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|---|------------------------------------|---|---|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b><br><i>(See Instructions on reverse)</i>                  |                                    | LEAVE BLANK   |   |
| TO <b>GENERAL SERVICES ADMINISTRATION<br/>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b> |                                    | JOB NO<br><b>N1-170-86-1</b>  | DATE RECEIVED<br><b>5-7-86</b>                          |
| 1 FROM <i>(Agency or establishment)</i><br><b>Drug Enforcement Administration</b>                         |                                    | NOTIFICATION TO AGENCY  |   |
| 2 MAJOR SUBDIVISION<br><b>Office of Administration</b>  |                                    | 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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. |   |
| 3 MINOR SUBDIVISION<br><b>Records Management Section</b>  |                                    |   |   |
| 4 NAME OF PERSON WITH WHOM TO CONFER<br><b>James L. Greene</b>  | 5 TELEPHONE EXT<br><b>633-1130</b> | DATE<br><b>10/23/86</b>   | ARCHIVIST OF THE UNITED STATES<br><i>James A. Burke</i> |
| 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 six 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<br><b>5-6-86</b> | C SIGNATURE OF AGENCY REPRESENTATIVE<br><i>James L. Greene</i> | D TITLE<br><b>Records Officer</b> |
|-------------------------|--|-----------------------------------|

| 7 ITEM NO | 8 DESCRIPTION OF ITEM<br><i>(With Inclusive Dates or Retention Periods)</i>  | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN<br><i>(NARS USE ONLY)</i> |
|-----------|--|----------------------------------|---|
| 1.        | <p><u>File No. 160-01</u></p> <p><u>Manpower Authorization Files.</u> Documents and supporting papers reflecting manpower spaces allocated to operating activities of DEA. Included are manning levels, or other instruments which limit, increase, or decrease the number of personnel allocated to specific organizational segments of DEA and related documents.</p> <p><u>Disposition:</u> a. Office responsible for DEA-wide allocation: *Destroy 10 years after date of allocation document.* b. Other offices: Destroy 3 years after date of allocation document.</p> |                                  | 24 items                                  |

2. File No. 180-1

A-123 Regulations, Policies, and Guidelines Files. Documents contain the authority and guidelines for implementation of the Federal Managers' Financial Integrity Act of 1982. Specific documents include Public Law 97-255, OMB Circular No. A-123, OMB Guidelines for the Evaluation and Improvement of and Reporting on Internal Control Systems in the Federal Government, GAO Standards for Internal Control in the Federal Government, GAO Audit Guides to Review Implementation of the Federal Managers' Financial Integrity Act: The First Year, and the DOJ Guide for the Implementation of the Federal Managers' Financial Integrity Act.

Disposition: Destroy when superseded or obsolete.

3. File No. 180-02

A-123 Tracking and Reporting System Files. Documents are the annual statements to the Attorney General, the President, and the Congress. This file also contains documents which establish internal reporting in accordance with published guidelines and scheduling, monitoring, and reporting documents relating to vulnerability assessments, internal control reviews, and corrective actions which are used to support the annual written assurances from the Administrator to the Attorney General.

Disposition: a. Office performing DEA-wide A-123 management oversight: Destroy 10 years after submission of DEA. b. Other offices: Destroy 6 years after completion of internal review actions.

4. File No. 180-03

A-123 Audits and Reviews. Documents relating to internal and external reports of audit on DEA's implementation of the Federal Managers' Financial Integrity Act of 1982. Included are notices of intent to audit, copies of documents furnished to auditors, reports of findings and recommendations, draft reports, final reports, follow-up progress reports, responses to reports, and any other related documents.

\*\* Addition

Disposition: Office performing DEA-wide A-123 management oversight: Destroy 10 years after final report, expect draft reports may be destroyed on receipt of final report. Other Offices: Destroy 6 years after final report.

5. File No. 180-04

A-123 Inventory of Assessable Units. Documents identifying the segmentation of all DEA programs and administrative functions in each organizational element for the purpose of evaluating systems of internal control. The inventory is a comprehensive coverage of each organization's activities.

Disposition: a. Office performing DEA-wide A-123 management oversight: Destroy 10 years after completion of internal review action. b. Other offices: Destroy 6 years after completion of internal review actions.

