

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-330-88-4

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

DATE RECEIVED

1. FROM (Agency or establishment)

Department of Defense

2. MAJOR SUBDIVISION

Office of the Inspector General

3. MINOR SUBDIVISION

Information and Operations Support Directorate

4. NAME OF PERSON WITH WHOM TO CONFER

Marianne Offield

5. TELEPHONE EXT.

693-0230

DATE

4/27/89

ARCHIVIST OF THE UNITED STATES



NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 64 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

10 June 89

C. SIGNATURE OF AGENCY REPRESENTATIVE

Nicholas T. Lutsch

D. TITLE

Acting Director for Administration

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

RECORDS OF THE OFFICE OF THE INSPECTOR GENERAL

This request for records disposition authority covers those records of the office of the Inspector General, Department of Defense not covered by the NARA General Records Schedules Nos. 1-25. This is the initial request from this organization.

In order to upgrade DoD-level audit, investigation, and Inspection activities, the Congress established a statutory IG in the Department of Defense Authorization Act of 1983. The DoD OIG was patterned after the civilian agency IG offices created by the Inspector General Act of 1978 (Public Law 95-452.) The Authorization Act also combined several existing DoD-level audit and investigative organizations under the DoD IG. The DoD IG performs audits, conducts criminal investigations of fraud throughout DoD, recommends action to the appropriate management levels to correct program deficiencies, and reports the status of actions being taken to correct these deficiencies. The DoD IG is also responsible for providing policy guidance and oversight of the Army, Navy, and Air Force audit and investigative agencies.

Copies sent to NCF
NAV, NNS, NNT, Agency, Navy
5/1/89

SERIES 100
ADMINISTRATION

APPENDIX E. SERIES 100 - ADMINISTRATION**Index of Major Titles**

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170	Building and Space Administration Files.	E-13
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Series 100 - Administration

File Number	Title Description	Disposition Authority
100	<p>Administration. 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.</p> <p>a. Correspondence relating to administration that cannot logically be filed with detailed records listed below.</p> <p>b. Documents relating to administration that are received for information only and on which no action is required.</p>	<p>All Files: COFF annually (CY) unless instructed otherwise. Permanent Files: Offer to NARA after 20 years unless otherwise indicated or needed for agency purposes.</p> <p>a. DEST after 2 years GRS 23 - 2b</p> <p>b. DEST when no longer needed. GRS 23 - 2c</p>
101	<p>Internal Administration Files. Documents relating to the day-to-day management and administration of an individual office.</p>	<p>DEST after 2 years or when no longer needed, whichever is sooner. GRS 23 - 1</p>
101-01	<p>Internal Office Procedures. Documents concerning internal office procedures, hours of duty, and individual duties that do not have continuing applicability.</p>	<p>DEST after 2 years or when no longer needed, whichever is sooner. GRS 23 - 1</p>
101-02	<p>Participation in Charitable Affairs. Documents relating to office participation in charitable affairs, such as blood donations or charitable contributions.</p>	<p>DEST after 3 months or when no longer needed, whichever is sooner. GRS 23 - 4c</p>
101-03	<p>Safety and Emergency Procedures. Documents concerning emergency evacuation procedures and office safety, such as notification of unsafe practices.</p>	<p>DEST after 2 years or when no longer needed, whichever is sooner. GRS 23 - 1</p>
101-06	<p>Office Instructions. Documents relating to the preparation and issuance of memorandums or continuing instructions that apply only to internal administrative practices within the preparing office.</p>	<p>DEST when superseded or obsolete. GRS 16 - 1c</p>
101-10	<p>Suspense Files. Papers arranged in a chronological order as a reminder that:</p> <p>a. An action is required on a given date.</p> <p>b. A reply to an action is expected on a given date:</p>	<p>DEST after action is taken. GRS 23-3a</p>

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File Number	Title Description	Disposition Authority
	(1) File Copy.	Incorporate with other papers for file when reply is received. GRS 23-3b(2)
	(2) Extra Copy.	DEST when reply is received. GRS 23-3b(1)
108	Office Reference Files.	Review annually and remove all materials that are no longer needed.
108-01	Publications References. Copies of publications issued by other Government agencies and nongovernmental organizations maintained for reference within an office.	DEST when superseded, obsolete, or no longer needed. Return accountable publications to supply channels. GRS 23 - 6
108-02	Technical Materials References. Copies of technical materials retained for reference purposes only.	DEST when superseded, obsolete, or no longer needed. Return accountable publications to supply channels. GRS 23 - 6
108-05	Policy and Precedent References. Copies of documents establishing policy or precedent maintained at the operating level. Includes copies of standing operating procedures, statements of policy or procedure, examples of typical cases, and other documents filed elsewhere.	DEST individual documents when superseded, obsolete, or no longer needed. GRS 23 - 6
108-10	Chronological Reading Files. Information copies of outgoing correspondence arranged in chronological order.	COFF monthly, quarterly, or semiannually.
	a. Office of the Inspector General Files. 1 cub. ft. per year accum.	Permanent. Offer to National Archives after 40 years. Disposition pending
	b. All other offices.	DEST after 1 year. GRS 23 - 6
108-15	Electronic Messages. Copies of incoming and outgoing electronic messages maintained in numerical or chronological order for reference purposes. Official record copies are filed in the appropriate mission files of the office of record.	DEST after 1 year. Earlier disposal is authorized GRS 23 - 6

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Series 100 - Administration

File Number	Title Description	Disposition Authority
108-20	Weekly Activity Report (WAR) Files. Documents submitted to the WAR and completed WARs.	DEST after 2 years. GRS 23-1
109	Unidentified / Unscheduled Files. Documents for which no file disposition has been established by the IG Records Disposition Schedules.	Contact IG Records Manager
110	Administration Policy and Procedures Files.	
112	Administration Guidance and Instructions Files. Documents related to the issuance of routine administrative instructions, backup, previous issues, notes, and related papers. NOTE: For disposition of Agencywide policy and programming files, see File Number 310.	DEST when superseded or obsolete. GRS 16 - 1c
115	Implementation Files. Records relating to the implementation of procedures, systems, methods and standards, and associated matters which result in operational and administration changes.	COFF on completion of the process. DEST when issuance is destroyed. GRS 16 - 1d
120	Postal and Mail Management Files.	
120-01	Office Mail Control. Documents relating to the control of mail by offices (not official mail rooms and postal activities). For example: records of messenger trips and similar documents. In rare cases, may also include copies of receipts for accountable mail, such as registered, certified, and numbered mail.	
	a. Accountable mail receipts.	DEST after 1 year. GRS 12 - 6a
	b. Other documents.	DEST after 3 months. GRS 23 - 4b
120-25	Receipt and Dispatch of Mail Reports. Production reports on mail handling and work showing statistics on mail received, dispatched, and on hand.	DEST after 1 year. GRS 12 - 6d
120-30	Mail Management General Files. Internal procedures, correspondence, instructional materials.	DEST when no longer current or after 1 year. GRS 12 - 6g

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File Number	Title Description	Disposition Authority
120-35	Statistical Reports. Statistical reports on outgoing mail (air mail, special delivery, registered, foreign, and parcel post over four lbs.).	DEST after 1 year. GRS 12 - 6d
120-40	Mail Management Program Files. Documents on the various aspects of the Mail Management Program.	DEST when no longer current GRS 12 - 6g
120-41	Penalty Mail Program Reports.	DEST after 6 years. GRS 12 - 7
121	Accountable Mail Files. Records relating to the receipt and dispatch of registered, certified, or numbered mail.	DEST after 1 year. GRS 12 - 5a
	a. Unclassified information.	DEST after 1 year. GRS 12 - 5c
	b. Secret or Top Secret classified Defense information.	Trf to File Number 131-10 or 131-20 as appropriate.
121-10	Reports of Improper Treatment of Mail. Reports of loss, rifling, delay, wrong delivery, or other improper treatment of mail.	
	a. Unclassified information.	DEST after 1 year. GRS 12 - 5c
	b. Secret or Top Secret classified Defense information.	Withdraw related reports and case. Include in an investigation folder as appropriate. (see File Number 131).
123	Postage Meter Operations Files. Documents and forms containing information on the postage meter system, except fiscal copies.	COFF annually (FY) DEST 1 year after completion or final entry. GRS 12 - 5
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.	DEST after 2 months. 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.	DEST 3 months after revision of list. GRS 13 - 5a

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File Number	Title Description	Disposition Authority
	b. Card lists.	DEST individual cards when cancelled or revised. <i>GRS 13 - 5b</i>
130	Security Files.	
130-10	Security Policy. Documents that implement or issue security policies and procedures established or required by external agencies.	COFF when superseded or rescinded. DEST when no longer needed <i>GRS 16 - 1c</i>
130-20	Security Administration. Documents pertaining to the day to day administration of the security program.	DEST after 2 years or when no longer needed, whichever is sooner. <i>GRS 23 - 1a</i>
130-30	Security Program Reviews. Files relating to periodic facility checks. Reports of reviews of agency personnel and offices to ensure compliance with security policies and procedures.	
	a. Reports on security violations.	DEST after 1 year <i>GRS 18 - 19a</i>
	b. Routine after-hours security checks.	DEST after 1 month. <i>GRS 18 - 19b</i>
130-35	Security Reports. Reports such as SF 311, Agency Information Security Program Data, Original Classification Authority, Unauthorized Disclosures, or Special Access Programs.	DEST after 2 years or upon discontinuance of facility, whichever is sooner. <i>GRS 18 - 2</i>
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.	DEST after 2 years. <i>GRS 18 - 2</i>
130-55	Security Briefings.	COFF when superseded or obsolete. DEST after 2 years. <i>GRS 18 - 2</i>

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File Number	Title Description	Disposition Authority
130-70	Security Incidents. Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information.	
	a. Violations of a serious nature.	DEST 5 years after the close of the case. GRS 18 - 25a
	b. All other cases.	DEST 2 years after completion of final action or when no longer needed, whichever is sooner GRS 18 - 25b
131	Accountability of Classified Material. Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive Order 12065, other Executive Orders or statutory or regulatory requirements, and DoD Directive 5200.1-R.	
131-03	Security Container Records. a. Forms placed on safes, cabinets, or vaults containing security classified documents and used for providing a record of entry into the containers. b. Forms involved in an investigation.	DEST the day after the last entry on form. GRS 23 - 6 TRF to security incident case file.
131-04	Security Container Information. 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.	DEST when superseded by a new form or list, or upon turn-in of containers. GRS 18 - 8
131-07	Temporary Internal Receipts. Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing classified documents to another office or headquarters. Such loans are normally of short duration and borrowed documents are often returned within the same workday.	DEST on return of the classified document to the individual or office making the loan. GRS 23 - 5
131-10	Top Secret Document Accounting and Control.	

Series 100 - Administration

File Number	Title Description	Disposition Authority
131-11	Top Secret Registers (IG 5200.1-4). Registers with attached receipts and destruction certificates maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.	DEST 5 years after documents shown are downgraded, transferred, or destroyed. <i>GRS 18 - 6a</i>
131-12	Top Secret Forms (IG 5200.1-6). Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.	DEST after related documents are downgraded, transferred, or destroyed. <i>GRS 18 - 6b</i>
131-13	Top Secret Inventories. Documents reflecting the identity and location of classified papers for which the office is accountable.	DEST 5 years after all classified documents recorded have been transferred, destroyed, declassified, or entered on a new sheet. <i>GRS 18 - 6a</i>
131-14	Top Secret Document Destruction Certificates. Forms or other documents accumulated by an office which reflect the destruction of classified documents.	DEST after 2 years. <i>GRS 18 - 2</i>
131-17	Security Classification Regrading. Documents authorizing the regrading of security classified documents.	COFF after final action DEST after 5 years. <i>GRS 18 - 6a</i>
131-20	Secret / Confidential Accountability Records. Forms, ledgers or registers logs used to show the identity, internal routing, and final disposition of secret/confidential documents. Does not include receipts and destruction certificates and documents relating to Top Secret material covered under File Number 131 - 10.	DEST after 2 years. <i>GRS 18 - 5</i>
131-21	Office Classified Document Receipts. Records documenting the receipt and issuance of classified documents.	DEST after 2 years. <i>GRS 18 - 3</i>
131-40	Access Request Files. Requests and authorizations for individuals to have access to or transport classified documents.	DEST 2 years after authorization expires. <i>GRS 18 - 7</i>
133	Communications Security Files (COMSEC).	
133-01	COMSEC Program Administration Correspondence, reports, and other records relating to the administration and operation of the COMSEC Program	DEST After 2 years <i>GRS 18 - 2</i>

Series 100 - Administration

File Number	Title Description	Disposition Authority
133-30	COMSEC Briefings. Materials used in developing and increasing awareness of communications security.	DEST when superseded or no longer used. <i>GRS 18 - 2</i>
133-50	COMSEC Inspections. Reports of surveys and inspections to ensure adequacy of protective and preventive measures to safeguard information.	DEST after 3 years or upon discontinuance of the facility, whichever is sooner <i>GRS 18 - 10</i>
135	Personnel Security Files.	
135-05	Personnel Security Clearances. 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 official personnel folder.	DEST on notification of death or not later than 5 years after transfer or separation of individual concerned. <i>GRS 18 - 23a</i>
135-10	Classified Information Non-disclosure Agreement (SF 189). Copies of SF 189 agreements signed by employees with access to information which is classified or classifiable under standards put forth by EO 12356. Maintain separately from personnel security clearance files.	DEST after 50 years. <i>GRS 18 - 26</i>
136	Credentials. Identification of credentials and related papers.	DEST 3 months after return of credentials to the issuing office. <i>GRS 11 - 4</i>
136-10	Identification cards. Applications for issue of ID cards and records of issuance.	DEST 3 months after return of card to the issuing office. <i>GRS 11 - 4</i>
137	Facilities Security and Protective Services. Records relating to measures taken to protect Government-owned or privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.	
137-01	Alarm Services. Correspondence, contracts, and agreements files relating to alarm services	DEST 2 years after termination of contract or agreement. <i>GRS 18 - 9</i>
137-05	Visitor Control Files. Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers	

