a. Approved concept. *Disposition:* Recordkeeping copy (paper): Transfer to File Number 1050 (Intelligence Review Case Files) when the project team is established and operational. (N1-509-00-5)

b. Disapproved concept. *Disposition:* Recordkeeping copy (paper): Transfer to File Number 1020-10. (N1-509-00-5)

**1030-20 Intelligence Project Team Administrative Files.** Documents accumulated by Intelligence project teams in coordinating planned evaluations and audits. Includes travel and other team personnel information, schedules of proposed visits, itineraries, internal activity or workload reports, approvals, requests for changes and related papers. *Disposition:* Recordkeeping copy (paper): DESTROY 2 years after report is completed. (N1-509-00-5)

**1040      PROCEDURES AND METHODS REVIEW AND ANALYSIS FILES.**

Documents created in the process of evaluating the outcome and impact of an OIG evaluation or audit. May include surveys conducted of previously evaluated or audited areas, recommendations for adding or removing items from consideration for evaluation or audit, recommendations for improving the quality of an evaluation or audit process. *Disposition:* Recordkeeping copy (paper): Cutoff on completion of the project. DESTROY after 10 years. (N1-509-00-5)

**1050      INTELLIGENCE CASE FILES.** Documents accumulated from intelligence reviews conducted by the OIG. Includes evaluation and audit reports and related papers pertaining to general and special evaluations and audits. (For indexes see File Number 1002). *Disposition:* Recordkeeping Copy (paper): PERMANENT. Cutoff on completion of the report. Transfer to the National Archives in 10-year blocks when most recent record is 10 years old. (N1-509-00-5)

**\*1099 WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

**a. Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13)

**b. Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required.

**SERIES 1100– GENERAL COUNSEL FILES**

**A new record number has been added at the end of each record series to authorize the destruction of electronic mail and word processing system records maintained by offices in addition to the copy in the recordkeeping system.**

**1100**      **GENERAL COUNSEL FILES.** This series covers records created or maintained by the Office of the General Counsel. These files contain records regarding Office Functional Files, Legal Proceedings Files, Directives and Policy Files, Historical Legislative Files, Document Production records and Attorney Working Files.

**1101**      **General Counsel Correspondence File – General.** Correspondence relating to the Office of the General Counsel that cannot logically be filed with detailed records or is received for information only and on which no action is required. *Disposition:* Recordkeeping copy (paper): Cutoff at end of calendar year. DESTROY when 2 years old. (N1-509-07-1)

**1102**      **Office Functional Files.** Legal advice, opinions, and assistance to various components within the OIG. *Disposition:* Recordkeeping copy (paper): PERMANENT. Cutoff and transfer to WNRC at end of calendar year in which subject matter is no longer needed for current agency business or convenience of reference, whichever is later. Transfer to the National Archives when most recent record is 10 years old. (N1-509-07-1)

**1105**      **Legal Proceedings Files.** Case files on trials, administrative hearings, and other legal proceedings. *Disposition:* Recordkeeping copy (paper): Cutoff when final action is taken. Transfer to WNRC at end of calendar year in which final action is taken. DESTROY 10 years after cutoff. (N1-509-07-1)

**1110-01**   **General Counsel Directives and Policy Advice and Opinion Files.** Legal advice and opinions on proposed directives and instructions, other than those for which the Office of the General Counsel is the proponent. *Disposition:* Recordkeeping copy (paper): Cutoff and transfer to WNRC at end of calendar year in which subject matter is no longer needed for current agency business or convenience of reference, whichever is later. DESTROY 10 years after cutoff. (N1-509-07-1)

**1110-02**   **Policy Development Files.** Records on development and establishment of policies and procedures for which the Office of the General Counsel is the proponent. *Disposition:* Recordkeeping copy (paper): Cutoff and transfer to the WRNC at end of calendar year in which subject matter is no longer needed for current agency business or convenience or reference, whichever is later. DESTROY 10 years after cutoff. (N1-509-07-1)

**1110-03 General Counsel Policy Files.** Policies relating directly to the mission of the Office of the General Counsel for which the Office of the General Counsel is the proponent.

*Disposition:* Recordkeeping copy (paper): PERMANENT. Cutoff and transfer to the WNRC when superseded or obsolete or no longer needed for reference. Transfer to the National Archives when 20 years old. (N1-509-07-1)

**1115 Historical and Legislative.** Documents, opinions, and related papers that have continuing historic or legislative interest. *Disposition:* Recordkeeping copy (paper): PERMANENT. Transfer to National Archives in 5 year blocks when most recent record is 20 years old. (N1-509-07-1)

**1130 Document Production Records.** Records of responses to records production requests, including document searches, *Touhy* requests, discovery and FOIA PA. *Disposition:* Recordkeeping copy (paper): Cutoff when underlying action, investigation or litigation is concluded. Transfer to WNRC at end of calendar year in which case concluded. DESTROY 10 years after cutoff. (N1-509-07-1)

**1140 Attorney Working Files.** Working papers maintained by individual attorneys, to include drafts, notes and memoranda, as well as background material and reference copies of documents. The recordkeeping copy of the completed legal work product created by attorneys in the office is placed in the appropriate file. *Disposition:* Copies (paper): DESTROY after recordkeeping copies have been incorporated into the appropriate official file. (N1-509-07-1)

**\*1199 WORD PROCESSING AND ELECTRONIC MAIL RECORDS**

**a. Word Processing Files.** Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from word processing system when no longer needed for updating or revision. (GRS 20-13) (N1-509-07-1)

**b. Electronic Mail Records.** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. *Disposition:* Delete from the e-mail system after copying to a recordkeeping system. (GRS 20-14) **Note:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date, (transmission data for recording purposes) and any receipt data when required. (N1-509-07-1)

**APPENDIX A  
REFERENCES**

- a. Public Law 94-575, *The Federal Records Act of 1950*, as amended, (44 U.S.C. 29)
- b. Federal Property Management Regulations (FPMR), Part 101-11 (41 CFR 101.11)
- c. IGDM 5200.1, *Information Security Program*, June 3, 2003
- d. Title 44 U. S. C., Chapters 29, 31, 33, 35
- e. Executive Order 12356, *National Security Information*, April 2, 1982
- f. Public Law 83-703, *Atomic Energy Act of 1954*, as amended (42 U. S. C. 7101)
- g. Title 18, U. S. C., Section 2071, *Federal Records Concealment, Removal, or Mutilation*
- h. 36 CFR 1228.104, Subpart G, *Damage, Alienation and Unauthorized Destruction of Records*
- i. DoD Directive 8910.1, *Management and Control of Information Management Requirements*, June 11, 1993
- j. DoD 5200.1-R, *Information Security Program Regulation*, January 1997, authorized by DoD Directive 5200.1, December 13, 1996
- k. DoD Directive 5400.11 *Department of Defense Privacy Program*, November 16, 2004
- l. *The Privacy Act of 1974* (5 U.S.C. 552a)
- m. Executive Order 12958, *Classified National Security Information*, as amended March 28, 2003
- n. Executive Order 13292, Further Amendment to Executive Order 12958, As Amended *Classified National Security Information*
- o. DOD 5015.2 STD, *Design Criteria for Electronic Records Management*, June 2002
- p. Executive Order 12356, *National Security Information*, April 1982
- q. DOD 5400-7R, *DOD Freedom of Information Act*, September 1998
- r. Title 36 CFR, Chapter 12, Part 1236, *Management of Vital Records*

