12-27-88

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO: N1-170-89-1

DATE RECEIVED: 12/27/88

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

1 FROM *(Agency or establishment)*: Drug Enforcement Administration

2 MAJOR SUBDIVISION: Office of Administration

3 MINOR SUBDIVISION: Records Management Section

4 NAME OF PERSON WITH WHOM TO CONFER: James L. Greene

5 TELEPHONE EXT.: 633-1130

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 If no records are proposed for disposal, the signature of the Archivist is not required

DATE: 6/15/90

ARCHIVIST OF THE UNITED STATES: [signature]

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 169 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	C. SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
Dec 22, 88	James L. Greene	Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM *(With Incluswe Dates or Retention Periods)*	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN *(NARS USE ONLY)*
	Attached for approval by NARA is the DEA's records schedule (Appendix 0750A). The current GRS numbers and previous job citations have been annotated beside the applicable items within the schedule.		

All changes to this proposed schedule have been approved by:

NARA appraiser — 5/18/90 date — Agency representative — 6/15/90 date

115-108 Copies sent to NCF, NNL, NNS, NNX, NNT, NN-W, NNA 6/15/90

NSN 7540-00-634-4064

STANDARD FORM 115 (REV 8-83)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

APPENDIX A
PROPOSED SUBSTANTIVE ADDITIONS AND REVISIONS
N1-170-89-1

CHAPTER 300

360-07i Enacted Laws Affecting DEA. Change disposition to: Destroy when no longer needed for reference.

370-03i News Media and Release Filesi Eliminate references to GRS 21. Note possible restriction of videos under subsection (b)(7)(E) and (F) of the Freedom of Information Act. Revise sub-items as follows: Office(s) of record:
a. Press releases and official speeches of the Administrator and other high-level officials: PERMANENT. Cut off at the close of an Administrator's tenure. Transfer to the WNRC 2 years after cutoffi Transfer to the National Archives 15 years after cutoff.
b. Other textual documentation: Destroy five years after public release.
c. Other textual documentation held by other offices: Destroy five years after public release.
d. Slides and transparencies: PERMANENT. Transfer to the National Archives in five-year blocks when the most recent record is ten years old.
e. Photographic prints: PERMANENTi Transfer to the National Archives in 1999i Earlier transfer authorized.
f. Videotapes and scripts: PERMANENT. Transfer original, one copy and script annually to the National Archives when five years oldi

370-15i DEA Publicationsi Revise sub-items as followsi Office of Record:
a. DEA World, or its successor publication: Destroy when no longer needed for reference.
b. All other publications: PERMANENT. Transfer annually to the WNRC. Transfer to the National Archives when five years oldi
c. Copies held by other offices: Destroy when three years oldi

380-04 and -24i FOIA and Privacy Act Reports Filesi As both series are presently filed under item -04, filing practices should either be changed or item -24 eliminated. Revise disposition as follows: Cut off annually. Transfer to the WNRC when 10 years old. Destroy when 30 years old.

CHAPTER 600

620-02e Demand Reduction Project Files. Revise sub-items as follows:
a. Headquarters Project Files: PERMANENTe Retire to the WNRC when 5 years old. Transfer to the National Archives when 15 years olde
b. Quarterly Reports from field divisions: PERMANENT. Disposition instructions as above.
c. All other records: Temporary disposition as provided.
d. Other offices: " "

630-08e Manufacture and Procurement Quota Files. Revise description to specify that the annual statistical summary (part of the permanent sub-item) is the public use version of the DADS Fourth Quarter (cumulative) Report, based on data from item 1220-10e

CHAPTER 700

701-04e Strategic Intelligence Product Files. Update series description, if necessary, to reflect the current moribund state of Quarterly Intelligence Trends. Change transfer date to 30 years.

701-09e Audiovisual Records (recommended additional item)e Videotapese, maps, and photographic slides prepared respectively for briefings and program documentation.
a. Videotapes: Destroy when superseded or obsoletee
b. Maps: PERMANENT. Transfer to the National Archives in five-year blocks when the most recent record is five years olde
c. Slidese PERMANENTe Transfer when no longer needed to the central collection maintained by the agency photographer, item 370-03e Transfer to the National Archives under the disposition instructions provided for that item.