Series 100 - Administration

File Number	Title Description	Disposition Authority
	a. Maximum security areas.	DEST 5 years after final entry. GRS 18 - 18a
	b. Other areas.	DEST 2 years after final entry GRS 18 - 18b
137-10	Guard Services. Documents relating to guard assignments and strength. Reports, requests, analyses, change notices, etc.	DEST after 2 years. GRS 18 - 14b
137-30	Equipment - Supplies Security. Property pass files authorizing removal of property or materials.	DEST 3 months after expiration or revocation. GRS 18 - 13
137-50	Personal Property Accountability. Reports, receipts, and other papers relating to accountability for personal property lost, found, or stolen.	DEST after 1 year. GRS 18 - 16b
137-60	Key Accountability Files. Files relating to accountability of keys issued.	
	a. Maximum security areas.	DEST 5 years after turn-in of key GRS 18 - 18a
	b. Other areas.	DEST 2 years after turn-in of key GRS 18 - 18b
139	Computer Security. Reports of surveys 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.	DEST after 3 years or upon discontinuance of the facility, whichever is sooner. GRS 18 - 10
140	Publications and Blank Forms Files. Papers relating to the production, supply, and distribution of publications and blank forms.	
140-01	Publications Requests. Requests for publications, photos and general information including applications or form requests with copies of acknowledgments and replies.	DEST 3 months after receipt of publications GRS 23 - 4a
140-02	Blank Forms Requests. Requests for Blank Forms	DEST 3 months after receipt of requested forms. GRS 23 - 4a

Series 100 - Administration

File Number	Title Description	Disposition Authority
140-10	<p>Publications and Blank Forms Administrative Correspondence. Correspondence files pertaining to the administration and operation of the publications and forms programs.</p>	DEST after 2 years. GRS 13 - 2
141	<p>Forms Case Files. Record copy of each form created by OIG with related instructions and documentation showing inception, scope, and purpose of the form. Working papers, background materials, requisitions, specifications, processing data, and control records.</p> <p>a. Record copy.</p> <p>b. Working papers.</p>	<p>DEST 5 years after related form is discontinued, superseded, or cancelled. GRS 16 - 4</p> <p>DEST when related form is discontinued, superseded, or cancelled. GRS 16 - 4</p>
145	<p>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.</p> <p>a. Record copy with supporting papers. <i>(16 cubic feet total on hand) occup less than 1 cub. ft. per year</i></p> <p>b. Working papers.</p>	<p><i>pen + ink change OK ed by Marciano 12-88. off field 7/87</i></p> <p>Permanent. Transfer to the National Archives in 5 year blocks when most recent record is 30 years old. e.g. Submit SF 115, Request for 1980-85 in Records. 2015.</p> <p>GRS 16 - 2a</p> <p>DEST 6 months after final action GRS 16 - 2b</p>
160	<p>Telecommunications Files.</p>	
160-01	<p>Requests for Telephone Services. Internal requests for installation of telephones, AUTOVON, Calling Cards.</p>	DEST after 2 years. GRS 23 - 1
160-10	<p>Telecommunications Policy and Procedures. Documents reflecting internal policy and procedures for the telecommunications program.</p>	DEST when superseded or obsolete. GRS 16 - 1c
160-11	<p>Telecommunications Policy Background Materials. Backup materials, drafts, examples of policy from other agencies</p>	DEST when no longer needed for reference and backup GRS 16 - 1d

Series 100 - Administration

File Number	Title Description	Disposition Authority
160-20	Directory Changes. Requests for changes to telephone directories.	DEST 2 months after change is completed. GRS 12 - 2b
160-50	Telecommunications Services Contracts and Agreements. Copies of agreements or contracts with background data and other records.	COFF on expiration or cancellation. DEST after 2 years. GRS 12 - 2e
161	Telephone Floor Plans. Floor plans showing location of office telephone extensions.	DEST after 3 years. GRS 12 - 2b
163	Telecommunication Voucher Files (Reference). Reference copies of vouchers, bills, invoices, and related records.	COFF annually (FY). DEST after 1 year. GRS 12 - 2d(1)
163-05	Telephone Statements and Toll Slips. Summaries of long distance telephone reports used to indicate authorized use of telephone service.	COFF annually (FY). DEST after the close of the FY in which audited. GRS 12 - 4
165	Data Communications Systems Case Files. Records relating to the installation, change, removal, and servicing of data communications network systems.	DEST 1 year after audit or after 3 years, 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.	DEST 1 year after audit or after 3 years, whichever is sooner. GRS 12 - 2d(2)
170	Building and Space Administration Files. Acquisition, allocation, and utilization of space and office services including related correspondence.	
170-01	Office Space. Suspense file of uncompleted requests for office space and similar documents related to office space.	
	a. Record copy.	TRF to appropriate case file when action is completed. GRS 23 - 3
	b. Extra copy.	DEST when action is completed GRS 23 - 3

Series 100 - Administration

File Number	Title Description	Disposition Authority
170-10	Office Space - Utilization and Planning. Records relating to the allocation, utilization and release of space under OIG control.	COFF on termination of assignment, when lease is canceled, or when obsolete or superseded. DEST after 2 years. GRS 11 - 2a
171	Building Plans Floor plans showing placement of walls, doors, electrical wiring, ductwork, lighting, etc.	COFF on termination of assignment, when lease is canceled, or when plans are obsolete or superseded. DEST after 2 years. GRS 11 - 2a
173	Office Space Reports Files.	
173-01	Office Space - GSA Reports. Records supporting and copies of reports submitted to General Services Administration regarding space occupied.	DEST after 2 years. GRS 11 - 2b(1)
173-02	Office Space - DoD Reports. Records supporting and copies of reports submitted to DoD regarding space occupied.	DEST after 1 year. GRS 11 - 2b(2)
175	Office Space Case Files. Case files reflecting administrative space assigned to IG offices, lease agreements, work orders, etc.	Retain in CFA. DEST 2 years after termination of assignment or lease is cancelled. GRS 11 - 2a

SERIES 200
PERSONNEL ADMINISTRATION

APPENDIX F. SERIES 200 - PERSONNEL ADMINISTRATION**Index of Major Titles**

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225	Notification of Personnel Action (SF 50) Files.	F-6
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File Number	Title Description	Disposition Authority
200	<p>Personnel Most of the records filed under this series concern the administration of the civilian personnel program and are prescribed by the Federal Personnel Manual (FPM). Beginning with subseries 230, file numbers relate to the FPM chapter series. For example, 230 - 239 relate to Civilian Personnel Employment and contain information prescribed by FPM Chapters in the 300 series. For each subseries, there is a general correspondence category.</p>	<p>All Files: COFF annually FY when so instructed. Many documents in this series are retained in the current files area until the employee leaves the agency.</p>
	<p>a. Correspondence relating to personnel that cannot logically be filed with detailed records listed below.</p>	<p>DEST after 3 years. GRS 1 - 3</p>
	<p>b. Documents relating to personnel that are received for information only and on which no action is required.</p>	<p>DEST when no longer needed. GRS 23 - 2c</p>
201	<p>Request for Personnel Action (SF 52) (Pending). Suspense copies of SF 52 for various civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.</p>	
	<p>a. Record Copy.</p>	<p>Transfer to appropriate folder on completion of request. GRS 23 - 3b</p>
	<p>b. Extra Copy.</p>	<p>DEST on completion of requested action. GRS 23 - 3b(1)</p>
202	<p>Office General Personnel. These files are maintained by operating officials for administering employees who are under their control.</p>	<p>DEST after 2 years. GRS 23 - 1</p>
202-01	<p>Time Cards. Copies of time cards maintained in individual offices.</p>	<p>DEST 6 months after end of pay period to which they pertain GRS 2 - 3</p>
202-02	<p>Office Personnel Registers. Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting arrival, departure, on leave, and temporary duty travel, but not official personnel registers used as direct source documents.</p>	<p>DEST after 2 years. Earlier disposal is authorized. GRS 23 - 1</p>

File Number	Title Description	Disposition Authority
202-03	Employee Record Card. SF 7B maintained by first-level supervisors reflecting the name, address, telephone number, personnel actions, training, awards, counseling, etc., of each employee under the supervisor's direct supervision.	DEST on separation or transfer of the individual. GRS 1 - 6
203	Personnel Information - General.	
203-01	Personnel Functions - General Information. Files relating to the general administration and operation of IG, DoD personnel functions and including college programs, selective placement programs (handicapped, veterans, and ex-offenders) programs, special careers (Summer Aid, Intergovernmental Affairs Fellowship, and Stay-in-School), examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at agency staff planning levels.	DEST when obsolete or superseded. GRS 16 - 1c
203-02	Employment Programs and Manpower Management - General Information. Correspondence, report memoranda, and other records relating to IG, DoD employment programs and functions, and manpower management and evaluation, including experts and consultants, reemployment rights, employee transfer and detail, overseas employment, and excepted positions.	DEST when obsolete or superseded. GRS 16 - 1c
205	Standards of Conduct. 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.	DEST after the next periodic application of the procedure or when obsolete. <i>Disposition pending.</i> (See NNI-AU-166-204)
205-10	Ethics in Government Financial Disclosure Statements (SF-278). Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521).	

File Number	Title Description	Disposition Authority
	a. Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.	DEST 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation. <i>GRS 1 - 25a(1)</i>
	b. All other records including SF 278.	DEST after 6 years, EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation. <i>GRS 1 - 25a(2)</i>
205-20	Employment and Financial Interest Statements. Statements of employment and financial interests and related papers, and confidential statements filed under E.O. 11222.	DEST after 6 years, EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation. <i>GRS 1 - 25b</i>
210	Personnel Policy and Procedures Files. Records which relate to the development of internal IG policies and procedures and those that implement OPM or DoD policies and procedures.	DEST when superseded or unneeded. <i>GRS 16 - 1c</i>
210-05	Personnel Policy and Procedures Background Material. Background information pertaining to the development of policies, procedures, and standards governing civilian personnel administration.	DEST when issuance is destroyed <i>GRS 16 - 1d</i>
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.	
211-01	Personnel Administration and Operations Correspondence. Documents relating to personnel administration and operation.	COFF annually. DEST after 3 years. <i>GRS 1 - 3</i>

File Number	Title Description	Disposition Authority
215	Military Personnel Files.	
215-01	Military Authorizations. IG manpower authorizations, justification for new positions or deletions; control over grade requirements. (These are not individual personnel files.)	COFF when no longer current. DEST after 10 years. <i>Disposition pending.</i> (See AI 15 202-28.4)
215-10	Military Strength Reports. Reports that provide information relative to strength authorizations and employment.	DEST after 2 years. GRS 1 - 16
215-50	Military Personnel Records. Documents that are created as the result of detail or assignment to IG, DoD which normally would be made a part of the individual's personnel file and other pertinent and related correspondence. Orders, promotions, classification, citations for medals, etc.	
	a. Records appropriate for inclusion in the individual's personnel file.	Forward to the appropriate Military Service within 30 days after release from duty in IG. <i>Disposition Pending.</i> (See AI 15 202-27)
	b. Other Records.	DEST 1 year after transfer of the individual. <i>Disposition Pending.</i> (See AI 15 202-27)
215-60	Military Leave Files. Records which relate to leave of military personnel.	DEST individual leave authorizations when adjustments are made. <i>Disposition Pending.</i> (See AI 15 202-30)
220	Personnel Program Files - General. Files relating to the overall, general personnel program.	
220-01	Official Personnel Folders (OPF). Records filed on the right side of the OPF reflecting qualifications, efficiency, personnel actions, awards, security determinations under EO 10450, and similar information.	