## APPENDIX B DEFINITIONS

1. **Access.** (1) The availability of, or the permission to consult, records. (2) The ability and opportunity to obtain security-classified or administratively controlled information or records. (3) The ability and opportunity to obtain knowledge of classified information.
2. **Active Records.** See *Current Records*.
3. **Administrative Records.** Those records created by several or all Federal agencies in performing common facilitative functions that support the agency's mission activities, but do not directly document the performance of the mission functions. Administrative records relate to activities such as budget and finance, human resources, equipment and supplies, facilities, public and congressional relations and contracting. Also called *Housekeeping Records* or *Program Records*.
4. **Administrative Value.** The usefulness of records in conducting the OIG's current business. Includes Fiscal Value and Legal Value.
5. **Administratively Controlled Information.** Privileged or other nonsecurity-classified information in records sometimes bearing designations such as For Official Use Only to prevent its unauthorized disclosure.
6. **Alternate Component Records Officer.** See *Component Records Officer*.
7. **Archival Value.** The determination by appraisal that records are worthy of permanent preservation by an archival agency.
8. **Archives.** (1) The noncurrent records of an organization enduring because of their permanent value. (2) The agency responsible for selecting, preserving and making available permanent records. (3) The building or a part of a building where such materials are located. See also *Permanent Records*.
9. **Case Files.** Records, regardless of media, documenting an action, event, person, place, project or other matter. Includes project files or transaction files.
10. **Central Files.** The files of several offices or organizational units and maintained and supervised in one location.
11. **Component Records Officer.** The Component Records Officer (CRO) is an appointed individual who coordinates the records management functions for a Component and is responsible for correctly preparing all required forms used to retire or retrieve records to and from the records center. The CRO acts as the records management liaison between the Component and the OIG Records Management Office/Officer.

## APPENDIX B (cont'd)

12. **Comprehensive Records Schedule.** A schedule or collection of schedules based on NARA-approved disposition authorities and issued as a directive or manual to cover all the records of an independent agency or department. May also include instructions for non-record materials, whose disposition is based on agency needs. See also *Records Disposition Schedule*.
13. **Convenience Files.** Non-record copies of correspondence, forms and other documents kept solely for ease of access and reference.
14. **Copy.** A reproduction of the contents of an original document prepared simultaneously or separately, usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy (also called recordkeeping copy), information or reference copy, official copy and tickler copy. Copies identified by method of creation include carbon copy, mimeograph copy, ribbon copy and electrostatic copy.
15. **Correspondence.** Letters, postcards, memorandums, notes, telecommunications and any other form of addressed, written communications sent and received.
16. **Current Files Area.** Areas and office space where current, day-to-day work is done and current records are maintained.
17. **Current Records.** Records necessary for conducting the current business of an office and therefore requiring maintenance in office space and equipment. Also see *Active Records* and *Semi-Current Records*.
18. **Custody.** Guardianship or control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.
19. **Cutoff.** Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and to permit the establishment of new files.
20. **Cycle.** The periodic removal of superseded or obsolete copies of records. This may occur daily, weekly, quarterly, annually or at other designated intervals.
21. **Disposal.** The actions taken regarding temporary records after their retention periods expire and consisting normally of destruction/deletion. See also *Disposition*.
22. **Disposition.** The actions taken regarding records no longer needed in current office space. These actions include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives and disposal of temporary records. See also *Disposal* and *Retention Period*.

## APPENDIX B (cont'd)

23. **Disposition Program.** Practices designed to achieve efficient and effective disposition of records by scheduling them, ensuring their proper storage, ensuring the prompt disposal of temporary records and the timely transfer of permanent records to the National Archives, documenting agency benefits resulting from the program and conducting evaluations of the program.
24. **Disposition Instructions.** Directions for cutting off records and carrying out their disposition in compliance with NARA regulations.
25. **Document.** Recorded information regardless of physical form or characteristics. Often used interchangeably with *record*.
26. **Emergency–Operating Records.** A type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. See also *Vital Records*
27. **Evidential Value.** The usefulness of records in documenting the organization, functions and activities of the agency creating or receiving them.
28. **Federal Records Center.** A center established, maintained and operated by the National Archives and Records Administration, under the authority of 44 USC 2907 for the storage, processing and servicing of records of Federal Agencies.
29. **File.** (1) An accumulation of records, or non-record materials, or personal papers arranged according to a plan. (2) A unit, such as a folder, microform or electronic medium, containing such records, or non-record materials or personal papers. (3) Storage equipment, such as a filing cabinet.
30. **File Plan.** A plan designating the physical location(s) at which an agency's files are to be maintained, the specified types of files to be maintained there, and the organizational element(s) having custodial responsibility. A document containing the identifying number, title or description, and disposition authority of files held in an office.
31. **Filing System.** A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use and disposition. Sometimes called recordkeeping system.
32. **Fiscal Value.** The usefulness of records in documenting an agency's financial transactions and obligations. See also *Administrative Value*.
33. **Functional Filing.** Successively dividing records into categories and subcategories to reflect the programs, activities, and transactions carried out by the organization accumulating the records.

## APPENDIX B (cont'd)

34. **General Records Schedule.** A NARA-issued schedule governing the disposition of specified records common to several or all agencies. See also *Records Disposition Schedule*.
35. **Historical Value.** The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events or things.
36. **Holding Area.** Agency space assigned for the temporary storage of semi-current records and for non-current records with relatively short retention periods. Also known as *Records Holding Area* or *Staging Area*.
37. **Housekeeping Records.** See *Administrative Records*.
38. **Inactive Records.** See *Non-current Records*.
39. **Inventory.** A survey of records and non-record materials taken before developing schedules. Generally includes data, such as series titles, inclusive dates, use, quantity, arrangement, duplication and other pertinent information.
40. **Legal and Financial Rights Records.** Legal and financial rights records are that type of vital records essential to protecting the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records and insurance records.
41. **Legal Value.** The usefulness of records in documenting legally enforceable rights or obligations of the Federal Government and/or private persons. See also *Administrative Value*.
42. **Life Cycle of Records.** The management concept that records pass through three stages: creation, maintenance and use, and disposition.
43. **Microform.** Any miniaturized form containing greatly reduced images, such as microcards, microfiche, microfilm and aperture cards.
44. **Micrographics.** The practice of producing or reproducing information in miniature form.
45. **Non-current Records.** Records that are no longer required to conduct agency business and therefore ready for final disposition. See also *Current Records*, *Semicurrent Records*.
46. **Non-record Materials.** Informational materials excluded from the legal definition of records. Consist of extra copies of documents kept only for convenience of reference, stocks of publications and processed documents and library or museum material intended solely for reference or exhibition.
47. **Office of Record.** The physical location of record copies of documents.

## APPENDIX B (cont'd)

48. **Paperwork Management.** See *Records Management*.
49. **Permanent Records.** Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal or fiscal purposes. Sometimes called archival records. See also *Archives*.
50. **Personal Files.** Documentary materials maintained in Federal offices that belong to an individual, because they relate solely to the individual's own affairs or are used exclusively for that individual's convenience are not used in the transaction of Government business.
51. **Personal Papers.** Documentary materials belonging to an individual that are not used to conduct agency business. Related to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept separate from the agency's records. Also called *Personal Files* or *Personal Records*.
52. **Program Records.** Those records created by each Federal agency in performing the unique functions that stem from the distinctive mission of the agency. See also *Administrative Records*.
53. **Reading Files.** Outgoing correspondence arranged chronologically. Sometimes known as a chronological (chron) file or a day file.
54. **Record Copy.** See *Records* and *Recordkeeping Copy*.
55. **Record Group.** A body of organizationally related records established with regard to the organization's administrative history, complexity and volume of its records.
56. **Recordkeeping Copy.** The copy of a record that is captured and maintained in a recordkeeping system.
57. **Recordkeeping Requirements.** Statements in statutes, regulations or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions and activities, it needs to issue recordkeeping requirements for all activities at all levels and for all media and to distinguish records from non-record materials and personal papers.
58. **Recordkeeping System.** A manual or automated system in which records are collected, organized and categorized to facilitate their preservation, retrieval, use and disposition.