790-10e Photographs (recommended additional item)e Records created or accumulated by the intelligence units of EPIC to document suspect vessels, and interdiction efforts such as methods of concealment, types of vehicles used for smuggling, and so forthe
a..Maritime Unit. Destroy five years after date of last action on suspect vessel.
b. General Unit. Disposition not authorized (schedule to

be provided by agency in near future).
NOTE: The Air Unit does not maintain a separate photograph file.

790-11. EPIC Publications (recommended additional item). Printed reports documenting EPIC program goals and efforts. Topics covered include vessel identification and registration; land, sea, and air narcotics smuggling; assessment of various criminal activities; and evaluation of interdiction methods. The reports date back to the early 1980s. PERMANENT. Transfer one copy of each original and revised title to the Records Management Unit of DEA, which will retire the documents to the WNRC. Future titles will be retired to the WNRC when accumulation reaches one cubic foot. Transfer to the National Archives when most recent record is 30 years old.

CHAPTER 800

830-02. Training Aids Files. Eliminate references to GRS 21 in both description and disposition. Note applicability of subsection (b)(7)(E) and (F) of the Freedom of Information Act. Revise dispositions of permanent sub-items as follows: (a) Audiovisual material: PERMANENT. Transfer annually when records are five years old. (b) Lesson plans and other textual documentation: PERMANENT. Retire to WNRC when five years old. Transfer to the National Archives when 30 years old.

CHAPTER 900

Section 920, Hazardous Waste Disposal Files, Items -03 through -07. Recommend withdrawl and future resubmission of these items, as either no records or records insufficient for an valid appraisal have been generated. Description and disposition of item -03 should be revised to provide for permanent and temporary sub-items.

940-05. Project Case Files. Revise disposition as follows:
a. Final project or phase report, or analogous documentation such as final test data or evaluation reports: PERMANENT. Retire to the WNRC when 20 years old. Transfer to the National Archives when 30 years old.
b. Other documentation: Destroy 15 years after completion, termination, or cancellation of the project.

CHAPTER 1200

1220-06. Defendant Data (Statistics) Systems Files. Revise description to eliminate references to Bureau of Prisonsi Revise disposition as follows: Data sets and related documentation: PERMANENT. Transfer annually to the National Archives, in accordance with 36 CFR 1228i

1220-50i Trafficker Filesi Revise description to reflect current moribund statusi

APPENDIX B
ITEM REVISIONS, CITATIONS,
AND OTHER CORRECTIONS TO N1-170-89-1

NOTE: DEA should provide citations to prior authorities for all previously approved items. Assume NIR concurrence unless otherwise noted.

CHAPTER 000

010-01. Suspense Files. Authority should be GRS 23/6.

010-02. Office General Management Files. Authority should be GRS 23/1 and 7c.

010-05. Office Staff Meeting Files. New temporary item, not noted as such.

010-06. Office Monthly Report Files. Authority should be GRS 23/1.

020-06. Employee Travel Summary Files. New temporary item, not noted as such. (This doesn't quite seem to fit any particular category in GRS 9.)

060-04. Committee and Conference Files. Authority for sub-items a.3 and b.3 should be GRS 16/8.

CHAPTER 100

101-01. Emergency Planning Files. Authority should be GRS 18/27.

110-01. Organization Planning Files. Revised disposition instructions, not noted as such.

150-01. Management Survey Case Files. DEA should determine the applicability of GRS 22/2 to sub-items a.2 and b.

170-02. Inspection and Audit Files. Authority for sub-items a.2 and b. should be GRS 22/2; retention should be lengthened accordingly or deviation justified.

170-03. Inspection and Audit Support Files. New temporary item; retention should be lengthened or deviation justified if GRS 22 applies.

190-06. Policy and Program Evaluation Administrative Correspondence Files; and

190-07. Policy and Program Evaluation Background Files. New temporary items, not noted as such.

CHAPTER 200

201-03. Integrity Case Files. Five-year increase in retention.

201-04. Integrity General Files. Minor changes in description, five-year increase in retention.

210-01. Personnel Security Clearance Files. Descriptive information should be removed from the disposition statement and reintegrated into the descriptive section.

210-02. Personnel Security Liaison Files. Description and title of this item does not coincide with the existing citation; the discrepancy should be justified or corrected. Disposition also refers to directives, which are not cited in the description.