File Number	Title Description	Disposition Authority
	a. Transferred Employees.	See FPM for instructions relating to folders of employees transferring to another agency. <i>GRS 1 - 1b(1)</i>
	b. Separated Employees.	TRF folder to National Personnel Records Center, St. Louis, MO, 30 days after separation. DEST 75 years after birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years. <i>GRS 1 - 1b(2)</i>
220-10	Temporary Individual Employee Records. All copies of correspondence and forms maintained as temporary records on the left side of the OPF in accordance with provisions of the FPM, Chap. 293, and Supplement 293.31.	DEST upon separation or transfer or after 1 year, whichever is sooner. <i>GRS 1 - 10</i>
220-20	Service Record Card (SF 7) Files. SF 7 or its equivalent.	DEST 3 years after transfer or separation of the employee. <i>GRS 1 - 2b</i> Privacy Act: OPM/GOVT-2
225	Notification of Personnel Action (SF 50) Files. Chronological file copies of SF 50 for all individual personnel actions, including fact sheets.	COFF monthly. DEST after 2 years. <i>GRS 1 - 14a</i> Privacy Act: OPM/GOVT-1
230	Civilian Personnel Employment. Records in the 230 subseries contain information prescribed by the "300" series of chapters in the basic FPM.	
230-05	Individual Actions Files. Correspondence relating to individual actions about personnel, which do not qualify as records of permanent value; records of criticism or complaint when no official action is taken.	DEST 6 months after individual is released from duty with IG, DoD <i>GRS 1 - 17c</i>
230-10	Retention Registers. Registers used for reduction-in-force actions.	
	a. Action taken.	DEST after 2 years. <i>GRS 1 - 17b(1)</i>

File Number	Title Description	Disposition Authority
	b. Appeals pending.	DEST after 7 years. GRS 1 - 17b(1)
	c. No action taken.	DEST when superseded or obsolete. GRS 1 - 17b(2)
232	Applications and Appointments. Information pertaining to applications (SF 171) for and appointments to vacancies within the IG.	
232-01	Applications Resulting in Appointment. SF 171 and related information on persons who are selected for appointment.	File on right side of OPF. GRS 1 - 15 Privacy Act: OPM/GOVT-5
232-02	Offers of Employment. Correspondence, letters, and telegrams offering appointments to potential employees.	
	a. Accepted offers.	DEST immediately. GRS 1 - 4a
	b. Declined offers.	
	(1) Name from Certificate of Eligibles.	Return to OPM with reply and application. GRS 1 - 4b(1)
	(2) Temporary or excepted appointment.	File inside application. GRS 1 - 4b(2)
	(3) All others.	DEST immediately. GRS 1 - 4b(3)
232-04	Inactive Applications (SF 171). Unsuccessful applications for appointment and related papers, EXCLUDING records relating to appointments requiring Senatorial confirmation, and applications filed in OPF. File in accordance with inspection requirements of the FPM.	DEST upon receipt of OPM report of inspection or after 2 years, providing requirements of the FPM are observed. GRS 1 - 15 Privacy Act: OPM/GOVT-5
232-20	Certificates of Eligibility (SF 39). SF 39s and all information upon which certification is based.	DEST after 2 years. GRS 1 - 5

File Number	Title Description	Disposition Authority
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, EXCLUDING any records that duplicate information in the promotion plan, in the OPF, or in other personnel records.	DEST 2 years after the personnel action or after the action has been audited by OPM, whichever is sooner. GRS 1 - 33
235	Statistical Reports - Civilian Personnel. Records supporting and statistical reports pertaining to civilian personnel.	DEST after 2 years. GRS 1 - 16
240	Employee Training Files. Records in the 240 subseries contain information that is prescribed by the "400" series of chapters in the basic FPM.	
240-10	Individual Employee Training. Files such as applications for training, authorizations, and schedules reflecting the training of individual employees.	DEST after 5 years or when superseded or obsolete, whichever is sooner. GRS 1 - 30c
241	Training Reports. Documents reflecting training programs available and employee participation in training programs.	DEST after 5 years or when obsolete or superseded, whichever is sooner. GRS 1 - 30c
245	Training Courses and Programs. Documents accumulated in establishing and conducting training programs and courses and in negotiating with OPM, other Federal agencies, and non-government organizations for the establishment and provision of training programs and courses.	COFF upon completion of program. DEST after 5 years. GRS 1 - 30b(1)
245-10	Training Aids. One copy of each manual, syllabus, textbook, and any other training aids. a. Developed by IG. b. From other agencies or private institutions.	COFF when a course is revised or discontinued Submit SF-115, Request for Records Disposition Authority. GRS 1 - 30a(1) DEST when obsolete or superseded. GRS 1 - 30a(2)

accum. less than 1 ft. per year

*1-31-89 OK in. off field in m.
Permanent Transfer to NARA when 20 years old in first year blocks, 1986-85 2005.*

*Submit SF-115, Request for Records Disposition Authority.
~~GRS 1 - 30a(1)~~*

File Number	Title Description	Disposition Authority
245-40	Course Announcements. Reference file of pamphlets, notices, catalogs, and other records which provide information on courses or programs offered by government or non-government organizations.	DEST when superseded or obsolete. <i>GRS 1 - 30d</i>
250	Position Classification, Pay & Allowances Files. Records in this subseries contain information that is prescribed by the "500" series of chapters in the basic FPM.	
250-10	Position Classification Standards. Information which provides guidance in evaluating jobs, and consists of Office of Personnel Management (OPM) standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.	DEST when superseded or obsolete. <i>GRS 1 - 7a(1)</i>
250-12	Position Classification Development. Information on developing classification standards for positions peculiar to the agency and OPM approval or disapproval. Includes tentative drafts, correspondence, project schedules for positions peculiar to the agency and OPM approval or disapproval.	COFF when position is abolished or description is superseded.
	a. Case File.	DEST 5 years after COFF. <i>GRS 1 - 7a(1)</i>
	b. Review File.	DEST 2 years after COFF. <i>GRS 1 - 7a(2)</i>
250-20	Position Classification Appeals. Case files relating to classification appeals.	COFF when case is completed. DEST after 3 years. <i>GRS 1 - 7d</i>
252	Position Description (PD) Files. Files describing established positions including information on title, series, grade, duties, and responsibilities.	COFF when position is abolished or description superseded.
	a. Record copy.	DEST 5 years after COFF <i>GRS 1 - 7b(1)</i>
	b. All other copies.	DEST at COFF. <i>GRS 1 - 7b</i>
252-02	Position Identification Strips (SF 7D). Strips such as the SF 7D used to provide summary data on each position occupied.	DEST when position is cancelled or new strip is prepared <i>GRS 1 - 11</i>

File Number	Title Description	Disposition Authority
252-05	Desk Audits and Surveys. Correspondence, memoranda, reports and other records relating to desk audits, inspections, surveys, and evaluations.	DEST when obsolete or superseded. GRS 1 - 7c(2)
255	Civilian Position Structure. 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.	DEST when superseded or obsolete. GRS 16 - 1(c)
257	Merit Pay Computations. Information for a merit pay unit listing covered employees. Includes initial salary, computation of funds for the unit, salary increases granted automatically, merit pay increases granted based on points received from a performance appraisal rating, and similar information	DEST 7 years after date of computation of pay increase. GRS 1 - 12a(1) Privacy Act: OPM/GOVT-1
260	Employee Performance and Utilization Files.	
261	Non-SES Performance Files. Performance records for Non-SES appointees as defined in 5 USC 4301(2).	
	a. Unacceptable Performance. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.	DEST 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.	DEST upon supersession. GRS 1 - 23a(2)
	c. Former Employees. Performance-related records pertaining to a former employee.	DEST after 3 years or when no longer needed, whichever is sooner. GRS 1 - 23a(3)
	d. Other Summary Appraisals. All other summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based.	DEST 3 years after date of appraisal. GRS 1 - 23a(4)

File Number	Title Description	Disposition Authority
	e. Supporting Documents.	DEST 3 years after date of appraisal or when no longer needed, whichever is sooner. <i>GRS 1 - 23a(5)</i>
262	SES Appointees. Performance records for SES appointees as defined in 5 USC 3132a(2).	
	a. Superseded Records. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	DEST on supersession. <i>GRS 1 - 23b(1)</i>
	b. Former Appointees. Performance-related records pertaining to a former SES appointee.	Disposition pending. <i>GRS 1 - 23b(2)</i>
	c. All Others. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based.	DEST 5 years after date of appraisal, exclusive of any interim service as Presidential appointee. <i>GRS 1 - 23b(3)</i>
	d. Supporting Documents.	DEST 5 years after date of appraisal or when no longer needed, whichever is sooner. <i>GRS 1 - 23b(4)</i>
263	Presidential Appointees.	Disposition pending. <i>GRS 1 - 23c</i>
265	Incentive Awards Files. Records documenting an employee suggestion or performance award.	
265-01	Awards Correspondence. Correspondence or memoranda pertaining to awards from other Government agencies or private organizations.	DEST after 2 years. <i>GRS 1 - 12a(2)</i>
265-02	Nominations Indexes. Lists or indexes to agency award nominations. Lists of nominees and winners, and indexes of nominations.	DEST when superseded or obsolete. <i>GRS 1 - 12d</i>
265-10	Awards Case Files. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agency sponsored cash and noncash awards such as incentive awards, within grade increases, merit increases, suggestions, and outstanding performance.	DEST 2 years after approval or disapproval. <i>GRS 1 - 12a</i>

File Number	Title Description	Disposition Authority
265-15	Letters of Commendation and Appreciation. Copies of letters recognizing length of service or retirement and letters of appreciation or commendation for performance. EXCLUDES copies filed in the OPF.	DEST after 2 years. GRS 1 - 12c
265-20	Departmental Level Awards Files. Records relating to awards made at levels higher than OIG. (Secretary of Defense, Presidential, etc.)	Submit SF 115, Request for Records Disposition Authority. GRS 1 - 12c <i>Destroy when 5 years old.</i>
265-30	Incentive Awards Program Reports. Award program reports including copies of feeder reports prepared within IG, DoD and copies of summary reports to OPM.	DEST after 3 years. GRS 1 - 13
270	Personnel Relations and Services. Records in Subseries 270 contain information that is prescribed by chapters in the "700" series of chapters in the basic FPM.	COFF on termination of counseling or when case is closed.
270-01	Counseling Files. Reports of interviews, analyses, and related records.	DEST after 3 years. GRS 1 - 27a
270-02	Alcohol and Drug Abuse Program. Records created in planning, coordinating and directing an alcohol and drug abuse program.	DEST after 3 years. GRS 1 - 27b
271	Grievance, Disciplinary, and Adverse Action Files.	
271-10	Adverse Action Files (5 CFR 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, EXCLUDING letters of reprimand.	DEST after 4 years. GRS 1 - 31b

File Number	Title Description	Disposition Authority
271-50	Grievances and Appeals Files (5 CFR 771). Records originating in the review of grievances 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, a copy of the original decision, related correspondence and exhibits, and records relating to a request for reconsideration.	DEST after 3 years. GRS 1 - 31a
272	Labor - Management Files. Case Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups. a. Office negotiating agreement. b. Other offices.	COFF on completion or resolution of the case. DEST after 5 years. GRS 1 - 29a DEST when superseded or obsolete. GRS 1 - 29a
272-20	Labor Arbitration Files. Correspondence, forms, and background papers relating to arbitration cases.	DEST 5 years after final resolution of case. GRS 1 - 29b
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 later legislation; and agency EEO committee meetings and records including minutes and reports.	DEST after 3 years old, or when superseded or obsolete. GRS 1 - 26g
275-11	EEO Statistics. Periodic and one-time statistical reports analyzing IG's workforce relating to race, national origin, disability, and sex.	DEST after 5 years. GRS 1 - 26f
275-20	EEO Affirmative Action Plans (AAP). Agency copy of consolidated AAP(s) and agency feeder plan to consolidated AAP(s).	DEST 5 years from date of plan or when administrative purposes have been served. GRS 1 - 26h(1) & (2)

File Number	Title Description	Disposition Authority
275-50	<p>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.</p> <p>a. Cases resolved within the agency, by EEOC, or a U.S. Court.</p> <p>b. Copies of complaint case files.</p> <p>c. Complaint background records not filed in the Official Discrimination Complaint Case File.</p>	<p>DEST 4 years after resolution of the case <i>GRS 1 - 26a.</i></p> <p>DEST after 1 year. <i>GRS 1 - 26b</i></p> <p>DEST after 2 years. <i>GRS 1 - 26c</i></p>
275-60	<p>EEO Compliance Review Files. Reviews, background papers, and correspondence relating to contractor employment practices.</p>	<p>DEST after 7 years. <i>GRS 1 - 26d(1)</i></p>
275-65	<p>EEO Compliance Reports. 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.</p>	<p>DEST after 3 years. <i>GRS 1 - 26f(2)</i></p>
280	<p>Health and Safety.</p>	
281	<p>Personal Injury Files. Documents accumulated in reporting, investigating, and documenting on-the-job injuries whether or not a claim for compensation was made. EXCLUDES copies filed in the OPF and copies submitted to the Department of Labor.</p>	<p>DEST after 5 years. NOTE: Disposition of these records has been suspended and these documents may not be destroyed until a new authority is approved (per GSA FPMR Bulletin B-112, 5 Aug 81). <i>GRS 1 - 32</i></p>
283	<p>Health & Safety Statistical Summaries. Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.</p>	<p>DEST 2 years after date of summary or report. <i>GRS 1 - 22</i></p>

File Number	Title Description	Disposition Authority
285	Health Records Files.	DEST individual health records 6 years after last entry. NOTE: Disposition of these records has been suspended and these documents may not be destroyed until new authority is approved (per GSA FPMR Bulletin B-112, August 5, 1981). GRS 1-21

SERIES 300
PLANNING and MANAGEMENT

APPENDIX G. SERIES 300 - PLANNING AND MANAGEMENT**Index of Major Titles**

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File Number	Title Description	Disposition Authority
300	Planning and Management. a. Correspondence relating to planning and management that cannot logically be files with detailed records listed below. b. Documents relating to planning and management that are received for information only and on which no action is required.	All Files: COFF annually (CY) unless instructed otherwise. Permanent: Offer to NARA after 25 years unless otherwise instructed. a. DEST after 2 years. GRS 23 - 2b b. DEST when no longer needed. GRS 23 - 2c
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. 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.	DEST after 2 years or when no longer needed. GRS 23-1
310	Planning and Management Policy Files. Formal directives that establish IG policies and procedures pertaining to program functions.	Permanent. Offer to NARA in 5 year blocks after 20 years. GRS 16 - 1a
	a. Record copy. <i>accum. less than 6 m. per year</i>	
	b. Duplicate copies.	DEST when no longer needed. GRS 16 - 1a
312	Management and Planning Policy Implementation Files. IG, DoD documents that issue the procedures for implementing external management and planning policies or directives such as those issued by DoD, OMB, or Executive Orders.	COFF when superseded or rescinded. DEST when no longer needed GRS 16 - 1c