## APPENDIX B (cont'd)

59. **Records.** All books, papers, maps, photographs, machine-readable materials or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. 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 the 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. In machine-readable records/archives, two or more data fields in predetermined order and treated as a unit. See also *Document*.
60. **Records Center.** A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes NARA-authorized agency records centers and NARA-operated Federal records centers. See also *Records Holding Area*.
61. **Record Copy.** The official, file or coordination copy created by an action office, complete with coordinations, enclosures, or related background papers that form a complete file or history of that action.
62. **Records Disposition Schedule.** A document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization or agency. Also known as a records schedule, records control schedule, retention schedule, or records retention schedule. See also *Comprehensive Records Schedule, General Records Schedule*.
63. **Records Holding Area.** Agency space assigned for the temporary storage of records after their cutoff and removal from office space but before their destruction or transfer to the Federal or agency records center or to the National Archives. See also *Records Center*.
64. **Records Management.** The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations. Also called *Records Administration*.
65. **Records Management Officer.** The person assigned responsibility by the agency head for overseeing an agency-wide records management program. Also called *Records Officer, Records Manager* or *Records Administrator*.
66. **Reference Copies.** A collection of extra copies of official records on a specific action used for ready reference.
67. **Retention Period.** The length of time that a record must be kept. See also *Disposition*.

## APPENDIX B (cont'd)

68. **Retirement.** The movement of inactive files having a permanent or long-term value to a Federal Records Center for storage. Also referred to as transfer of records.
69. **Semicurrent Records.** Records required so seldom to conduct current business that they should be moved to a holding area or directly to a records center. See also *Current Records*, *Non-current Records*.
70. **Series.** File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular form, or have some other relationship arising out of their creation, receipt or use. Also called *records series*.
71. **Technical Reference Files.** Extra copies of articles, periodicals, reports, studies, vendor catalogs, or similar materials that are needed for reference and information, but are properly a part of the office's records.
72. **Temporary Records.** Records approved by NARA for disposal, either immediately or after a specified retention period. Also called *disposable records* or *nonpermanent records*.
73. **Transfer.** Moving records from one location to another, especially from office space to agency storage facilities or Federal records centers, from one Federal agency to another or from office or storage space to the National Archives for permanent preservation.
74. **Unscheduled Records.** Records whose final disposition has not been approved by NARA. Also called *unidentified files*.
75. **Vital Records.** Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency operating and rights-and-interests records. Vital records considerations are part of an agency's records disaster prevention and recovery program. See also *Emergency-Operating Records*.
76. **Washington National Records Center.** (WNRC) The official off-site repository for all OIG records. The WNRC is located in Suitland, Md.
77. **Working Papers.** Documents such as rough notes, calculations or drafts assembled or created and used to prepare or analyze other documents. Also called *working files* or *case working files*.

**APPENDIX C  
ACRONYMS**

<b><u>Acronym</u></b>	<b><u>Description</u></b>
ACRO	Alternate Component Records Officer
CIO	Chief Information Officer
COFF	Cutoff
CRO	Component Records Officer
CY	Calendar Year
DAMIS	Defense Audit Management System
EEO	Equal Employment Opportunity
FACA	Federal Advisory Committee Act
FOIA	Freedom of Information Act
FOUO	For Official Use Only
FPM	Federal Personnel Manual
FRC	Federal Records Center
FPMR	Federal Property Management Regulations
FY	Fiscal Year
GAO	Government Accountability Office
GSA	General Services Administration
GRS	General Records Schedule
IRM	Information Resources Management
IT	Information Technology
ITOM	Information Technology Operations and Management

**APPENDIX C (cont'd)**  
**ACRONYMS**

<b><u>Acronym</u></b>	<b><u>Description</u></b>
NARA	National Archives and Records Administration
OAIG-A&M	Office of Assistant Inspector General for Administration and Management
OIG	Office of Inspector General
OF	Optional Form
OMB	Office of Management and Budget
RHA	Records Holding Area
RMO	Records Management Officer
SI	Sensitive Intelligence
SF	Standard Form
WNRC	Washington National Records Center

**APPENDIX D  
PRIVACY ACT COVERSHEET, IG FORM 5400.11-1**

**ENCLOSURES  
ARE PERSONAL  
IN NATURE**

**Contents will not be disclosed or discussed with individuals  
unless they have a direct official interest in this matter.**

**PRIVACY ACT INFORMATION**

In compliance with the Privacy Act of 1974,  
this information is Personal Data and must be  
protected from disclosure.

IG FORM 5400.11-1, JUNE 1994 (EG)

**APPENDIX E  
CROSS REFERENCE, DD FORM 2861**

CROSS-REFERENCE	
<b>1. CROSS-REFERENCE</b> <i>(Name, number, or subject under which this form is filed)</i>	
➔	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="border: 1px solid black; padding: 5px;">FORMS 1 - 4</div> <div style="border: 1px solid black; padding: 5px; text-align: center; width: 150px;"> <b>COMPLETED SAMPLE FORM</b> </div> <div style="font-size: small; text-align: right; padding-right: 20px;"><i>(Illustrates a subject cross-reference topic under which this form is filed)</i></div> </div>
<b>2. IDENTIFICATION OF RECORD</b>	
a. DATE	20010201 <span style="float: right; font-size: x-small;"><i>(The date of the document also serves as the filing date of the form)</i></span>
b. TO	J. Smith, Director, El Paso, Tex. <span style="float: right; font-size: x-small;"><i>(Organizational titles or location may be used to identify whom a letter is to or from)</i></span>
c. FROM	R. Henry, Records Management Officer
d. BRIEF SUMMARY OF CONTENTS	Comments on inspection or records management procedures in offices; explains advantages of and recommends installing DD Form 2861, Cross-Reference form, sample enc.  <i>(Use understandable abbreviations in summarizing the contents of documents, or in indicating organizational titles or locations in the "To" or "From" captions)</i>
<b>3. FILED</b> <i>(Name, number, or subject under which the document itself is filed)</i>	
ORGANIZATION AND METHODS 5 - 1 <span style="float: right; font-size: x-small;"><i>(Illustrates a subject topic under which the record could be filed)</i></span>	
<b>INSTRUCTIONS FOR USING CROSS-REFERENCE SHEETS</b>	
Prepare Cross-Reference sheets when (1) a document contains more than one name, number or subject under which it should be filed, and (2) sufficient copies of the record itself are NOT available for this purpose.  <b>SINGLE CROSS-REFERENCE</b> - Select first sheet from pad, enter cross-reference caption in open space opposite ➔.  <b>TWO CROSS-REFERENCES</b> - Select first two sheets from pad, enter first caption in open space opposite ➔, enter second caption in a shaded space that matches the open space on the second sheet.  <b>THREE CROSS-REFERENCES</b> - Select first three sheets from pad, enter captions in all three spaces provided.	
<b>SPECIAL USE OF CROSS-REFERENCE SHEETS</b>	
A single Cross-Reference sheet can be used as a Continuity Reference when correspondence is removed from a cutoff file and brought forward and attached to correspondence in a current file.	
<ol style="list-style-type: none"> <li>1. Use the "Cross-Reference" space to enter the subject from which the document was removed.</li> <li>2. Identify the document as illustrated above.</li> <li>3. Use the "Filed" space to describe the letter to which this document is being brought forward, including the subject and date. Also show the "To" and "From" of the latest letter if it is different from the letter being brought forward.</li> </ol>	

DD FORM 2861 INSTRUCTIONS, JUN 2003

REPLACES OPTIONAL FORM 21, WHICH IS OBSOLETE.