210-04. Personnel Security Clearance Status Files. Correct GRS citation is 18/23, instead of 18/24.

210-05. Security Violations Files. Correct GRS citation is 18/24, instead of 18/25.

220-02. Security Regrading Case Files. Description incomplete.

220-08. Top Secret Material Accountability Files. Authority should be GRS 18/5.

220-09. Security Compromise Files. Three-year increase in retention.

220-10. Facilities Survey and Inspection Files. Authority should be GRS 18/9 & 10 (sub-items a. and b. respectively.)

240-03. Parking Permit Control Files. Previously approved. GRS 11/4 does not seem applicable; that item seems directed at ID, not the process of assigning spaces.

240-06. Visitor Control Files. Authority should be GRS 18/17; retention should be lengthened or deviation justified.

240-07. Security of US Government Property. Authority should be GRS 18/12; revise disposition to concur.

CHAPTER 300

301-01. Legal Opinion Review Files. Needs further transfer instructions on sub-item a.i(i1).

Section 310 - Claim Investigating and Processing Files. DEA should determine the applicability of GRS 6/10.

330-06. Civil Seizure and Forfeiture Files. New temporary item. Add cutoff instructions: Cut off on close of case (seizure, forfeiture, sale, or return of property).

CHAPTER 400

401-05. Unpaid Purchase Order Files; and

401-07. Unpaid Government Travel Request Card Files. Provide justification for cutting off an open file.

401-13. Imprest Fund Account Files; and

401-17. Certificate of Deposit Files. Descriptions should be corrected to eliminate references to obsolete forms.

401-25. Obligation Control (Log) Register Files. Disposition has been altered from that previously approved. This should be either justified or corrected.

Section 410 - Summary Accounting Files. DEA should determine applicability of GRS 7 and GRS 8.

480-01. Supplemental Regulations, Policies, and Decision Files. Item description has been substantially revised from the previous citation; this was not noted.

480-02. Contracting Authority and Administration Files;

480-03. Recurring Procurement Reports Files;

480-04. Procurement Reviews, Inspections, and Audit Files;

480-05. Procurement Misconduct Files; and

480-08. Unsolicited Vendor Proposal Files. New temporary

items, not noted as such. Retentions should be six years and three months.

490-01e Small Purchase Files. Substantially revised, without notation, from previously approved item. Authority should be GRS 3/3a2.

490-02e Interagency Procurement Agreement Files. Revision problem as above. Cite GRS 6/1a as authority, with retention of six years and three months.

490-03e Contract Files. As above. Authority should be GRS 3/3a1.

490-04e Tax Exemption Certification Files. As above. Authority should be GRS 3/12; longer retention should be justified or altered.

CHAPTER 500

501-03e Equal Employment Opportunity Complaints System Files. Authority should be GRS 1/25a; longer retention should be justified or altered.

510-06e Personnel Correspondence Files. New temporary item, not noted as such. Authority should be GRS 1/3.

520-08e Payroll Correspondence Files. As above. Authority should be GRS 2/2.

520-09e Attendance and Leave Files. No previous citation for this item. Retention is two years longer than analogous GRS items; this should be justified.

540-02. Acive Employment Application Files. Authority should be GRS 1/15e

540-03e Inactive Employment Application Files. As above.

540-05e Requests for Information Files. As above; authority should be GRS 1/15e

550-01. Official Personnel Folder Files. Authority should be GRS 1/1 and 10.

550-03e Employment and Financial Interest Statement Files. Authority should be GRS 1/24e

550-04e Notification of Personnel Action Files. Authority

should be GRS 1/14a & b for sub-items a. and b. respectively. Longer retention should be justified or altered.

560-01. Referral and Selection Files: Authority should be GRS 1/32c

570-03: Misconduct Appeal and Grievance Case Files;

570-04: Performance-Based Action Files; and

570-10: Disciplinary/Adverse Action Files: Authority should be GRS 1/30i

570-12: Personnel Welfare and Grievance Program Management Files: New temporary item, not noted as such.

570-14: SAC/CA Rating Input Files: DEA should determine the applicability of GRS 1/23i (Retention would need to be increased, if applicable.)