File Number	Title Description	Disposition Authority
320	<p>Organization Planning Files. 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. Includes staff studies, reports of working groups, and minutes of committee or task force meetings and staff conferences relating to overall functions and mission.</p>	<p>Permanent. Offer to NARA in 5 year blocks after 20 years. GRS 16-1a</p>
	<p>a. Record copy. <i>accum. less than 1 cub. ft. per year</i></p>	
	<p>b. Duplicate copies.</p>	<p>DEST when no longer needed. GRS 16-1a</p>
320-01	<p>Organization Charter Files. Organizational Charter and 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 among OIG components.</p>	<p>Permanent. COFF when superseded. Offer to NARA in 5 year blocks after 20 years. GRS 16-13</p>
	<p>a. Record copy.</p>	
	<p>b. Duplicate copies</p>	<p>DEST when no longer needed for reference. GRS 23-6</p>
320-02	<p>Organizational Structure. Documents, charts, and publications pertaining to the IG organizational structure. Includes reorganization studies materials such as final recommendations, proposals, and staff evaluations.</p>	<p>Permanent. COFF when superseded. Offer to NARA in 5 year blocks after 20 years. GRS 16-13a</p>
	<p>a. Record copy.</p>	
	<p>b. Duplicate copies.</p>	<p>DEST when no longer needed for reference. GRS 23-6</p>

File Number	Title Description	Disposition Authority
322	<p>Staffing Surveys and Studies Work Papers. Working papers, recommendations, charts and papers related to staffing surveys and studies within OIG. These may result from new functional requirements generated internally or from realignment of functions requiring new staffing and include both civilian and military.</p>	<p>DEST 6 months after final action or 3 years after completion of report if no final action is taken. GRS 16 - 10</p>
325	<p>Emergency Planning Files. Documents which describe evacuation, relocation, vital records program, and continuity of operation, personnel assignments, and related procedures.</p>	<p>Permanent. COFF when cancelled or superseded. Offer to NARA when 15 year old in 10 year blocks. GRS 18 - 28a</p>
	<p>a. Record copy.</p>	
	<p>b. Case file.</p>	<p>DEST 3 years after issuance of new plan or directive. GRS 18 - 28b</p>
330	<p>Program Planning, Review, and Analysis Files.</p>	
333	<p>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 program objectives, planned milestones, progress reports, and related documents.</p>	<p>Permanent. COFF on completion of case. Offer to NARA when 30 years old. Disposition pending. (See AI 15 102-13)</p>
	<p>a. Record copy.</p>	
	<p>b. Duplicate copies and background material.</p>	<p>DEST after 6 months Disposition pending. (See AI 15 102-13)</p>
340	<p>Management Improvement Files.</p>	

File Number	Title Description	Disposition Authority
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.	Permanent. TRF to WNRC after 2 years. <i>Transfer to the National Disposition pending. archives in 5 (See AI 15 201-04) year blocks. when most recent record is 25 years old, e.g. 1980I 1985 in 2010.</i>
340-20	Management Survey Case Files. Comprehensive surveys involving the systematic formal review of organizational structure or operational procedures. Includes documents reflecting 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. b. Office surveyed. c. Background files.	Permanent. COFF when superseded. <i>Transfer to the Disposition pending. National Archive (See AI 15 201-05) when 25 years old.</i> DEST on completion of next comparable survey, or when no longer required for reference. <i>Disposition pending. (See AI 15 201-05)</i> DEST when no longer required for reference. <i>Disposition pending. (See AI 15 201-06)</i>
341	Management Improvement Project Files. Documents relating to projects which result in changes in planning, directing, controlling, or doing work.	COFF on completion of project. DEST after 4 years. <i>Disposition pending. (See AI 15 201-09)</i>
344	Work Simplification Files. Documents related to the analysis of specific work procedures to simplify and improve them.	COFF when final action has been taken. DEST after 25 years. <i>Disposition pending. (See AI 15 201-09)</i>
345	Committee Management Files.	
34 ⁵ 5 -10	Interagency, International, or Advisory Committees or Councils. Documents relating to the establishment, organization, membership, and policy of advisory, interagency, or international committees or councils. Includes minutes, final reports, and related papers.	

File Number	Title Description	Disposition Authority
	a. Records of the sponsor.	Permanent. COFF on disapproval or dissolution of the committee. <i>GRS 16 - 12a(1), b(1) Transfer to the National Archives when 25 years of</i>
	b. Records of other members.	DEST after 3 years or when no longer needed for reference, whichever is sooner. GRS 16 - 12b(1)(b)
345-20	Internal Committee Files. Documents reflecting name, date established or approved for continuation, function, names and affiliations of members, dates of meetings held, and similar data. Includes minutes, final reports, and related papers.	DEST 2 years after termination of committee. GRS 16 - 12a(2)
350	Information Resources Management Files.	
352	Office Equipment Management Files. Policy directives prescribing functions and responsibilities of the office management program in IG.	DEST when superseded or obsolete. GRS 16 - 1c
352-10	Office Equipment Feasibility Studies. Feasibility studies and justification for systems such as copiers.	DEST 5 years after completion GRS 16 - 14
352-20	Office Equipment Approval Files. Documents related to approval and use of such items of equipment as office copiers.	Retain in CFA. DEST after 6 years or when equipment is no longer used or when disposed of. GRS 16 - 11
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.	Retain in CFA. DEST after 2 years or when no longer needed. GRS 23 - 1
353	Micrographics Management Files. Policy directives prescribing functions and responsibilities of micrographic management program in IG.	DEST when superseded or obsolete. GRS 16 - 1c
353-10	Micrographics Systems Feasibility Studies. Feasibility studies and justification for systems developed to convert hard copy to microform version.	Retain in CFA DEST after 6 years or when superseded by subsequent studies. GRS 16 - 11

File Number	Title Description	Disposition Authority
353-20	Micrographics Systems Approval Files. Documents related to approval and use of micrographics systems.	Retain in CFA. DEST after 6 years or when equipment is no longer used or when disposed of. <i>GRS 16 - 11</i>
353-30	Micrographics Systems Utilization Files. Documents reflecting individual and cumulative repairs, adjustments, usage of equipment, and similar or related documents.	Retain in CFA. DEST after 6 years or when no longer needed. <i>GRS 16 - 11</i>
355	Records Management Files. Policy and procedures for managing the day-to-day creation, transmission, maintenance, use, and disposition of IG records.	DEST when superseded or cancelled. <i>GRS 16 - 1c</i>
355-01	Office Record Locators. 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.	DEST when no longer needed. <i>GRS 23 - 7b</i>
355-02	Record Access. Documents that identify individuals authorized access to official records, particularly classified material.	DEST 2 years after authorization expires. <i>GRS 18 - 7</i>
355-03	Access to Information Files. Documents relating to IG procedures on the release of information from files, release of copies, and the granting of access to records for official or unofficial research.	DEST when superseded or obsolete. <i>GRS 16 - 1c</i>
355-05	Records Disposition Files. Descriptive inventories, disposal authorizations, schedules, and reports. a. Basic documentation of records description and disposition programs. Includes SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request for Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.	DEST when related records are destroyed, transferred to the National Archives, or when no longer needed for administrative or reference purposes. <i>GRS 16 - 3a</i>
	Extra copies & routine correspondence.	DEST when no longer needed <i>GRS 16 - 3b</i>

File Number	Title Description	Disposition Authority
	c. Working papers and background material.	DEST 6 months after final action on project report or 3 years after completion of report if no final action is taken. GRS 16 - 3c
355-07	<p>Records Holding Reporting Files. Documents used in preparation of the records holding report. Includes reports and directly related papers.</p>	
	a. Agency report.	DEST after 3 years. GRS 16 - 6a
	b. Others (feeder).	DEST after 1 year. GRS 16 - 6b
355-09	<p>National Archives Liaison. Documents, correspondence, and the like pertaining to exchanges between National Archives and IG on the subject of records management.</p>	
	a. Authority to destroy or exceptions granted by NARA.	DEST after 6 years. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference. GRS 16 - 11
	b. General correspondence.	DEST after 2 years. GRS 23 - 1
355-10	<p>Records Management Survey Files. Documents relating to staff visits and surveys to evaluate the effectiveness of records management operations and programs. Includes notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.</p>	
	a. Office performing IG-wide staff responsibility.	DEST after 6 years. GRS 16 - 11
	b. Other offices.	DEST 2 years after next comparable survey or on discontinuance of the surveyed office, whichever is first. GRS 23 - 7
	c. Background files.	DEST 6 months after survey is completed. GRS 16 - 10

File Number	Title Description	Disposition Authority
355-50	Vital Records Program Files. Directives and policy relating to the Vital Records Program.	Permanent. TRF to WNRC when superseded or obsolete. Offer to NARA after 20 years. GRS 18 - 28a
355-51	Vital Records Program Correspondence. Correspondence relating to the Vital Records Program.	DEST after 2 years. GRS 18 - 27
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 requestor. a. Register or listing. b. Other files.	DEST 5 years after date of last entry. GRS 14 - 28a DEST 5 years after final action by the agency or final adjudication by courts, whichever is later. GRS 14 - 28b
357-02	Privacy Act Reports Files. a. Recurring reports and one-time information requirements relating to agency implementation. Includes Annual reports to the Congress, OMB, and at OIG level. b.	DEST after 2 years. OK M. offield 1-31-8. GRS 14 - 27 Permanent. Transfer to NARA when 20 years old, in 5 year blocks - e.g. 1980-85 in 2005.
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.	Use the approved disposition instructions for the related subject or 5 years after the disclosure for which the accountability was made, whichever is later. GRS 14 - 27
357-10	Privacy Act General Administration Files. Notices, memoranda, routine correspondence, and related records relating to the general agency implementation of the Privacy Act.	DEST after 2 years or sooner if not needed. GRS 14 - 30

File Number	Title Description	Disposition Authority
357-20	<p>Privacy Act Requests. 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.</p> <p>a. Correspondence and supporting documents EXCLUDING the official file copy of the records requested if filed herein.</p> <p>(1) Granting access to all the requested records.</p> <p>(2) Responding to requests for non-existent records, to requestors who provide inadequate descriptions, and to those who fail to pay agency reproduction fees.</p> <p>(a) Not appealed.</p> <p>(b) Appealed.</p> <p>(3) Denying access to all or part of the records requested.</p> <p>(a) Not appealed.</p> <p>(b) Appealed.</p> <p>b. Official file copy of requested records.</p>	<p>DEST after 2 years. GRS 14 - 25a(1)</p> <p>DEST after 2 years. GRS 14 - 25a(2)(a)</p> <p>Dispose of as authorized under File Number 357 - 50. GRS 14 - 25a(2)(b)</p> <p>DEST after 5 years. GRS 14 - 25a(3)(a)</p> <p>Dispose of as authorized under File Number 357 - 50. GRS 14 - 25a(3)(b)</p> <p>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 - 25b</p>

File Number	Title Description	Disposition Authority
357-50	<p>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 individual's request to amend a record as provided for under 5 52a(d)(3); and to any civil action brought against the refusing agency as provided under 5 U.S.C. 552a(g).</p> <p>a. Agreed-to requests. Requests to amend a record agreed to by agency. Includes the requests to amend and/or review refusal to amend, copies of agency replies, and related materials.</p> <p>b. Refused requests. Requests to amend 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.</p> <p>c. Appealed requests. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.</p>	<p>Dispose of in accordance with the approved disposition instruction for the related subject or 4 years after agency agreement to amend, whichever is later. <i>GRS 14 - 26a</i></p> <p>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. <i>GRS 14 - 26b</i></p> <p>Dispose of in accordance with the approved disposition instructions for related subject or 3 years after final adjudication by courts, whichever is later. <i>GRS 14 - 26c</i></p>
358	<p>Freedom of Information Act (FOIA) Files.</p>	
358-01	<p>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 requestor.</p> <p>a. Registers or listing.</p> <p>b. Other files.</p>	<p>DEST 6 years after date of last entry. <i>GRS 14 - 18a</i></p> <p>DEST 6 years after final action by the agency or after final adjudication by courts, whichever is later. <i>GRS 14 - 18b</i></p>

File Number	Title Description	Disposition Authority
358-02	FOIA Reports Files. Recurring reports and one-time information requirement relating to agency implementation of the FOIA act, including annual reports to the Congress.	DEST after 2 years. GRS 14-19b Permanent. Transfer to NARA when 20 years old in 5 year blocks, e.g. 1980-85 in 2005
358-10	FOIA Administrative Files. Notices, memoranda, routine correspondence, and related records relating to the general agency implementation of the FOIA.	DEST after 2 years or sooner if not needed for administrative use. GRS 14 - 20
358-20	FOIA Requests 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.	
	a. Correspondence and supporting documents EXCLUDING the official file copy of the records requested if filed herein.	
	(1) Granting access to all the requested records.	DEST 2 years after date of reply. GRS 14 - 16a(1)
	(2) Responding to requests for nonexistent records, to requestors who provide inadequate descriptions, and to those who fail to pay agency reproduction fees.	DEST 2 years after date of reply GRS 14 - 16a(2)(a) DEST as authorized under File Number 358 - 50. GRS 14 - 16a(2)(b)
	(a) Not appealed.	DEST 2 years after date of reply GRS 14 - 16a(2)(a)
	(b) Appealed.	DEST as authorized under File Number 358 - 50. GRS 14 - 16a(2)(b)
	(3) Denying access to all or part of the records requested	DEST after 6 years. GRS 14 - 16a(3)(a)
	(a) Not appealed.	DEST after 6 years. GRS 14 - 16a(3)(a)
	(b) Appealed.	DEST as authorized under File Number 358 - 50. GRS 14 - 16a(3)(b)