**APPENDIX F  
CHARGEOUT RECORD, OF-23**

<b>OUT</b>		
IDENTIFICATION OF RECORD <small>(NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)</small>	CHARGED TO <small>(PERSON &amp; OFFICE)</small>	DATE CHARGED OUT
OPTIONAL FORM 23 FEB 1962 GSA Circular No. 259		
<b>CHARGEOUT RECORD</b> <small>5023-101</small>		
DATE CHARGED OUT	CHARGED TO <small>(PERSON &amp; OFFICE)</small>	IDENTIFICATION OF RECORD <small>(NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)</small>
<b>OUT</b>		

**APPENDIX G  
RECORD TRANSMITTAL AND RECEIPT, SF-135**

<b>RECORDS TRANSMITTAL AND RECEIPT</b>		PAGE <b>1</b>	OF PAGES
1. TO _____ (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)		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.	
<b>Federal Records Center</b> Washington National Records Center 4205 Sulland Road Suitland, MD 20746-8001		5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)	
2. AGENCY TRANSFERRING AGENCY OFFICIAL (Signature and title) TRANSFER AUTHORIZATION	DATE	<b>DOD OFFICE OF INSPECTOR GENERAL                      ATTN RECORDS ADMINISTRATOR                      400 ARMY NAVY DRIVE SUITE 226                      ARLINGTON VA 22202-4704</b>	
3. AGENCY TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) CONTACT	DATE	<b>Mr. BRUCE WOMACK (703) 602-3794</b>	
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and title)	ORIGINATING OFFICE: AUDIROS	
<b>RECORDS DATA</b>			
6. ACCESSION NUMBER RG (a)	FY (b)	VOLUME (cu. ft) (c)	AGENCY BOX NUMBERS (e)
SERIES DESCRIPTION (With inclusive dates of records) (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)
COMPLETED BY RECORDS CENTER SHELF PLAN (k)	LOCATION (l)	CONTAINER TYPE (j)	AUTO DISP. (m)
509	98	0022	25
1-25		AUDIT PROJECT FILES Resolution FY 94 (See attached Box Listing for folders)	
R		IG File #750a	
9/2002		9/2002	
<b>ACCESS RESTRICTED TO IG, DOD OFFICIALS ONLY!!!</b>			

**APPENDIX H  
BOX LISTING  
(ATTACHED TO SF-135)**

**ACCESSION NUMBER:** 509-98-0022

**Total Nr. Of Boxes:** 25

**Box #1**

Project #OKM-56-9372

- 1.A. Master Index File
- 1.B. Fact Sheets, Announcement Letter, Security Letters, Points of Contact List.
- 1.C. Survey and Audit Debriefs.
- 1.D. MFR/Correspondence - Entrance and Exit Conference Memos.
- 1.E. Draft Report and Edit Reviews (Folders 1-3 of 3).
- 1.F. Final Report and Edit Reviews (Folders 1-2 of 2).
- 1.G. Comments to Draft Report (Folders 1-3 of 5).

**Box #2**

Project #OKM-56-9372

- 1.G. Comments to Draft Report (Folders 4-5 of 5)
- 1.H. Comments to Final Report (Folders 1-4 of 4)
- 1.I. Travel Documents
- 1.J. Statistical Sampling Plan (Folders 1-3 of 3)

**Box #3**

Project #TEX-52-6440

- 1.A. Master Index File
- 1.B. Fact Sheets, Announcement Letter, Security Letters, Points of Contact List.
- 1.C. Survey and Audit Debriefs.
- 1.D. MFR/Correspondence - Entrance and Exit Conference Memos.
- 1.E. Draft Report and Exit Reviews (Folders 1-5 of 5)

**Box #4**

Project #TEX-52-6440

- 1.F. Final Reports and Edit Reviews (Folders 1-5 of 5)
- 1.G. Comments to Draft Report (Folders 1-7 of 7)

**Box #5**

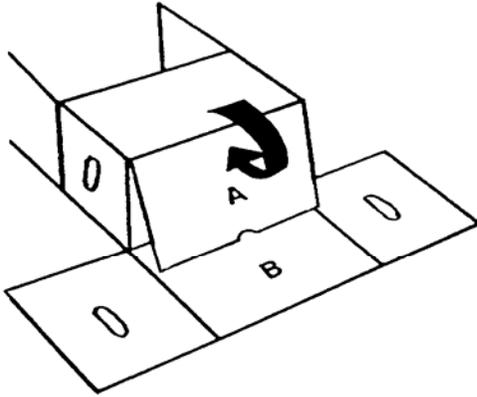
- 2.J. Surveys (Folders 1-12 of 12)

**Box #6**

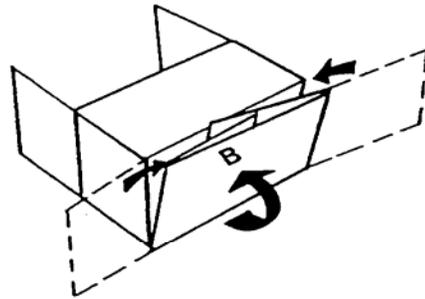
Project #MEX-52-7733

- 1.A. Master Index File
- 1.B. Fact Sheets, Announcement Letter, Security Letters, Points of Contact List.
- 1.C. Survey and Audit Debriefs.
- 1.D. MFR/Correspondence- Entrance and Exit Conference Memos
- 1.E. Draft Report and Edit Reviews (Folders 1-4 of 6)

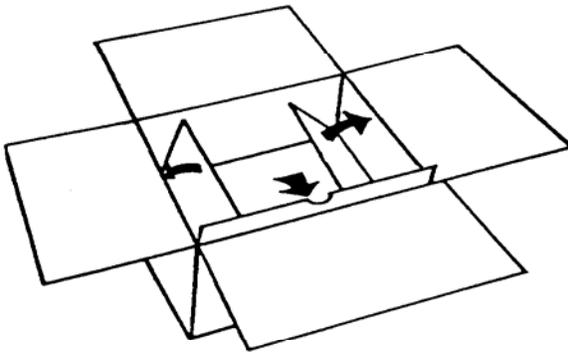
**APPENDIX I  
PREPARING RECORDS STORAGE BOXES FOR TRANSFER  
ASSEMBLY INSTRUCTIONS**



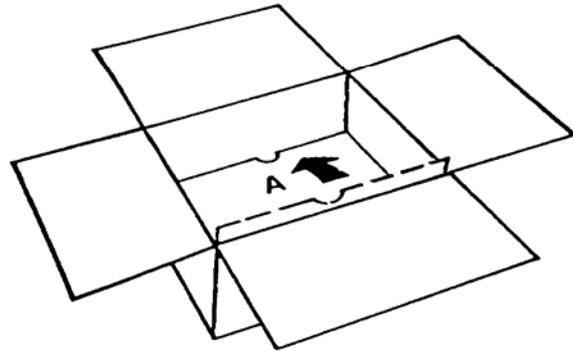
**STEP 1. SQUARE UP BOX ON ITS SIDE AND FOLD FLAP A INSIDE.**