6. File No. 180-5

A-123 Committee Files. Documents related to establishing, operating, and dissolving committees which consider, advise, take action, and report on A-123. They include DOJ and other inter-agency A-123 committees in which DEA participates.

Disposition. a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

7. File No. 180-06

A-123 Performing Work Plans. Documents related to incorporating Internal Control Systems as an element in program managers' Performance Work Plans; certifications that the A-123 element has been added and discussed with subordinates; and sample element statements. Does not include individual Performance Work Plans.

Disposition. a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 10 years old.

8. File No. 180-07

A-123 Training Files. Documents related to conducting A-123 training courses. Included are curricula, schedules, lesson plans, rosters of attendees, and critiques. Both in-house DEA and formal training course data is included.

Disposition: a. Office performing DEA-wide A 123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

File No. 180-08

Open.

File No. 180-09

Open.

9. File No 180-10 through 180-40

A-123 Process Files by Organizational Component. Documents related to the performance of vulnerability assessments, conducting internal control reviews, and implementing corrective actions for each assessable unit identified in the inventories of DEA components, programs, and administrative functions. Assessable unit files are in numerical order of the identifier log numbers assigned by the program office for A-123 management oversight; each assessable unit is to have a separate folder. The basic file number for each organizational component is listed below.

Disposition: a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

|        |                                    |
|--------|------------------------------------|
| 180-10 | A-123/Reserved                     |
| 180-11 | A-123/Accounting                   |
| 180-12 | A-123/Administrative Law Judge     |
| 180-13 | A-123/Budget                       |
| 180-14 | A-123/Chief Counsel                |
| 180-15 | A-123/Congressional Affairs        |
| 180-16 | A-123/Diversion Control            |
| 180-17 | A-123/Equal Employment Opportunity |
| 180-18 | A-123/General Services             |
| 180-19 | A-123/Information Systems (ADP)    |
| 180-20 | A-123/Inspections                  |
| 180-21 | A-123/Intelligence                 |
| 180-22 | A-123/International Programs       |
| 180-23 | A-123/Investigative Support        |
| 180-24 | A-123/Management Analysis          |
| 180-25 | A-123/Operations Drug Desks        |
| 180-26 | A-123/Operations Management Staff  |
| 180-27 | A-123/Personnel                    |
| 180-28 | A-123/Planning and Evaluation      |
| 180-29 | A-123/Professional Conduct         |

180-30 A-123/Professional Responsibility  
180-31 A-123/Public Affairs  
180-32 A-123/Records Management  
180-33 A-123/Science and Technology  
180-34 A-123/Security Programs  
180-35 A-123/Training\*\*

10. File No. 501-05

Equal Employment Opportunity Special Emphasis Program Files. Documents created in developing, coordinating, executing, and disseminating guidance relative to specific EEO programs that are designed to improve hiring, promotion, training, and assignment of DEA employees. Included are the Federal Women's Program and the Spanish-Speaking Program.

Disposition: \*Destroy 5 years after termination of program.\*

11. File No. 570-04

Performance-Based Action Files. Documents reflecting the results of performance-based actions such as appeals, grievances, removals, demotions, within grade increases, etc. Included are the employees rating documents, responses in mitigation, decisions delivered, review decisions, and similar or related documents.

Disposition: Destroy 3 years after final resolution.\*

12. File No. 570-05

Retirement Files. Documents reflecting an employee's retirement application, accrued benefits, and associated papers related to the employee's retirement eligibility.

Disposition: Destroy 3 years after approval or disapproval for retirement.

13. File No. 570-06

Fitness for Duty Files. Documents related to determination of an employee's fitness for duty in DEA.

Disposition: Destroy 3 years after case is closed.

14. File No. 570-07

Health/Life Insurance Files. Documents used in determining health and/or life insurance benefits for which an employee is eligible.

Disposition: Destroy 3 years after final resolution.

15. File No. 570-08

Death Claim Files. Documents relating to determination of benefits to an employee's estate or to survivors.

Disposition: Destroy 3 years after final resolution.

16. File No. 1170-07

Mail Survey Files. Reports containing semi-annual mail survey data and other special mail counts and survey information.

Disposition: \*Destroy when 6 years old.\*