File Number	Title Description	Disposition Authority
	b. Official file copy of requested records.	Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later. <i>GRS 14 - 16b</i>
358-50	<p>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.</p>	
	a. Correspondence and supporting documents.	DEST 6 years after final determination by agency or 3 years after final adjudication by court, whichever is later. <i>GRS 14 - 17a</i>
	b. Official file copy of records under appeal.	Dispose of in accordance with approved agency disposition instructions for the related record, or with the related FOIA requests, whichever is later. <i>GRS 14 - 17b</i>
360	Executive and Legislative Liaison Files.	
362	White House Liaison.	
362-10	<p>White House Correspondence. Note: The Freedom of Information Act does not apply to the President, the White House office, and the President's principal advisors. Mail referred to OIG of this nature is personal mail and should be filed separately from regular mail. This is a courtesy storage for the White House and is completely returnable to the White House upon request. It may be offered to NARA if approved by the White House.</p>	
	a. Routine correspondence. White House correspondence of a routine, non-policy nature with no long-term value.	COFF every 6 months. DEST after 7 years. <i>Disposition pending.</i> (See AI 15 102 - 17.1)

delete note

File Number	Title Description	Disposition Authority
	b. Policy-related correspondence. Correspondence relating to substantial policy-related matters.	Permanent. COFF every 6 months. <i>Transfer to Disposition pending. the 7 national (See AI 15 102 - 17.2) archives with 25 years old.</i>
363	Congressional Liaison. Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, which are forwarded to IG for reply.	
363-10	Congressional Correspondence.	
	a. Routine correspondence. Correspondence of a routine nature with no historical value. Congressional inquiries which are forwarded to IG for reply.	COFF annually. DEST after 7 years. <i>Disposition pending.</i> (See AI 15 102 18.1)
	b. Historical value correspondence. Correspondence of a substantial nature with historical significance. Congressional inquiries which are primarily originated by Congress and pertain to substantial policy issues.	Permanent. COFF when case is closed. <i>Transfer Offer</i> to NARA after 20 years. <i>Disposition pending.</i> (See AI 15 102.2)
363-50	Congressional Hearings. <i>Testimony to the Congress by the agency. (1-2 vol. ft per year session.) Transfer</i>	Permanent. COFF after completion of hearing. <i>Offer to NARA after 20 years.</i> <i>Disposition pending.</i>
363-75	Legislation Reviews. <i>Reviews of the legislation that impacts on the IG function.</i>	Permanent. COFF after <i>Transfer</i> completion of review. <i>Offer to</i> NARA after 20 years. <i>Disposition pending.</i>
365	Semiannual Report to Congress Files. Reports prepared by the IG, DoD and submitted to the Congress. These reports summarize the activities of the IG, DoD for the six-month periods ending March 31 and September 30.	
	a. Record copy.	<i>Transfer</i> Permanent. COFF upon transmission to the Congress <i>Offer to NARA in 10 year blocks when 10 years old.</i> <i>Disposition pending.</i> (See GRS 25 - 2a)
	b. Extra copies and working papers.	DEST when no longer needed <i>Disposition pending.</i> (See GRS 25 - 2b, c)

File Number	Title Description	Disposition Authority
370	Public Relations Files. Speeches, addresses, news releases, comments. Remarks made at formal ceremonies and during interviews by senior agency officials concerning agency programs.	Permanent. Offer textual records to NARA in 5 year blocks when 20 years old. Offer audiovisual records to NARA in accordance with GRS 21. Transfer audiovisual records to NARA (see GRS 14-14) in accordance with NARA regulations.
372	Agency Publications. Publications, posters, booklets, brochures, pamphlets, and similar material written and produced by the agency.	5 year blocks when most recent record is 5 years old, e.g. 1980 to 1985 in 1990. Permanent. Transfer to the National Archives in 5 year block.
375	Agency Historical Files. Agency histories and selected background materials.	Permanent. Offer to NARA in 5 year blocks when 20 years old. GRS 16 - 13c
380	ADP Management Files. Program files relating to the Automatic Data Processing (ADP) program.	
380-01	Requests for ADP Support. (Pending). Suspense copies of requests for ADP equipment, systems, service, or support.	TRF to project file when request is filled.
380-10	ADP Systems Planning Project Files. Project files that document the installation of an ADP system from initial inception to final system operation. Files include documents containing definitions of the system, authorizing directives, source data, detailed studies reflecting advantages and disadvantages of benefits, output requirements, schedule for completion, and related papers.	COFF at close of FY in which system is stabilized. DEST after 6 years. GRS 16 - 11
380-30	ADP Equipment Approval Files. Documents related to approval and use of ADPE. Includes documents reflecting approval of such items as microcomputers, optical disk systems, modems, software, printers (for ADP systems), interfaces between ADP systems, etc.	DEST after 6 years or when equipment is no longer used or when disposed of. GRS 16 - 11

File Number	Title Description	Disposition Authority
380-40	ADP System Utilization Files. Inventories of ADP equipment. Documents reflecting individual and cumulative repairs, adjustments, usage of items of ADPE, and similar or related documents.	Retain in CFA. Destroy after 6 years or when no longer needed. GRS 16 - 11
380-50	ADP Systems Feasibility Studies. Feasibility studies and justification for systems	DEST after ⁵ 6 years or when obsolete, superseded, or no longer needed for reference. GRS 16 - 11 9
382	ADP Documentation Files.	after completion or cancellation of study.
382-10	ADP Systems Operations Specifications Files. Documents containing definitions of the system, including functional requirements, data requirements, and system / subsystem specifications. a. Disapproved system. b. Approved system. (1) Authorized for disposal. (2) Not authorized for disposal.	DEST 1 year after final action. GRS 20 - III, 1 DEST 1 year after discontinued GRS 20 - III, 2 Retain with related data file GRS 20 - III, 3
382-15	ADP System Test Documentation. Descriptive material including test plans and test analysis reports. a. Approved system. b. Disapproved proposed system.	DEST 1 year after completion of testing. GRS 20 - III, 4 DEST when no longer needed GRS 20 - III, 5
382-20	ADP File Specifications Files. Definitions of the logical and physical characteristics of each record, element, or item of data in the file. Includes names and tags or labels; relative position, form, format, and size of data elements (record layout), specifications of all codes used; cross-reference code manual; security and privacy restrictions, and validity characteristics; update and access conditions; and recording medium and volume.	

File Number	Title Description	Disposition Authority
	a. Authorized for disposal.	DEST when related data file is destroyed. GRS 20 - III, 6
	b. Not authorized for disposal.	Retain with related data file. GRS 20 - III, 7
382-30	ADP Systems Reports. Printed final reports containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed.	Retain one copy with related file specifications. GRS 20 - III, 10

382-50 ADP Output Specifications Files.
Listing of each type of output by the title and tag, formal specifications, selection criteria, volume and frequency, media, graphic displays and symbols, security and privacy conditions, and disposition of output used outside the computer area.

~~Disposition pending.~~
~~GRS 20 - III, 9~~

*GRS 20-1C
Delete when no longer needed in accordance with sound business practice and agency standard operating procedures.*

387 ~~ADP User Guides:~~
Handbooks, guides to data availability, procedures for querying the files, and other information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it.

~~Disposition pending.~~
~~GRS 20 - III, 8~~

GRS 20 - 11

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 data base or data base that has been authorized for disposal in a NARA-approved records schedule, EXCLUDING documentation relating to any unscheduled master file or data base scheduled for transfer to the National Archives

Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.

SERIES 400
BUDGET and FINANCE

APPENDIX H. SERIES 400 - BUDGET AND FINANCE**Index of Major Titles**

File Number	Title	Page
400	Budget and Finance.	H-2
410	Budget Policy Files.	H-2
415	FYDP Submissions Files.	H-2
420	Budget Formulation and Presentation.	H-3
425	Budget Apportionment Files.	H-4
430	Budget Execution.	H-5
435	Representation Fund Expenditures.	H-6
440	Financial Reports.	H-8
450	Accountable Officer's Files.	H-8

File Number	Title Description	Disposition Authority
400	<p>Budget and Finance. The files in this series pertain to records of budget preparation, presentation, and apportionment, and funds expenditure and accounting within the IG</p> <p>a. Correspondence files in formally organized budget offices relating to routine administration, internal procedures, and other matters not covered elsewhere in this schedule.</p> <p>b. Documents relating to budget matters that are received for information only and on which no action is required.</p>	<p>All Files: COFF annually at end of fiscal year (FY) unless instructed otherwise. Permanent Files: Offer to NARA after 30 years unless instructed otherwise.</p> <p>DEST after 2 years. GRS 5 - 3</p> <p>b. DEST when no longer needed. GRS 23 - 2c</p>
401	<p>Office Financial Files. Documents that relate to offices concerning 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.</p>	<p>DEST after 1 year or on discontinuance. GRS 23 - 1</p>
410	<p>Budget Policy Files. Files documenting IG internal policy and procedures governing day-to-day budget administration, and reflecting external policy decisions affecting expenditures for IG programs.</p>	<p>DEST when superseded or obsolete. GRS 16 - 1c</p>
411	<p>Budget Guidance - OSD/OMB. a. Manuals received from OSD or OMB concerning budget preparation guidance. b. Supplemental Guidance. Supplemental guidance on the preparation of the budget.</p>	<p>DEST 1 year after the close of the FY covered by the budget. GRS 5 - 4</p> <p>DEST 1 year after the close of the FY covered by the budget. GRS 5 - 4</p>
415	<p>FYDP Submissions Files. Five Year Development Plans.</p>	<p>DEST 1 year after the close of the FY covered by the budget. GRS 5 - 4</p>
416	<p>Program Element Definitions.</p>	<p>DEST when superseded, obsolete, or no longer needed for reference. GRS 16 - 1c</p>
417	<p>Program Element Summary Files. FYDP Printouts.</p>	<p>DEST when superseded, obsolete, or no longer needed for reference. GRS 16 - 1c</p>

File Number	Title Description	Disposition Authority
420	Budget Formulation and Presentation.	
421	Budget Estimates and Justifications. Copies of budget estimates and justifications prepared or consolidated for IG components and forwarded to OSD and OMB. Included are appropriation language sheets, narrative statements, and related schedules and data.	DEST 1 year after the close of the FY covered by the budget. GRS 5 - 4
421-10	Budget Submissions to OSD/OMB. Copies of budget submissions to OSD or OMB.	DEST 1 year after the close of the FY covered by the budget. GRS 5 - 4
421-11	Supplemental Budget Data - OSD/OMB Additional information requested by OSD/OMB on the requests submitted to them.	DEST 1 year after the close of the FY covered by the budget. GRS 5 - 4
421-12	Budget Submissions Workpapers - OSD/OMB. Working papers and background for budget estimates and justifications.	DEST 1 year after the close of the FY covered by the budget. GRS 5-4
421-20	Program Budget Review Calendar. Periodic reports on the status of budget accounts.	DEST 3 years after the close of the FY covered by the budget. GRS 5 - 5b
421-21	IG Component Budget Requirements. Copies of budget estimates and justifications prepared by IG components for consolidation in the official budget submission.	DEST 1 year after the close of the FY covered by the budget. GRS 5-2b
422	Budget Submissions - Additional.	DEST 1 year after the close of the FY covered by the budget GRS 5-4
422-01	Budget Submissions Workpapers -Additional. Working papers and background for additional budget submissions.	DEST 1 year after the close of the FY covered by the budget. GRS 5-4
423	Program Budget Decisions (PBDs.) <i>Agency-wide program budget. OSD authorization for DoD IG funding.</i>	Permanent. <i>Cut off when 5 years old. Transfer to WNRC. Transfer to the National Archives in 5 year blocks when latest record is 30 years old. e.g. 1980-85 in 2015.</i> GRS 5-2a GRS 5-2a GRS 5-2a
423-01	Reclamas to PBDs Files. <i>Request for change to PBD.</i>	
424	Budget Submissions - President's. <i>(less than 1 file drawer on hand - accum. is approx 3 inches per year)</i>	
424-04	Budget Submissions Workpapers - President's.	DEST 1 year after the close of the FY covered by the budget GRS 5-2b
424	<i>IG budget submitted to OSD, which is in turn submitted to the President.</i>	

File Number	Title Description	Disposition Authority
424-10	Supplemental Budget Data - Congress. Supplemental data in support of the President's budget.	Permanent. <i>Cut off when 5 years old. Transfer to WNRC. Transfer to the National Archives in 5 year blocks when most recent record is 30 years old, e.g. 1980-85 in 2015.</i> GRS 5-2a
424-20	Witness Statements to Congress. Testimony before Congress in support of the President's budget. <i>(less than 6 inches on hand)</i>	
424-21	Witness Statements - Backup Material. Backup material for witness statements to Congress.	
425	Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	DEST 2 years after the close of the FY covered by the budget. GRS 5-6
426	Budget Reports Files. Periodic reports on the status of appropriation accounts and apportionment.	
	a. Annual report (end of FY).	DEST after 5 years. GRS 5-5a
	b. All other reports.	DEST 3 years after end of FY covered by the budget. GRS 5-5b
426-10	Budget Reporting Instructions and Formats.	DEST 1 year after end of FY covered by the budget. GRS 5-4
427	Program Objective Memorandums (POM). <i>I internally within OSD, first cycle of 5 year plan.</i>	
	a. POM submissions.	Permanent. <i>Cut off when 5 years old. Transfer to NA in 5 year blocks when most recent record is 30 yrs old.</i> GRS 5-2a
	b. POM workpapers.	DEST 1 year after end of FY covered by the budget. GRS 5-4
	c. POM Guidance Files. Guidance received containing instructions for preparation of the POM.	DEST 1 year after end of FY to which it pertains. GRS 5-4
427-10	Program Decision Memorandums (PDM) <i>Decisions issued as part of the POM which contains the approved manpower and dollar figures.</i>	Permanent. <i>Cut off when 5 years old. Transfer to WNRC. Transfer to the National Archives in 5 year blocks when most recent record is 30 years old, e.g. 1980-85 in 2015.</i> GRS 5-2a
428	Budget History. <i>Temporary. Destroy when 5 years old.</i>	
429	Program Change Decisions (PCD) Files. <i>a change in program elements which make up the agency. (less than 1 cubic ft. total on hand) (only created when program changes - many years 0 accum.)</i>	