**STEP 2. FOLD EXTENSIONS OVER ON FLAP B AND FOLD TO CLOSED POSITION.**

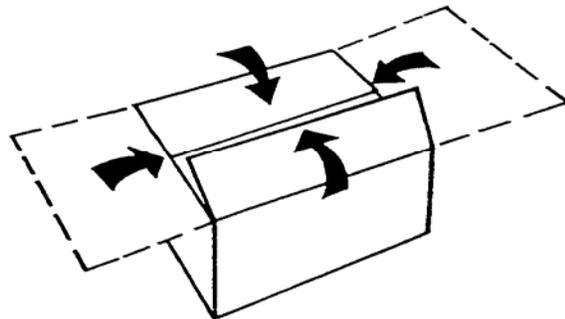


**STEP 3. LIFT FLAP A TO VERTICAL POSITION AND THEN LIFT AND FOLD EXTENSIONS OF FLAP B UP AGAINST END WALLS OF BOX.**

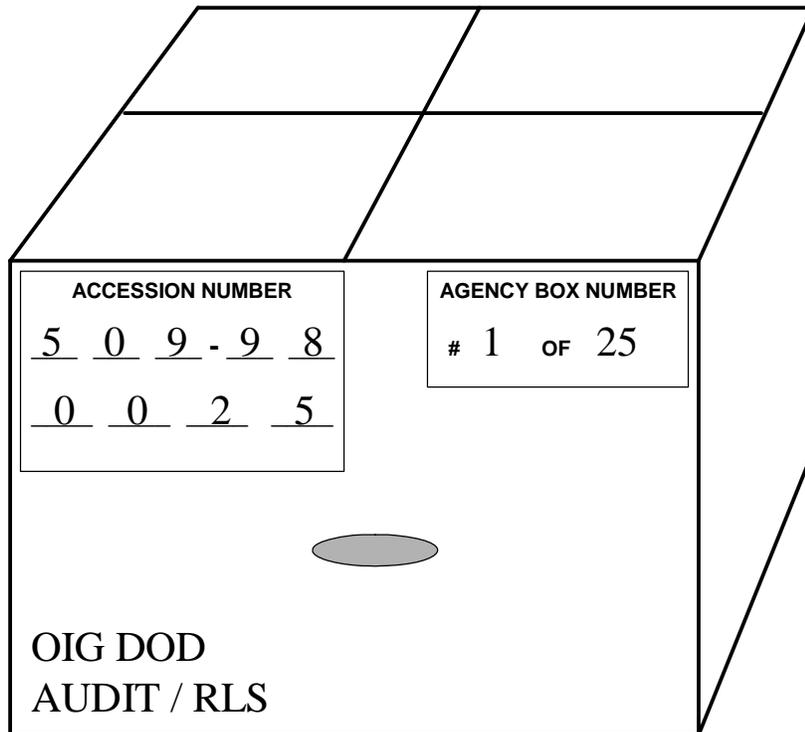


**STEP 4. LOWER FLAP A TO BOTTOM OF BOX.**

**STEP 5. FOLD ALL FLAPS IN TO TOP. SMALL FLAPS FIRST, LARGE FLAPS LAST.**



**APPENDIX J**  
**FRONT END OF RECORDS STORAGE BOX**

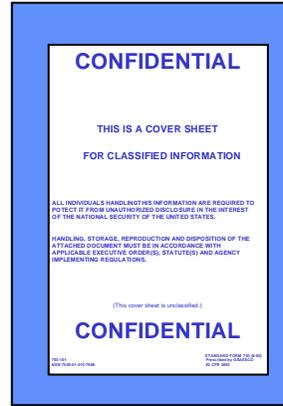


**APPENDIX K  
RECORDS REQUEST, IG FORM 5015.2-1**

<b>RECORDS REQUEST</b>		NOTE: Use a separate form for each request.	DATE:
<b>SECTION I - REQUESTING OFFICE</b>			
ACCESSION NUMBER	BOX NUMBER	RECORDS CENTER LOCATION NUMBER	
	OF		
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED			
<input checked="" type="checkbox"/> BOX (Boxes will be requested "only")			
<input type="checkbox"/> FOLDER (include file number and title)			
<input type="checkbox"/> EXPEDITE (state justification in "REMARKS") (Include location in "RECORDS CENTER LOCATION NUMBER" box.)			
REMARKS:			
NATURE OF SERVICE <input type="checkbox"/> FURNISH COPY OF RECORD(S) ONLY <input type="checkbox"/> PERMANENT WITHDRAWAL <input type="checkbox"/> TEMPORARY LOAN OF RECORDS <input type="checkbox"/> REVIEW <input type="checkbox"/> OTHER (specify)			
REQUESTORS NAME:		RECORDS OFFICER:	
TELEPHONE NUMBER:		TELEPHONE NUMBER:	
<b>SECTION II - RECORDS MANAGEMENT OFFICE</b>			
<input type="checkbox"/> REQUESTED VIA THE INTERNET		DATES REQUESTED:	TIME REQUESTED (if expedite):
<input type="checkbox"/> REQUESTED VIA TELEPHONE			
<input type="checkbox"/> REQUESTED VIA FAX			
REMARKS:			
<b>SECTION III - RECEIPT OF RECORDS</b>			
SIGNATURE OF RECORDS OFFICER:		DATE RECORDS ARE RECEIVED:	
REQUESTORS NAME: Bruce Womack	TELEPHONE NUMBER: (703) 602-3794	DATE RECORDS ARE RETURNED TO THE RMO:	
RECORDS ADMINISTRATOR OFFICE OF THE INSPECTOR GENERAL DOD 400 ARMY NAVY DRIVE SUITE 115 ARLINGTON VA 22202-4704		SIGNATURE OF RMO OFFICER:	
		DATE RECORDS ARE RETURNED TO WNRG:	

IG FORM 5015.2-1, January 2002

# APPENDIX L CLASSIFIED COVER SHEETS



SF 705



SF 704



SF 703

**APPENDIX M**  
**DECLASSIFICATION SUPPLEMENTARY INFORMATION QUESTIONNAIRE**

1. Have these records been reviewed by the Original Classification Authority (OCA) for declassification? Yes \_\_\_\_\_ No \_\_\_\_\_
2. Have any documents been exempted from declassification? Yes \_\_\_\_\_ No \_\_\_\_\_
3. Are exempt documents tabbed or otherwise clearly identifiable on opening the box(es)?  
Yes \_\_\_\_\_ No \_\_\_\_\_
4. Have documents that are exempt because of other agency equities been coordinated with those agencies? Yes \_\_\_\_\_ No \_\_\_\_\_
5. If the answer to question 4 above is No, have the other agencies been informed of their equities in these records and that the records are being offered to the National Archives?  
Yes \_\_\_\_\_ No \_\_\_\_\_

6. Point of contact for questions concerning declassification actions:

Name: \_\_\_\_\_

Office: \_\_\_\_\_

Phone Number: \_\_\_\_\_

**APPENDIX N  
DECLASSIFICATION REVIEW STAMP**

<b>REVIEWED For Declassification</b>	
<b>Reviewed By Another Agency?</b> <input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b> (See Enclosed SF 135 for Authority Listing)	
<b>Reviewed By Inspector General, DoD</b> <input type="checkbox"/> <b>Declassified In Full</b> <input type="checkbox"/> <b>Declassified In Part</b>	

**APPENDIX O**  
**CURRENT FILE NUMBERS CONVERTED TO NEW FILE NUMBERS**

<u>Current File Number</u>	<u>New File Number</u>
202-01	202-01 T&A Source Files
202-01	202-02 T&A Input Files
205	205-01
205-10	205-03
205-20	205-10
230-10	230-05b
271	271-50
345	345-01 or 345-02
345-20	345-03
380-01	500-18
380-10	502-01 or 502-03
380-30	500-20
380-40	500-12
380-50	500-20
380-80	500-10 or 500-12
382-10	502-02
382-15	500-20
385	502-03
438-18	500-11 or 500-18
702	750 or 751
705	700, 750 or 751
730	735
740	750 or 751

**APPENDIX P  
SUBJECT INDEX**

<b>IG Title</b>	<b>IG File #</b>
Access Request and Authorization Files	131-40
Access to Information Files	355-03
Accountability of Classified Material Files	131
Accountable Mail Files	121
Accountable Officer's Files	450
Activity Reports Files	108-20
Administration and Operation Correspondence Files	211-01
Administration Electronic Mail and Word Processing System Copies	199
Administration Correspondence Files	100
Administration Guidance and Instructions Files	112
Administration Policy and Procedures Files	110
Administrative Investigations Case Files	870
Adverse Action Files	271-10
Agency Historical Files	374
Agency Publications Files	372
Alarm Services Files	137-01
Alcohol and Drug Abuse Files – General	278-01
Alcohol and Drug Abuse Program Evaluation Files	278-50
Alcohol and Drug Abuse Program Files	278
Alcohol and Drug Abuse Program Reports Files	278-12
Alternate Worksite Files	290
Alternate Dispute Resolution (ADR) Files	273-05
Analysis of Criminal Offenses and Trends Files	822-20
Annual Activity Report (AAR) Files	108-20
Appropriation Accounts & Apportionment Reports Files	437
Appropriation Allotment Files	431
Arbitration General Case Files	272-20
Artwork (Posters, Letterhead, Graphics)	180-04
Audit Follow-up Case Files	730
Audit Oversight Case Files (Routine)	720
Audit Oversight Project Files (Permanent)	721
Audit Planning Files	715
Audit Policy and Procedures Files	710
Audit Project Files (Permanent)	751
Audit Project Files (Routine) Files	750
Auditing Program Correspondence Files	700
Audiovisual Records	180
Award Lists or Indexes Files	265-02
Awards Correspondence Files	265-01
Bills of Lading Register Files	631

Biweekly Activity Report (BAR) Files	108-20
Blank Forms Requests Files	140-02
Blanket Travel Orders Files	621-10
Budget and Finance Electronic Mail and Word Processing System Copies	499
Budget and Finance Files	400
Budget Apportionment Files	425
Budget Estimates and Justification Files	421
Budget Execution Files	430
Budget Execution Forecasts/Analysis Files	432
Budget Formulation and Presentation Files	420
Budget Guidance Files – OSD/OMB	411
Budget History Files	428
Budget Policy Files	410
Budget Reporting Instructions and Formats Files	426-10
Budget Reports Files	426
Budget Submission Workpapers – OSD/OMB	421-12
Budget Submissions Files – Additional	422
Budget Submissions Files – President’s	424
Budget Submissions to OSD/OMB	421-10
Budget Submissions Workpapers – Additional	422-01
Budget Submissions Workpapers – President’s	424-04
Building and Space Administration Files	170
Building Maintenance Files	670
Building Plans Files	171
Building Services Files	671
Case Control System Files	703
Certificates of Eligibility (SF 39) Files	232
Chief Information Officer (CIO) Records	502
Chronological Reading Files	108-10
CIO Capital Investment Records	502-03
CIO Committee Records	502-05
CIO Electronic Mail and Word Processing	502-08
CIO Enterprise Architecture Records	502-02
CIO Information Technology (IT) Programming Planning Records	502-01
CIO Legal and Regulatory Compliance Records	502-04
CIO Schedules of Daily Activities	502-07
CIO Subject and Office Records	502-06
Civil Rights Expenditures Reports Files	437-04
Civilian Personnel Employment Files	230
Civilian Position Structure Files	255
Classification Certificates Files	250-22
Classified Information Nondisclosure Agreement (SF 189) Files	135-10
Collection and Analysis Files (Drug Testing)	278-28
Collection and Handling of Specimens Files (Drug Testing)	278-24
Commissions, Advisory Committees, Boards, Files	345-03
Commissions, Boards, Councils and Committee Temporary Files	345

Committee Files Established Under FACA	345-03
Committee Files Not Maintained By Sponsor or Secretariat	345-04
Committee Management Files (Agency Related to Mission)	345-01
Committee Management Files (Agency Unrelated to Mission)	345-02
Committee Management Officers Records	345-05
Communications Costs Files	438-10
Communications Records Files	160
Communications Security (COMSEC) Briefings Files	133-30
Communications Security (COMSEC) Files	133
Communications Security (COMSEC) Program Administration Files	133-01
Communications Security COMSEC Inspections Files	133-50
Computer Security Files	139
Congressional Correspondence Files – Historical Value	363-20
Congressional Correspondence Files – Routine	363-10
Congressional Hearings Files	363-50
Congressional Inquiries Files (Audit)	705-10
Congressional Inquiries Files (Investigations)	820-10
Congressional Liaison Files	363
Congressional Staff Briefings Files	363-60
Contract Auditing Case Files	740
Counseling Files	270-10
Course Announcements Files	245-40
Credentials Files	136
Criminal Information Bulletins Files	809
Criminal Investigations Case Files	850
DAMIS Audit Follow-up Module	760-03
DAMIS GAO Follow-up Module	760-03
DAMIS Project Data	760-01
DAMIS Project Data Module	760-02
DAMIS Time Sheet Module	760-06
DAMIS Training Module	70-05
Data Communications Systems Case Files	165
Declassification Administrative Files	357-64
Declassification Appeals Files	357-61
Declassification Control Files	357-62
Declassification Reports Files	357-63
Declassification Requests Mandatory Review Files	357-60
Defense Audit Management Information System (DAMIS)	760
Departmental Level Awards Files	265-20
Deposits for Military Services Files	270-55
Desk Audits and Surveys Files	252-05
Dictation Tapes	180-13
Directory Changes Files	160-20
Donated Leave Program Case Files	202-20
Drug Test Plans and Procedures Files	278-21
Drug Testing Support Agreements Files	278-30

Electronic Records (ER)	501
Electronic Surveillance Case Files	860
Emergency and Extraordinary Fund Expenditures Files	433
Emergency Operations Test Files	325-04
Emergency Planning Administrative Correspondence Files	325-01
Emergency Planning Case Files	325-02
Emergency Planning Files	325-03
Employee Acknowledgment of Notice Forms Files (Drug Testing)	278-22
Employee Awards Files	265
Employee Performance and Utilization Files	260
Employee Training Files	240
Employment and Financial Interest Statements Files	205-20
Employment Examining and Certification for Employment Files	211-04
Employment Offer Files	211-02
Employment Programs and Manpower Management Files – General Information	203-20
Equal Employment Opportunity (EEO) Affirmative Action Plans (AAP) Files	275-20
Equal Employment Opportunity (EEO) Complaint Background Files	275-51
Equal Employment Opportunity (EEO) Compliance Reports Files	275-61
Equal Employment Opportunity (EEO) Compliance Review Files	275-60
Equal Employment Opportunity (EEO) Employment Statistics Files	275-11
Equal Employment Opportunity (EEO) Files	275
Equal Employment Opportunity (EEO) Official Discrimination Complaint Case Files	275-50
Equal Employment Opportunity (EEO) Preliminary Files	275-52
Equipment – Supplies Security Files	137-30
Equipment Service Files	665
Electronic Records (ER)	501
ER Backups of Files	501-08
ER Computer Systems Applications Files	501-01
ER Data Files Consisting of Summarized Information	501-04
ER Documentation	501-11
ER Downloaded and Copied Data	501-12
ER Electronic Mail Records	501-14
ER Electronic Spreadsheets	501-13
ER Finding Aids or Indexes	501-09
ER Input Source Records	501-02
ER Print Files	501-06
ER Records Consisting of Extracted Information	501-05
ER Special Purpose Programs	501-10
ER Technical Reformat Files	501-07
ER Electronic Versions Scheduled for Disposal	501-03
ER Word Processing Files	501-15
Ethics Agreement Records	205-04
Ethics Annual Program Questionnaire Files	205-08
Ethics Employee Training and Education Files	205-09
Ethics Implementation, Interpreting, Counseling Development Files	205-02
Ethics in Government Financial Disclosure Statements Files	205-03

Ethics Program Procedure Files	205-10
Ethics Program Records	205
Ethics Program Referrals and Notifications, Conflict of Interest Files	205-05
Ethics Program Review Files	205-07
Evidence Ledgers and Custody Files	803
Executive and Legislative Liaison Files	360
Expenditures Accounting Files	451
Expenditures Accounting Posting and Control Files	451-05
Expense Operating Budget Authority (EOB) Files	431-01
External Reports Files (Investigations)	820-30
Facilities Security and Protective Services Files	137
Facilities Survey and Inspection Files (Government Owned Facilities)	137-01
Facilities Survey and Inspection Files (Privately Owned Facilities)	137-02
Federal Workplace Drug Testing Program Files	278-20
Films	180-08
Financial Disclosure Reporting Files	205-03
Financial Reports Files	440
Firearms Authorization Files	806
Flextime Attendance Records Files	202-10
FOIA Administrative Files	358-10
FOIA Appeals Files	358-50
FOIA Control Files	358-01
FOIA Reports Files	358-02
FOIA Requests Case Files	358-20
Forms Case Files	141
Fraud Prevention Surveys Files	822-50
Fraud/Criminal Briefings Files	822
Freedom of Information Act (FOIA) Files	358
Freight Movements Files	630
FYDP Submission Files	415
GAO Report Follow-up Case Files	735
General Accounting Ledgers Files	452
General Awards Records Files	265-10
General Collections Files	439
General Counsel Files	1100
General Expenditures Files	438
General Travel and Transportation Files	622
Grievance and Appeals Files	271-50
Grievance, Disciplinary, and Adverse Action Files (See 271-50)	271
Guard Services Files	137-10
Handicapped Individuals Appointment Case Files	288
Health and Safety Files	280
Health and Safety Statistical Summaries Files	283
Health Benefits Claims Denied Files	287-20
Health Benefits Enrollments Files	287
Health Individual Non-Occupational Record Files	284