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File Number	Title Description	Disposition Authority
430	Budget Execution. Records concerned with accounting for, availability, and status of IG funds.	
431	Appropriation Allotment Files. Allotment records showing status of obligations and allotments under each authorized appropriation.	DEST 6 years and 3 months after the close of the FY involved. GRS 7-3
431-01	Expense Operating Budget Authority (EOB). Information on transactions involving author-izations received from DoD making specific funds available to IG.	DEST 6 years and 3 months after the period covered. GRS 6-1
431-05	Operating Budget Authorizations Files. Information on transactions involving author-izations received from DoD making specific funds available to IG for the purpose of issuing allotments.	DEST 6 years and 3 months after the period covered. GRS 6-1
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.	DEST 6 years and 3 months after the close of the FY involved. GRS 7-3
	a. OIG obligation plans.	DEST 6 years and 3 months after the close of the FY involved. GRS 7-3
	b. Management indicators.	DEST 6 years and 3 months after the close of the FY involved. GRS 7-3
433	Emergency and Extraordinary Fund Expenditures. Information which reflects the receipt and accounting for funds. Included are copies of reimbursement vouchers and receipts for funds entrusted to agent officers which also reflect acknowledgement of return of funds and statement of balance.	DEST after 2 years. GRS 7-4
434	Imprest Fund Expenditures. Information accumulated by imprest fund cashiers which reflect the receipt and accounting for imprest funds. Includes copies of reimburse-ment vouchers and receipts for funds entrusted to agent officers which also reflect acknow-ledge-ment of return of funds and statement of balance.	DEST after 2 years. GRS 7-4

File Number	Title Description	Disposition Authority
435	Representation Fund Expenditures. Information which reflects the receipt and accounting for funds. Includes copies of reim-bursement vouchers and receipts for funds entrusted to agent officers which also reflect acknowledgement of return of funds and statement of balance.	DEST after 2 years. GRS 7 - 4
436	Travelers Checks. Information which reflects the receipt and accounting for Travellers Checks funds.	DEST after 2 years. GRS 7 - 4
437	Budget Execution Reports Files. Periodic reports on the status of appropriation accounts and apportionment. a. Annual reports. b. Other reports.	DEST after 5 years. GRS 5-5a DEST 3 years after end of FY covered by the budget. GRS 5-5b
437-01	Minor Construction Report Files. a. Annual reports. b. Other reports.	DEST after 5 years. GRS 5-5a DEST 3 years after end of FY covered by the budget. GRS 5-5b
437-02	Obligation By State Report Files. a. Annual reports. b. Other reports.	DEST after 5 years. GRS 5-5a DEST 3 years after end of FY covered by the budget. GRS 5-5b
437-03	Workyear and Cost Reports Files. a. Annual reports. b. Other reports.	DEST after 5 years. GRS 5-5a DEST 3 years after end of FY covered by the budget. GRS 5-5b
437-04	Report on Civil Rights Expenditures Files. a. Annual reports.	DEST after 5 years. GRS 5-5a

File Number	Title Description	Disposition Authority
	b. Other reports.	DEST 3 years after end of FY covered by the budget. GRS 5-5b
438	General Expenditures Files. Information on disbursement of amounts due to contractors and commercial firms dealing with the IG. Includes expenditures by purpose and reimbursement and similar information.	DEST after 3 years. GRS 6-5b
438-05	Telephone Toll Tickets. Originals and copies of toll tickets filed in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 6-8
438-10	Communication Costs. Information on disbursement of funds for communications.	DEST after 3 years. GRS 6-5b
438-11	Postage Costs. Information on disbursement of funds for postage.	DEST after 3 years. GRS 6-5b
438-12	PL 92-212 Federal Building Fund Costs (SLUC)	DEST after 3 years. GRS 6-5b
438-13	Training Costs.	DEST after 3 years. GRS 6-5b
438-14	Travel Costs (TDY).	DEST after 3 years. GRS 6-5b
438-15	Permanent Change of Station (PCS) Costs.	DEST after 3 years. GRS 6-5b
438-16	Overtime Costs.	DEST after 3 years. GRS 6-5b
438-17	Word Processing Costs.	DEST after 3 years. GRS 6-5b
438-18	ADP Services Costs.	DEST after 3 years. GRS 6-5b
438-19	Leased Vehicle Costs. Information pertaining to the leasing, maintenance, and operation of motor vehicles leased by the IG.	DEST 3 years after discontinuance of ledger or date of worksheet. GRS 10-3
438-30	Pay Increase Costs.	DEST after 3 years. GRS 6-5b
438-31	Health Insurance Costs.	DEST after 3 years. GRS 6-5b

File Number	Title Description	Disposition Authority
438-32	Workmen's Compensation Costs.	DEST after 3 years. GRS 6-5b
439	General Collections Files. Information on collection of amounts due the U.S. Government involving IG personnel.	DEST after 3 years. GRS 6-4
439-20	Unofficial Telephone Call Payments.	DEST after 3 years. GRS 6-4
440 <i>M.O. field 1-13-89 M.M.</i>	Financial Reports. Recurring and one time reports on financial management. <i>Primary program records. (less than 6 m. per year accum.)</i>	Permanent. <i>in 5 year blocks</i> Offer to NARA after 20 years, e.g. 1980-85 in 2005.
450	Accountable Officer's Files. Original or carbon 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.	DEST 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.	DEST after 2 years. 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 elsewhere covered in this schedule.	
	a. Original records.	DEST after 3 years. GRS 7-4a
	b. Copies.	DEST after 2 years. GRS 7-4b
452	General Accounting Ledgers. General accounts ledgers, showing debit and credit entries and reflecting expenditures in summary.	DEST 6 years and 3 months after the close of the FY involved GRS 7-2

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→ Reports on the execution of the budget - reports to OSD on how money is spent, by quarter; manpower reports to OSD.

SERIES 500
(RESERVED)

APPENDIX I -- SERIES 500, SPECIAL MEDIA

RESERVED

SERIES 600
OPERATIONAL SERVICES

APPENDIX J. SERIES 600.- OPERATIONAL SERVICES**Index of Major Titles**

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File Number	Title Description	Disposition Authority
600	Operational Services. Documents relating to logistical type services performed in the IG.	All Files: COFF annually (FY) unless instructed otherwise. Permanent Files: Offer to NARA after 25 years unless instructed otherwise.
	a. Correspondence relating to operational services that cannot logically be filed with detailed records listed below.	a. DEST after 2 years. GRS 23 - 1a
	b. Documents relating to service operations that are received for information only and on which no action is required.	b. DEST when no longer needed. GRS 23 - 4
602	Services Requests (Pending). Documents relating to logistical type services requested by or provided to an office that cannot logically be files with detailed records listed below.	
	a. Record Copy.	TRF to official file. GRS 23 - 3b(2)
	b. Extra Copy	DEST after action is taken GRS 23 - 3b(1)
620	Personnel Travel and Transportation Records. Records pertaining to the movement of personnel under Government orders. Documents are essentially copies of travel orders auth-orizing 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 accounting posting media.	
620-01	Travel Correspondence. Correspondence, forms, and related records pertaining to agency travel and transportation functions, not covered elsewhere.	DEST after 2 years. GRS 9-5
620-10	Travel Policies and Procedures Files. Internal administrative OIG policy and procedures for travel.	DEST when superseded or obsolete. GRS 16 - 1c
620-20	Travel Agreements and Contracts Files.	DEST 2 years after termination of agreement or contract. GRS 11 - 2

File Number	Title Description	Disposition Authority
621	Travel Orders Files. Copies of requests and authorizations for travel and related documents. a. General records. b. Accountability Records.	DEST after 3 years. <i>GRS 9-3a</i> DEST 1 year after all entries are cleared. <i>GRS 9-5b</i>
621-10	Blanket Travel Order (BTO) Files. Copies of requests and authorizations for Blanket Travel Orders. a. General records. b. Accountability Records. c. Cancellations and Changes. BTOs that have been cancelled or changed.	DEST after 3 years. <i>GRS 9-3a</i> DEST 1 year after all entries are cleared. <i>GRS 9-5b</i> DEST after 2 years. <i>GRS 9-5a</i>
621-20	Operations & Management TDY Files. Requests for TDY for general purposes. a. General records. b. Accountability Records.	DEST after 3 years. <i>GRS 9-3a</i> DEST 1 year after all entries are cleared. <i>GRS 9-5b</i>
621-30	Training TDY Files Requests and authorizations for TDY for training purposes. a. General records. b. Accountability Records.	DEST after 3 years. <i>GRS 9-3a</i> DEST 1 year after all entries are cleared. <i>GRS 9-5b</i>
621-40	Permanent Change of Station Files. Requests and authorizations for PCS travel. a. General records.	DEST after 3 years. <i>GRS 9-3a</i>

File Number	Title Description	Disposition Authority
	b. Accountability Records.	DEST 1 year after all entries are cleared. GRS 9-5b
623	Local Transportation. Documents relating to local transportation required by or available to an office.	DEST after 2 years. GRS 9 - 5
625	General Travel and Transportation Files. Correspondence, forms, and related records pertaining to agency travel and transportation functions not covered elsewhere in this schedule.	
	a. General records.	DEST after 3 years. GRS 9-3a
	b. Accountability Records.	DEST 1 year after all entries are cleared. GRS 9-5b
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.	
	a. Administrative Copies.	DEST after 3 years. GRS 9 - 4a
	b. Obligation Copies.	DEST after funds are obligated GRS 9 - 4b
630	Freight Movements.	
631	Bills of Lading Register Files. Registers used to account for bills of lading.	DEST 3 years after final entry GRS 9 - 1c
632	Government Losses in Shipment Act. Freight records relating to the Government Losses in Shipment Act consisting of schedules of valuables shipped and related papers and reports.	DEST after 3 years. GRS 9 - 2
640	Motor Vehicles Operators Files. Documents relating to the operation of Government-owned vehicles. Included are driver tests, authorization to use, safe driving awards, violations, and related correspondence.	DEST 3 years after separation of employee or 3 years after cancellation of authorization to operate a government owned vehicle, whichever is sooner GRS 10 - 7
645	Motor Vehicle Reports Files.	

File Number	Title Description	Disposition Authority
645-10	Accident Reports.	COFF at end of FY in which case is closed. DEST after 6 years. GRS 10 - 5
645-20	Maintenance Reports.	DEST after 1 year. GRS 10 - 2b
645-30	Operating Reports.	DEST after 3 months. GRS 10 - 2a
645-40	Other Vehicle Reports.	DEST after 3 years. GRS 10 - 4
650	Procurement Files.	
650-01	Requests for Procurement Files (Pending).	
	a. Record Copy.	TRF to official transaction file. GRS 23 - 3b(2)
	b. Extra copy.	DEST after action is taken. GRS 23 - 3b(1)
651	Procurement Transactions Files.	COFF at end of FY EXCEPT that files on which actions are pending shall be brought forward to the next FY files for destruction therein.
	a. Obligation copy.	Destroy when funds are obligated. GRS 3 - 4b
	b. Transactions of more than \$10,000 or construction contracts exceeding \$2,000.	DEST 6 years and 3 months after final payment. GRS 3 - 4a(1)
	c. Transactions of \$10,000 or less or construction contracts \$2,000 and under.	DEST 3 years after final payment GRS 3 - 4a(2)
	d. Purchases That Deviate from Precedents. Procurement files involving transactions of that document the initiation and development of transactions which deviate from established precedents with respect to general agency procurements or to major procurement programs.	Submit SF 115, Request for Records Disposition Authority GRS 3 - 1

File Number	Title Description	Disposition Authority
	<p>e. Administrative Duplicates. Copies of contracts, requisitions, purchase orders, leases, and other papers which are duplicates used by component elements of a procurement office for administrative purposes.</p>	<p>DEST upon termination or completion of action. GRS 3 - 4c</p>
655	<p>Property Inventories. Files containing lists and cards for control of property.</p> <p>a. Lists.</p> <p>b. Cards.</p>	<p>COFF when superseded or obsolete.</p> <p>DEST 2 years from date of list. GRS 3 - 10a</p> <p>DEST 2 years after discontinuance or equipment is transferred from IG. GRS 3 - 10b</p>
660	<p>Supply and Services.</p>	
660-01	<p>Requests for Office Service and Supply Files. Documents for supplies or services required by an office.</p> <p>a. Record Copy.</p> <p>b. Extra Copy.</p>	<p>TRF to official file when action is completed (File Number 661). GRS 23 - 3b(2)</p> <p>DEST after action is taken. GRS 23 - 3b(1)</p>
661	<p>Supply Purchases. Purchase organization copy and related papers.</p>	<p>COFF on final payment or action. DEST after 3 years. GRS 3 - 4a(2)</p>
661-20	<p>Supply Requirements Reports. Reports on supply requirements and procurement matters submitted for supply management purposes.</p> <p>a. Copies received from other units for internal purposes or for transmission to staff agencies.</p> <p>b. Copies in other reporting units and related work papers.</p>	<p>DEST after 2 years. GRS 3 - 5a</p> <p>DEST after 1 year. GRS 3 - 5b</p>
662	<p>Supply Requisitions. Requisitions for supplies and equipment from current inventory.</p>	<p>COFF after completion or cancellation of requisition.</p>