Health Insurance Costs Files	438-31
Health Occupational Injury and Illness Files	282
Health Records Files	285
Hotline Referral Files	840
Identification Cards Files	136-10
IG Component Budget Requirements Files	421-21
IG DoD Generated Internal Reports Files	820-20
IG Inquiries Files (Intelligence )	1005
IG Inquiries Files (Investigations)	905
Implementation Files	115
Improper Treatment of Mail Reports Files	121-10
Incentive Awards Program Reports Files	265-30
Indexes to Audit Case Files	702
Indexes to Inspections Case Files	902
Indexes to Intelligence Review Case Files	1002
Individual Actions Files	230-05
Individual Employee Training Files	240-10
Informant Files	804
Information Collection Budgeting Files	350-20
Information Reports (IRs) Files	825-20
Information Resources Management (IRM) Files	350
Information Resources Management (IRM) Triennial Review Files	350-10
Information Services Acknowledgement Files	356-02
Information Services Commendation/Complaint Correspondence Files	356-05
Information Services Erroneous Release Files	357-65
Information Services Index and Check List Files	356-06
Information Services Press Service Files	356-03
Information Services Project Files	356-04
Information Services Records	356
Information Services Request Files	356-01
Inquiries and Reports Files	705
Inspection Administration Files	930-20
Inspection Concept Development Files	930-10
Inspections Administrative Procedures Files	930
Inspections Case Files	950
Inspections Correspondence Files	900
Inspections Planning Files	920
Inspections Policy and Program Procedures Files	910
Inspections Procedures and Methods Review and Analysis Files	940
Inspections Schedules Files	920-20
Inspections Universe Files	920-10
Intelligence Administrative Procedures Files	1030
Intelligence Case Files	1050
Intelligence Planning Files	1020
Intelligence Project Team Administrative Files	1030-20
Intelligence Concept Development Files	1030-10

Intelligence Correspondence Files	1000
Intelligence Policy and Program Procedures Files	1010
Intelligence Reference Files	1020-10
Intelligence Schedules Files	1020-20
Internal Administration Files	101
Internal Committee Reporting Files	345-20
Internal Investigations Inquiries	870-01
Internal Management Control (IMC) Annual Reports and Assurance Statements Files	342-25
Internal Management Control (IMC) Plans	342-15
Internal Management Control (IMC) Policy, Procedures, and Guidance Files	342-10
Internal Management Control (IMC) Program Files	342
Internal Management Control (IMC) Review Files	342-35
Internal Management Control (IMC) Risk Analysis Files	342-20
Internal Management Control (IMC) Tracking Files	342-30
Internal Management Control (IMC) Triennial Review Files	350-10
Internal Office Inspections and Surveys Files	901
Internal Office Organization Files	301
Internal Office Procedures Files	101-01
Internal OIG Audit Files	701
Interview Files	211-03
Information Technology Operations and Management Files (ITOM)	500
Investigation Planning Files	815
Investigation Program Correspondence Files	800
Investigations Policy and Procedures Files	810
Investigative Data Systems	802
Investigative Oversight Project Files	830
Investigative Reports Files	825
ITOM Information Technology Operations and Management Records (ITOM)	500
ITOM Asset and Configuration Management Files	500-12
ITOM Computer Security, Incident Handling Follow-up Report Files	500-16
ITOM Customer Service Files	500-19
ITOM Electronic Mail and Word Processing System Copies	500-21
ITOM Facility Site Mgmt & Equipment Support Service Files	500-11
ITOM Files Relating to Maintaining Security System	500-14
ITOM Financing of IT Resources and Service Files	500-18
ITOM Infrastructure Design and Implementation Files	500-20
ITOM Operations Records	500-17
ITOM Oversight and Compliance Files	500-10
ITOM System Backups and Tape Library Records	500-13
ITOM User ID's, Profiles, Authorizations and Password Files	500-15
Key Accountability Files	137-60
Keys and Locks Files	670-05
Labor – Management Relations Case Files	272
Leased Vehicle Costs Files	438-19
Leave Application Files (SF 71)	202-05
Legislative Liaison Files	360

Legislative Reviews Files	363-75
Letters of Commendation and Appreciation Files	265-15
Liaison and Jurisdictional Agreements Files	818
Line Copies of Graphs and Charts	180-07
Local Transportation Files	627
Loss and Recovery of Firearms and Ammunition Files	806-20
Lost or Damages Shipments Files	632
Mail Management General Files	120-30
Mail Management Program Files	120-40
Mailing Lists Files	128
Maintenance, Building Files	670
Management and Planning Policy Implementation Files	312
Management Improvement Files	340
Management Improvement Project Files	341
Management Policy Review Files	315
Management Practices Files	340-10
Management Survey Case Files	340-20
Mandatory Review for Declassification Administrative Files	357-64
Mandatory Review for Declassification Appeals Files	357-61
Mandatory Review for Declassification Control Files	357-62
Mandatory Review for Declassification Reports Files	357-63
Mandatory Review for Declassification Requests Files	357-60
Mandatory/Special Interest Items for Inspection Files	920-30
Memorandums of Understanding or Agreement Files	101-11
Merit Pay Computation Files	257
Merit Promotion Case Files	233
Messenger Service Records Files	124
Micrographics Management Files	353
Micrographics Systems Approval Files	353-20
Micrographics Systems Feasibility Studies Files	353-10
Micrographics Systems Utilization Files	353-30
Military Authorizations Files	215-01
Military Leave Files	215-60
Military Personnel Files	215
Military Personnel Records Files	215-50
Military Services Files (Retirement)	270-55
Military Strength Reports Files	215-10
Minor Construction Reports Files	437-01
Monthly Activity Report (MAR) Files	108-20
Motor Vehicle – Other Reports Files	645-40
Motor Vehicle Accident Reports Files	645-10
Motor Vehicle Maintenance Reports Files	645-20
Motor Vehicle Operating Reports Files	645-30
Motor Vehicle Reports Files	645
Motor Vehicles Operator Files	640
National Archives Liaison Files	355-09

National Defense Executive Reserve (NDER) Case Files	325-05
Negatives	180-06
Non Federally-Funded Travel Files	205-06
Notification of Personnel Action (SF 50) Chronological Files	225
Obligation by State Report Files	437-02
Office Classified Document Receipts Files	131-21
Office Environment Files	670-02
Office Equipment Approval Files	352-20
Office Equipment Feasibility Studies Files	352-10
Office Equipment Management Files	352
Office Equipment Utilization Files	352-30
Office Financial Files	401
Office General Personnel Files	202
Office Instructions Files	101-06
Office Mail Control Files	120-01
Office Physical Structure Files	670-03
Office Property Control Files	670-04
Office Record Locator Files	355-01
Office Reference Files	108
Office Space – DoD Reports Files	173-02
Office Space – GSA Reports Files	173-01
Office Space – Utilization and Planning Files	170-10
Office Space Case Files	175
Office Space Reports Files	173
Office Space Request Files	170-01
Official Meter Mail Files	120-41
Official Passports Files	624
Official Personnel Folders (OPF) Files	220-01
Operating Budget Authorizations Files	431-05
Operational Services Files	600
Operations and Management TDY Files	621-20
Organization Charter Files	320-01
Organization Planning Files	320
Organizational Structure Files	320-02
Orientation and Briefing Files	101-20
Overtime Cost Files	438-16
Parking Control Files	672
Parking Passes Issued Files	672-15
Participation in Unofficial Affairs Files	101-02
Passenger Reimbursement Files	628
Passports Files	624
Pay Comparability Records	292
Pay Increase Costs Files	438-30
Performance Files for Non-SES Appointees	261
Performance Files for SES Appointees	262
Performance Rating Board Case Files	264

Permanent Change of Station (PCS) Costs Files	438-15
Permanent Change of Station (PCS) Files	621-40
Personal Injury Files	281
Personal Property Accountability Files	137-50
Personal Identification or Passport Photographs	180-02
Personnel Administration and Operations Files	211
Personnel Alternate Dispute Resolution Files	273
Personnel Correspondence Files	200
Personnel Files (Supervisors')	220-06
Personnel Functions Files – General	203
Personnel Policy and Procedures Background Material Files	210-05
Personnel Policy and Procedures Files	210
Personnel Program Files – General	220
Personnel Reasonable Accommodations Request Files	289
Personnel Relations and Services Files	270
Personnel Security Clearance Status Files	135-05
Personnel Security Files	135
Personnel Travel and Transportation Files	620
Photographs	180-01
PL 92-212 Federal Building Fund Costs (SLUC) Files	438-12
Planning and Management Correspondence Files	300
Planning and Management Policy Files	310
Policy and Precedent References Files	108-05
Polygraph Examination Files	805
Position Classification Appeals Files	250-20
Position Classification Development Files	250-12
Position Classification Standards Files	250-10
Position Classification, Pay & Allowances Files	250
Position Description (PD) Files	252
Postage Costs Files	438-11
Postage Meter Operations Files	123
Postal and Mail Management Files	120
President's Council on Integrity & Efficiency (PCIE) Files	364
President's Council on Integrity & Efficiency (PCIE) Subjective Files	364-10
Presidential Appointees Files	263
Printing Requisitions Files	680-01
Printing Services Admin Correspondence Files	680-05
Printing Services Internal Management Files	680-10
Printing, Binding, Duplication, and Distribution Services Files	680
Printing/Binding Project Planning Files	680-20
Printing/Duplication Project Files	680-50
Privacy Act Accounting of Disclosure Files	357-03
Privacy Act Amendment Case Files	357-50
Privacy Act Control Files	357-01
Privacy Act Files	357
Privacy Act General Administrative Files	357-10

Privacy Act Reports Files	357-02
Privacy Act Request Files	357-20
Procedures and Methods Review and Analysis Files (Intelligence )	1040
Procurement Files	650
Procurement Transaction Files	651
Programs (Video Recordings From Outside Sources)	180-09
Program Budget Decisions (PBD) Files	423
Program Budget Review Calendar Files	421-20
Program Change Decisions (PCD) Files	429
Program Decision Memorandums (PDM) Files	427-10
Program Element Definitions Files	416
Program Element Summary Files	417
Program Objective Memorandums (POM) Files	427
Program Objective Memorandums (POM) Submissions Files	427-01
Program Objective Memorandums (POM) Workpapers	427-02
Program Planning, Review, and Analysis Files	330
Program Progress Files	333
Project Control Files	680-02
Property Accountability Files	655
Public Relations Files	370
Publications and Blank Forms Admin Correspondence Files	140-10
Publications and Blank Forms Files	140
Publications Case Files	145
Publications References Files	108-01
Publications Requests Files	140-01
Receipt and Dispatch of Mail Reports Files	120-25
Reclamas to Program Budget Decision (PBD) Files	423-01
Recordings	180-11
Record Access Files	355-02
Records Disposition Files	355-05
Records Holding Reporting Files	355-07
Records Management Files	355
Records Management Survey Files	355-10
Reimbursable Travel Files	621-01
Report of Survey Files	664-10
Report on Civil Rights Expenditures Files	437-04
Reports and Surveys Files (Investigations)	820
Reports of Improper Treatment of Mail Files	121-10
Representation Fund Expenditures Files	435
Requests for ADP Support Files (Pending)	380-01
Requests for Office Service and Supply Files	660-01
Requests for Parking Pass Files	672-10
Requests for Personnel Action Files	201
Requests for Procurement Files	650-01
Requests for Telephone Services Files	160-01
Retention Registers Files	230-10

Retirement Counseling Files	270-50
Safety and Emergency Procedures Files	101-03
Secret/Confidential Accountability Files	131-20
Security Administration Files	130-20
Security and Protective Services Files	130
Security Awareness and Education Files	130-50
Security Briefings Files	130-55
Security Classification Regrading Files	131-17
Security Container Information Files	131-04
Security Container Records Files	131-03
Security Incidents/Violations Files	130-70
Security Policy Files	130-10
Security Program Review Files	130-30
Security Report Files	130-35
Selection/Scheduling Drug Testing Records	278-23
Semiannual Report to Congress Files	365
Service Awards Files	265-11
Service Request Files (Pending)	602-01
SES Appointees Performance Files	262
Source Files	860-20
Source Program	860
Source Program Management and Policy Files	860-10
Space and Building Administration Files	170
Space and Maintenance General Correspondence Files	170-01
Staffing Surveys and Studies Work Papers	322
Standards of Conduct Files	205-01
Statistical Mail Report Files	120-35
Statistical Reports Files – Civilian Personnel	235
Subpoena Case Files	880-20
Subpoena Database System Files	880-30
Subpoena Program	880
Subpoena Program and Policy Files	880-10
Supplemental Budget Data Files – Congress	424-10
Supplemental Budget Data Files – OSD/OMB	421-11
Supply and Services Files	660
Supply Inventory Control Files	664
Supply Purchases Files	661
Supply Requirements Reports Files	661-20
Supply Requisitions Files	662
Survey and Inspections Files (Privately Owned)	137-03
Suspense Files	101-10
Tapes (Practice Tapes)	180-10
Technical Materials References Files	108-02
Telecommunications Files	160
Telecommunications Policy and Procedures Files	160-10
Telecommunications Policy Background Materials Files	160-11

Telecommunications Services Contracts and Agreements Files	160-50
Telecommunications Voucher Files (Reference)	163
Telephone Case Files	167
Telephone Floor Plans Files	161
Telephone Statements and Toll Slips Files	163-05
Telephone Toll Tickets Files	438-05
Temporary Individual Employee Files	220-05
Temporary Internal Receipts Files	131-07
Test Results Files (Drug Testing)	278-25
Time & Attendance Source Files	202-01
Time and Attendance Input Records	202-02
Top Secret Document Accounting & Control Files	131-10
Top Secret Document Destruction Certificates Files	131-14
Top Secret Inventories Files	131-13
Top Secret Record and Cover Sheet (IG Forms 5200.1-5)	131-12
Top Secret Registers Pages (IG Form 5200.1-8)	131-11
Training Aids Files	245-10
Training Costs Files	438-13
Training Courses and Programs Files	245
Training Reports Files	241
Training TDY Files	621-30
Transcription Recordings	180-12
Transfer or Separation Leave Record	225-01
Travel Agreements and Contracts Files	620-20
Travel and Transportation Files	620
Travel Correspondence Files	620-01
Travel Costs Files	438-14
Travel Files (Non-Federally Funded, Ethics Related)	205-06
Travel Orders Files	621
Travel Policies and Procedures Files	620-10
Travel Voucher Files	621-01
Travelers Check Files	436
Unidentified/Unscheduled Files	109
Unofficial Telephone Call Payments Files	439-20
Viewgraphs	180-03
Visitor Control Files	137-05
Visitor Parking Files	672-50
Vital Records Program Correspondence Files	355-51
Vital Records Program Files	355-50
Voluntary Disclosure Case Files	891
Voluntary Disclosure Program Management and Policy Files	890
Wage Survey Files	291
Weekly Activity Report (WAR) Files	108-20
White House Correspondence Files – Policy Related	362-20
White House Correspondence Files – Routine	362-10
White House Liaison Files	362

Witness Statements to The Congress – Backup Material	424-21
Witness Statements to The Congress Files	424-20
Word Processing Costs Files	438-17
Work Simplification Files	344
Workman's Compensation Costs Files	438-32
Workyear and Cost Reports Files	437-03