File Number	Title Description	Disposition Authority
	a. Stockroom copy.	DEST after 2 years. GRS 3 - 9a
	b. All other copies.	DEST after 6 months. GRS 3 - 9b
664	Supply Inventory Control. Files containing lists and cards for control of stock.	COFF when superseded or obsolete.
	Lists.	DEST 2 years from date of list. GRS 3 - 10a
	Cards.	DEST 2 years after discontinuance of item or stock balance is transferred to a new card or recorded under a new classification. GRS 3 - 10b
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 these records disposition schedules.	DEST 2 years after date of survey action or date of posting medium. GRS 3 - 10c
665	Equipment Service Files. Requests for equipment maintenance services, excluding fiscal copies.	DEST 3 months after work is performed or request canceled GRS 11 - 5
670	Building Maintenance.	
670-02	Office Environment. Documents relating to the modification, repair, or change of office heating, lighting, ventilation, cooling, electrical, and plumbing systems, excluding fiscal copies.	DEST 3 months after work is performed or request canceled GRS 11 - 5
670-03	Office Physical Structure. Documents relating to painting, partitioning, repairing or other aspects of maintaining the office physical structure, excluding fiscal copies.	DEST 3 months after work is performed or request canceled GRS 11 - 5
670-04	Office Property Control Files. Cards, lists, hand receipts, or comparable documents showing accountable property charged to the office.	DEST when superseded or obsolete or when property is turned in or disposed of, whichever is first. GRS 23 - 1
670-05	Keys and / or Locks to an Office. Requests and other documents concerning the issue of keys and / or locks to an office.	DEST 6 months after turn-in of key. GRS 18 - 17b

File Number	Title Description	Disposition Authority
671	Building Service Files. Requests for building maintenance services, excluding fiscal copies.	DEST 3 months after work is performed or request canceled. <i>GRS 11 - 5</i>
675	Parking Control Files. Documents pertaining to issuance of permits and passes for local parking areas.	
675-10	Requests for Parking Passes Files.	DEST 3 months after pass is issued or request canceled. <i>GRS 11 - 4a</i>
675-15	Parking Passes Issued Files.	DEST 3 months after superseded or obsolete or parking pass is turned in or cancelled, whichever is first. <i>GRS 11 - 4a or GRS 23 - 1</i>
675-50	Visitor Parking Files.	DEST 3 months after pass is issued or request canceled. <i>GRS 11 - 5</i>
680	Printing Services Files. Records relating to the printing, binding, duplication, and distribution of publications.	
680-01	Printing Requisitions. Requests for printing services	
	a. Record copy.	TRF to official case file after action is taken. <i>GRS 23 - 3b(2)</i>
	b. Extra copy.	DEST after action is taken. <i>GRS 23 - 3b(1)</i>
	c. Accounting copy.	DEST 3 years after period covered by related account. <i>GRS 13 - 3b</i>
680-02	Project Control Files. Control registers or logs pertaining to requisitions and work orders.	COFF annually (FY) DEST after 1 year. <i>GRS 13 - 4</i>
680-05	Printing Services Administrative Correspondence. Correspondence files pertaining to the administration and operation of the IG Printing Section.	DEST after 2 years. <i>GRS 13 - 2</i>
680-10	Printing Services Internal Management Files. Records relating to the internal management and operation of the unit.	DEST after 2 years. <i>GRS 13 - 7</i>

File Number	Title Description	Disposition Authority
680-20	Printing Project Planning. Files pertaining to planning and other technical matters.	DEST after 3 years. GRS 13 - 3b
680-50	Printing Project Case Files. Job or project records containing all papers and data pertaining to the execution of printing jobs. Includes requisitions, invoices, specifications, and related papers.	DEST 1 year after completion of the job. GRS 13 - 3a
685	Nonpersonal Services Requisitions. Requisitions for nonpersonal services, such as duplicating and binding. Excludes records associated with accountable officer's accounts.	DEST after 1 year. GRS 3 - 8

SERIES 700
AUDITING

APPENDIX K. SERIES 700 - AUDITING**Index of Major Titles**

File Number	Title	Page
700	Auditing Program Files.	K-2
705	Inquiries and Reports Files.	K-2
710	Audit Policy and Procedures Files.	K-3
715	Audit Planning Files.	K-3
720	Audit Oversight Case Files.	K-3
730	IG, DoD Audit Followup Case Files.	K-4
735	GAO Report Followup Case Files.	K-4
750	Audit Case Files.	K-4

*OKed by M. Offield
12-88. NBM*

File Number	Title Description	Disposition Authority
700	<p>Auditing Program Files. This series covers records created or maintained by the IG, DoD in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management. <i>(accum. less than 3 cubic feet per year. 8 cub ft on hand)</i></p>	<p>Unless otherwise directed, cut off case files at the end of the CY when completed. Offer permanent records to NARA when 18 years old in 10 year blocks. <i>when most recent records are (See GRS 23) 20 years old, e.g. 1980-90 in 2010.</i> Disposition pending records are DEST after 2 years. GRS 23 - 2b</p>
	<p>a. Correspondence relating to auditing that cannot logically be filed with detailed records listed below.</p>	DEST after 2 years. GRS 23 - 2b
	<p>b. Documents relating to auditing that are received for information only and on which no action is required.</p>	DEST when no longer needed GRS 23 - 2c
701	<p>Internal IG, DoD Audits. Reports of audits and surveys that pertain to the operation of a mission or function within the IG, DoD maintained in the office audited.</p>	DEST 2 years after findings are resolved or corrected or upon completion of the next audit. GRS 23 - 2b
WITHDRAWN 702	<p>Indexes to Audit Case Files. Indexes to audit case files used to locate specific documents within the case files or used as a reference.</p>	<p>Follow the disposition instructions for the case file to which the index pertains or DEST when no longer needed GRS 23-7b</p>
703	<p>Case Control System Files. Status and historical information pertaining to personnel employed in an active auditing role within IG, DoD used for personnel planning and management of audits.</p> <p>a. Paper records.</p>	DEST when obsolete. Disposition pending. (See Privacy Act: CIG-07)
	<p>b. Machine records.</p>	DEST 2 years after they become inactive. Disposition pending. (See Privacy Act: CIG-07)
705	<p>Inquiries and Reports Files. Documents created when responding to external requests for information pertaining to the auditing function. Requests for information pertaining to the auditing function that require response from DoD Components and the Military Services.</p>	DEST after 10 years. Disposition pending. (See AI 15 1801-12)

File Number	Title Description	Disposition Authority
705-10	<p>Congressional Inquiries. Responses to Congress concerning on-going or proposed audits.</p> <p>a. Congressional or public interest or pertaining to substantial policy issues.</p> <p>b. Routine responses.</p>	<p>Permanent. <i>OK. M.O. filed 1-12-89. n 8 M</i> <i>change</i> <i>per + mt</i> <i>OK. M.O. filed 1-12-89. n 8 M</i> <i>Cut off when 5 years old.</i> Disposition pending. <i>Transfer to WNRC. Transf to the National Archives when 20 years old in five year blocks, e.g. 1980-85 in 2005.</i> (See AI 15-1801-12.1a)</p> <p>DEST after 3 years. Disposition pending. <i>Archives when 20 years old in five year blocks, e.g. 1980-85 in 2005.</i> (See AI 15 1801-12.1b)</p>
WITHDRAWN 705-20	<p>IG, DoD Generated Reports. [Internal Reports] Reports required by IG, DoD from DoD agencies or the Military Services.</p>	<p>WITHDRAWN DEST after 10 years. Disposition pending. <i>1980-85 in 2005.</i> (See AI 15 1801-12.2)</p>
WITHDRAWN 705-30	<p>[External Reports.] Reports generated by GAO, Congress, OMB, or other government agencies.</p>	<p>DEST after 10 years. Disposition pending. WITHDRAWN (See AI 15 - 1801-12.4)</p>
710	<p>Audit Policy and Procedures Files. Records defining and documenting the policies required for directing, controlling and carrying out IG, DoD audit operations.</p> <p>a. Record copy.</p> <p>b. Other copies, work papers, and background material.</p>	<p>Permanent. <i>OK M.O. filed 1-12-89. n 8.</i> <i>COFF when superseded or obsolete, Transfer to the National Archives in 5 year blocks when 30 y old, e.g. 1980-85 in 2015.</i> Disposition pending. (See GRS 25-1)</p> <p>DEST when no longer needed. Disposition pending. <i>old, e.g. 1980-85 in 2015.</i> (See GRS 25 - 1)</p>
715	<p>Audit Planning Files. Records on planning annual audit schedules and procedures pertaining to the selected audits.</p> <p>a. Record copy.</p> <p>b. Other copies, work papers, and background material.</p>	<p>Permanent. <i>OK M.O. filed 1-12-89. n 8.</i> <i>COFF when superseded or obsolete. Transfer to National Archv in 5 year blocks when 30 years old, e.g. 1980-85 in 2015.</i> Disposition pending. (See GRS 25 - 1)</p> <p>DEST when no longer needed 1980-85; Disposition pending. <i>in 2015</i> (See GRS 25 - 1)</p>
720	<p>Audit Oversight Case Files. Documents which monitor and evaluate DoD internal audit, contract audit, and internal review principles, policies, and procedures.</p>	<p>Permanent. <i>OK M.O. filed 1-12-89. n 8.</i> <i>Retire to WNRC when no longer needed. Transfer to National Arch (See AI 15-1803)</i> <i>in 5 year blocks when 30 years old, e.g. 1980 in 2011.</i> Disposition pending.</p>
	<p>[at WNRC approx 45 cub. ft. for 6 years - accum. at rate of no more than 10 cubic ft.]</p>	

File Number	Title Description	Disposition Authority
730	<p>IG, DoD Audit Followup Case Files. Documents which monitor and review DoD Components' actions on recommendations made in IG, DoD audit reports.</p> <p>a. Arbitrations of disputes between auditors and management that deal with savings or efficiencies in DoD operations.</p> <p>b. Arbitrations which establish a precedent. <i>[accum. a few inches per year]</i></p>	<p>DEST after 20 years. Disposition pending. (See AI 15 - 1805)</p> <p>Permanent. Retire to WNRC when no longer needed. <i>OK M. Offield 1-12-89 n 8m</i> Disposition pending. Transfer to the National Archives in 5 year blocks when most recent record is 30 years old, e.g. 1980 to 1985 in 2015.</p>
735	<p>GAO Report Followup Case Files. Documents which monitor and review DoD Components' actions on recommendations made in GAO audit reports.</p> <p>a. Arbitrations of disputes between auditors and management that deal with savings or efficiencies in DoD operations.</p> <p>b. Arbitrations which establish a precedent. <i>[accum. few inches per year]</i></p>	<p>DEST after 20 years. Disposition pending. (See AI 15 - 1805)</p> <p>Permanent. Retire to WNRC when no longer needed. Transfer to the National Archives in 5 year blocks when most recent record is 30 years old, e.g. 1980 to 1985 in 2015.</p>
740	<p>Contract Auditing Case Files. Case files of contract audit followup activities by the IG. Consists of reports, correspondence, and supporting work papers.</p>	<p>DEST after 6 years and 3 months Disposition pending. (See AI 15 - 1805)</p> <p><i>OK M. Offield 1-12-89 n 8m</i> years old e.g. 1980 to 1985 in 2015.</p>
WITHDRAWN 750	<p>Audit Case Files. Case files of audits on DoD agency programs, operations and procedures, and external audits conducted on contractors and grantees. Includes pre-audit planning, scheduling, and correspondence, draft and final reports, and work papers.</p> <p>a. Significant or sensitive audit case files.</p> <p>b. Routine audit case files.</p> <p>c. Referenced workpapers.</p>	<p>Permanent. (or Offer to NARA after 5 years) Disposition pending.</p> <p>DEST after 8 years. Disposition pending. (See GRS 25 - 4)</p> <p>Retain with case file. Disposition pending.</p>

File Number	Title Description	Disposition Authority
	d. Unreferenced workpapers.	DEST after next audit follow-on or after 2 years, whichever is sooner. <i>Disposition pending.</i>

SERIES 800
INVESTIGATIONS

APPENDIX L. SERIES 800 - INVESTIGATIONS**Index of Major Titles**

File Number	Title	Page
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810	Investigations Policy and Procedures Files.	L-3
815	Investigations Planning Files.	L-3
820	Reports and Surveys Files.	L-4
825	Investigative Reports Files.	L-5
830	Investigations Oversight Project Files.	L-5
840	Hotline Referral Files.	L-5
850	Criminal Investigations Case Files.	L-5
860	Discovery of Electronic Surveillance Case Files.	L-6
870	Administrative Investigations Case Files.	L-6

File Number	Title Description	Disposition Authority
800	<p>Investigation Program Files. This series covers records created or maintained by the IG, DoD in performing criminal investigation duties and responsibilities to prevent illegal activities within DoD.</p>	<p>Unless otherwise directed, cut off case files at the end of the CY when completed. Offer permanent records to NARA when 10 years old in 10 year blocks. <i>most recent records</i> Disposition pending. <i>is</i> (See GRS-25) <i>e.g. 1980-90 in 2000.</i></p>
	<p>a. Correspondence relating to investigations that cannot logically be filed with detailed records listed below.</p>	<p>a. DEST after 2 years. GRS 23 - 2b</p>
	<p>b. Documents relating to investigations that are received for information only and on which no action is required.</p>	<p>b. DEST when no longer needed. GRS 23 - 2c</p>
802	<p>Indexes to Investigation Case Files. Indexes to investigation case files used to locate specific documents within the case files or used as a reference.</p>	<p>Follow disposition instructions for the related case file or DEST when no longer needed for reference. GRS 23 - 7b</p>
803	<p>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.</p>	
	<p>a. Ledger.</p>	<p>DEST 3 years after all items of evidence have been disposed of Disposition pending. (See ARMY: 195-5a)</p>
	<p>b. Custody documents.</p>	<p>DEST 3 years after final disposition of evidence. Disposition pending. (See ARMY: 195-5a)</p>
804	<p>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.</p>	<p>DEST 10 years after termination of informant's service. Disposition pending. (See ARMY: 195-2g)</p>

File Number	Title Description	Disposition Authority
805	Polygraph Examinations. Copies of examination records and exhibit copies of polygraph examination reports. (Original copies are attached to the record copy of the Report of Investigation.)	DEST 30 years after the investigation report has been closed or completed. <i>Disposition pending</i> (See ARMY 195-6a)
806	Firearms Authorization Files. Documents authorizing investigators to carry firearms.	DEST 6 months after expiration of the authorization. <i>Disposition pending.</i> (See Army (TAFFS) 511-04)
806-20	Loss and Recovery of Firearms and Ammunition. Documents and reports relating to the loss and recovery of firearms and ammunition.	DEST after 10 years. <i>Disposition pending.</i> (See DLA 161.72)
809	Criminal Information Bulletins. 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.	DEST after 5 years or earlier when no longer needed. Selected reports containing information of current operational value may be kept past 5 years but no longer than 20 years. <i>Disposition pending.</i> (See ARMY 195-21)
810	Investigations Policy and Procedures Files. Records defining and documenting the policies required for directing, controlling and carrying out IG, DoD investigative operations. a. Record copy. b. Other copies, work papers, and background material.	<i>in change</i> <i>Per + change</i> <i>OK M. O'Field</i> <i>1-11-89</i> <i>78M</i> Permanent. COFF when superseded or obsolete. <i>WNRC</i> <i>Disposition pending. Offer to the</i> <i>(See GRS-25-1) National Archives</i> <i>in 5 year blocks when</i> DEST when no longer needed. <i>Disposition pending.</i> <i>(See GRS-25-1)</i>
815	Investigations Planning Files. Records on planning investigation schedules and procedures pertaining to the selected investigations. a. Record copy.	<i>most recent records</i> <i>is 20 years old, e.g.</i> <i>1980-85 in 2005.</i> Permanent. COFF when superseded or obsolete. <i>Transfer to</i> <i>Disposition pending. WNRC. Offer</i> <i>(See GRS-25-1) to the National</i> <i>Archives in 5 year block</i> <i>when most recent records</i> <i>is 20 years old, e.g.</i> <i>1980-85 in 2005.</i> <i>OK M. O'Field 1-11-89</i> <i>78M</i>

File Number	Title Description	Disposition Authority
	b. Other copies, work papers, and background material.	DEST when no longer needed. Disposition pending. (See GRS-25-1)
818	Liaison and Jurisdictional Agreements. 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.	Permanent. <i>Transfer from</i> Disposition pending. <i>to National</i> (See AF 124-7 4) <i>archives when most recent record is 10 years old, in 10 year blocks, e.g. 1980-90 in 2000. (see 800)</i>
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 DoD Components and Military Services.	
820-10	Congressional Inquiries. Responses to Congress concerning on-going or proposed investigations.	
	a. Public interest or pertaining to substantial policy issues.	Permanent. Disposition pending. (See AI 15 1801-12.1a)
	b. Routine responses.	DEST after 3 years. Disposition pending. (See AI 15 1801-12.1a)
820-20 WITHDRAWN	IG, DoD Generated Reports. [<i>Internal Reports</i>] Reports required by IG, DoD from DoD agencies or the Military Services.	DEST after 10 years. Disposition pending. (See AI 15 1801-12.2)
820-30 WITHDRAWN	[<i>External Reports.</i>] Reports generated by or for GAO, FBI, DO, or other government agencies.	DEST after 10 years. Disposition pending. (See AI 15 1801-12.4)
822	Fraud/Criminal Briefings. Reports, correspondence, and related records on fraud mission briefings.	DEST after 3 years. Disposition pending. (See AF 124-7 28)
822-20 <i>withdrawn</i> WITHDRAWN	Analysis of Criminal Offenses and Trends. Special studies and reports, summaries, charts, graphs and statistical data that provide current information on types of crimes, methods used, reasons, and trends.	DEST after 6 years Disposition pending. (See AF 124-7 30)

OK M. Offield
1-11-89 218M

→ Transfer to WNRC.
Transfer to the National Archives in 5 year blocks when most recent record is 20 years old, e.g. 1980-8: in 2005

File Number	Title Description	Disposition Authority
822-50	Fraud Prevention Surveys. <i>and reports provided for</i> Information requested for the prevention of fraud in government operations and contract agreements. <i>Surveys and background papers data, not including final reports.</i>	DEST after 10 years. Disposition pending. (See Privacy Act CIG-06)
825	Investigative Reports Files. Reports submitted and received by IG, DoD which pertain to specific investigations.	
825-10 <i>see 850</i>	Report of Investigation (ROI) Files. Official Reports of Investigations including any attachments, prepared by IG, DoD or other DoD, Federal, state, or local official investigative activities.	DEST after 30 years. Disposition pending. <i>see disposition for Item 850</i>
825-20 XXXXXXXXXX	Information Summary Report (ISR) Files. Unsolicited information of a criminal nature received by IG, DoD concerning persons or incidents which are of direct interest to other DoD components or Federal agencies.	DEST after 2 months. Disposition pending. (See Privacy Act CIG-06)
825-50	Reciprocal Investigations. Reports, statements, affidavits, correspondence, and related records pertaining to specific investigations accomplished for and at the request of a local, state, or federal investigative agency in the US or host country investigative agency overseas.	DEST after 15 years. Disposition pending. (See AF 124-1 8)
830	Investigations Oversight Project Files. Documents which monitor and evaluate DoD internal investigations, external (contractor) investigations, and internal review principles, policies, and procedures.	Permanent. Retire to WNRC when no longer needed for current operations. Disposition pending. (See A115-1803) <i>(see 800 for transfer instructions)</i>
840	Hotline Referral Files. Correspondence, preliminary investigations, and memoranda of telephone conversations pertaining to complaints received by the IG, DoD Hotline. a. Not referred. Includes anonymous or vague allegations not warranting an investigation, b. Referred. Matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in IG investigations.	 DEST after 1 year. Disposition pending. (See GRS 25 - 3a) DEST after 5 years. Disposition pending. (See GRS 25 - 3a)
850	Criminal Investigations Case Files.	

File Number	Title Description	Disposition Authority
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850 Criminal Investigations Case Files. Case files of investigations of alleged violations of laws, regulations, and directives by DoD agency personnel and external investigations conducted on contractors and grantees. Includes reports, statements, affidavits, correspondence, and related records pertaining to specific investigations.

a. Cases begun in 1985 and before.
Permanent. Transfer closed cases to the National Archives when 30 years old, in 5 year blocks, e.g. 1981 through 1985 in 2015. National Archives staff will have the authority to select and destroy routine 30 year old cases which lack enduring value, i.e. are not significant or sensitive.

b. Cases begun in 1986 and after, filed by Case Category Code under a computer assigned number; and the electronic index used to retrieve the cases. Disposition not authorized.

860	<p>Discovery of Electronic Surveillance Case Files. Original and subsequent requests from DOJ and replies from DoD Components and OSD pertaining to motions for discovery of electronic surveillance.</p>	<p>Permanent. TRF to WNRC 2 years after project is completed. Disposition pending. (See Privacy Act CIG-05)</p>
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870	<p>Administrative Investigations Case Files. Complaint files, inquiries, replies, comments, and other documents relating to administrative investigations.</p>	<p>DEST after 10 years. Disposition pending. (See GRS-25-37)</p>
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routing
& routine administrative procedures.

SERIES 900
INSPECTIONS

APPENDIX M. SERIES 900 - INSPECTIONS**Index of Major Titles**

File Number	Title	Page
900	Inspections Program Files.	M-2
905	IG Inquiries.	M-2
910	Inspections Policy and Procedures Files.	M-2
920	Inspections Planning Files.	M-3
930	Inspection Procedures and Administration.	M-3
940	Inspections Review and Analysis.	M-4
950	Inspections Case Files.	M-4

File Number	Title Description	Disposition Authority
900	<p>Inspections Program Files. This series covers records relating to planning and conducting IG inspections, inquiries, and surveys to prevent and reduce waste and fraud.</p> <p>a. Correspondence relating to the IG inspections function that cannot logically be filed with detailed records listed below.</p> <p>b. Documents relating to the IG inspections function that are received for information only and on which no action is required.</p>	<p>Unless otherwise directed, cut off at the end of the CY. Offer permanent records to NARA when 10 years old in 10-year blocks. Disposition pending. (See GRS-25)</p> <p>a. DEST after 2 years. GRS-23-2b</p> <p>b. DEST when no longer needed GRS-23-2c</p>
901	<p><i>routing</i></p> <p>Internal Office Inspections and Surveys Documents relating to inspections and surveys of internal IG, DoD operations and procedures.</p>	<p>DEST after 1 year or after next survey or inspection. GRS-23-1</p>
902	<p>Indexes to Inspections Case Files. Indexes to case files used to locate specific documents within the case files or used as a reference.</p>	<p>Follow disposition instructions for the related case file or DEST when no longer needed for reference. GRS-23-7</p>
905	<p>IG Inquiries. Complaint files, inquiries, replies, comments, and related documents relating to the IG inspections function but not appropriate for filing with inspections case files.</p>	<p>DEST after 10 years. Disposition pending. (See AI 15 1801-12.2)</p>
910	<p>Inspections Policy and Procedures Files. Reports defining and documenting the policies and procedures required for directing, controlling, and carrying out inspection program operations.</p> <p>a. Record copy.</p> <p>b. Other copies, workpapers, and background material.</p>	<p>Permanent. COFF when superseded or obsolete Disposition pending. (See GRS-25-1a)</p> <p>DEST when no longer needed for current operations or reference Disposition pending. (See GRS 25 - 1b,c)</p>

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 M-2

→ Retire to WNRC. Transfer to the National Archives in 5 year blocks when most recent record is 25 years old, e.g. 1980-85 in 2010.

File Number	Title Description	Disposition Authority
920	Inspections Planning Files. Documents on planning and developing inspections schedules and procedures that pertain to the scheduled inspections.	
920-10	Inspections Universe. Documents relating to the universe of DoD organizations and activities that are subject to IG inspection coverage. Accumulated for reference and research in developing concept plans and establishing long-range inspections schedules.	Review annually. DEST when no longer needed for reference or when obsolete or superseded. GRS 23 - 6
920-20	Inspections Schedules. Documents accumulated in planning and preparing long range inspection schedules. Includes announcements, approvals, requests for changes, and related papers. a. Record copy. b. Other copies, workpapers, and background material.	<i>pen + ink change OK M. O'ffield 12-88 N&M</i> Permanent. COFF when superseded or obsolete. <i>Return to</i> Disposition pending, WNRC. Transfer <i>(See GRS 25-1a) to the National Archives in 5 year blocks when</i> DEST when no longer needed for current operations or reference. Disposition pending. <i>(See GRS 25-1b,c)</i>
920-30	Mandatory / Special Interest Items for Inspection. 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.	DEST after 10 years. Disposition Pending.
930	Inspection Procedures and Administration. Documents relating to general, day-to-day administrative procedures and processes of planning, preparing for, and conducting individual inspections.	
930-10	Inspection Concept Development. 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.	<i>most recent record is → 25 years old, e.g. 1980-85 in 2010.</i>

File Number	Title Description	Disposition Authority
	a. Approved concept.	TRF to File Number 950 (Inspections Case Files) when the inspections team is established and operational.
	b. Disapproved concept.	TRF to File Number 920 - 10 (Inspections Universe).
930-20	Inspection Administration. Documents accumulated that relate to the general, day-to-day activities of individual 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.	DEST 2 years after Inspections Report is completed. <i>Disposition pending.</i> (See GRS 23 - 1)
940	^{<i>Procedures + Methods</i>} Inspections Review and Analysis. Documents created in the process of evaluating the outcome and impact of an IG 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.	COFF on completion of the project. ^{<i>10 years</i>} DEST after ^{<i>4 years</i>} years. ^{<i>m. offfile</i>} <i>Disposition pending.</i> ^{<i>1-31-89</i>} (See AI 15 201-09)
950	Inspections Case Files. Documents accumulated from inspections conducted by IG, DoD. Includes inspection reports and related work papers pertaining to general and special inspections.	Permanent. COFF on completion of the Inspections Report. Retire to WNRC after the third inspection. ^{<i>(see 900 for transfer instructions)</i>} <i>Disposition pending.</i>
	<i>(less than 10 cub. ft. on hand per year accum.)</i>	