580-03: Retention Register Files: Authority should be GRS 1/17b.

590-01. Incentive Awards Program Management Files: As above, under GRS 1/12a. (Longer retention would need to be justified.)

590-04: Employee Suggestion Control and Subject Index Files: Authority should be GRS 1/12d.

CHAPTER 600

601-12: Other Field Office Investigative Files: Revised temporary item, not noted as such.

630-05: Resistration Applications Files: Apparent lengthening of series retention is actually correction of a typographical error in the previous schedule.

CHAPTER 800

860-09: Physical Fitness Program Files; and

860-10. Course Announcement Files: New temporary items, not noted as such.

CHAPTER 900

980-04i Telephone Toll Tickets. New temporary item, not noted as such. Authority should be GRS 6/8.

CHAPTER 1000

1001-04. Health Services Program Management Files; and

1001-05. Employee Assistance Program Files. New temporary items, not noted as such.

1040-01. Accident Case Files. Can be covered in part by GRS 10/5.

CHAPTER 1100

1110-01. Facilities Utilization Files. Authority should be GRS 11/2a.

1110-02. Floor Plan Files. This item also includes architectural renderings, blueprints and photographs, which should be noted in the description. Authority should be GRS 11/2a, with disposition altered to concur.

1120-04. Vehicle Operating Cost and Performance Reporting Files. Authority should be GRS 10/4. Disposition should be slightly altered or deviation justified.

1120-05. Vehicle Disposition Files. Authority should be GRS 10/6. (As above).

(NOTE: I don't think the GRS applies to the balance of this section, as many of their vehicles are seized rather than purchased.i)

1140-01. Travel Request Files;

1140-02. Conference Travel Files; and

1140-04. International Shipment Files. Authority should be GRS 9/1; DEA should determine applicability of sub-items.

1140-05. Tour Renewal Travel Files. (Title has been amended.i) New temporary item; disposition concurs with both GRS 9/1b and 3a. DEA should determine which item applies.

1150-02. Printing Report Files. Authority should be GRS 13/5e Disposition should be altered to concur or deviation justified.

1150-04e Printing Job Jacket File. Authority should be GRS 13/2a. Disposition should be altered to concur or deviation justifiede

1150-05e Illustration and Drawing Files. Authority should be GRS 21/6.

1150-06e Photographic Negative Files. Authority should be GRS 21/7; disposition should be rewritten to concur.

1170-01. Mail Loss and Shortage Filese Authority should be GRS 12/8.

1170-02e Mail Routing Guide Filese Authority should be GRS 12/6h.

1170-03e Accountable Mail Receipt Filese Authority should be GRS 12/5a. (Alter disposition or justify deviation.)

1170-04e Mail Control Files. Authority should be GRS 12/6a.

1170-06e Mail Production Files. Authority should be GRS 12/6d. (Alter disposition or justify deviation.)

1170-08e Mail Program Management Files. New temporary item. Is six years necessary?

CHAPTER 1200

1201-01e Data Systems Specifications Files. Authority for sub-items a. and b. should be GRS 20/11e Sub-item c. should either be eliminated or changed to permanente

1201-02. System Test Documentation Files. Authority should be GRS 20/1a.

1201-03e File Specifications Files. See 1201-01e

1201-04e User Guide Files; and

1201-05e Output Specifications Files. Authority should be GRS 20/11e

1201-06e ADP Report Files. As several of the printed

reports (ARCOS, EPIC, etc.) are now recommended for permanent retention, description/content of this item should be clarified. It should either be eliminated or rewritten to conform to GRS 20/11.

1201-07. Information Retrieval Routine Files. DEA should determine applicability of GRS 20/10 to sub-items a. and b. Sub-item c. should be changed to permanent, with a more specific description, or eliminated.

1201-08. ADP/Telecommunications Service Files. New temporary item. Will one year be sufficient?

1210-01. ADP Work Files. Authority should be GRS 20/1b. Disposition should be clarified.

1210-02. ADP Test Files. Authority should be GRS 20/1a.

1210-03. Initial Data Abstract Files. Authority should be GRS 20/2b.

1210-04. Initial Data Reference Files. Authority should be GRS 20/2c.

1210-05. Initial Data Card/Tape Abstract Files; and

1210-06. Initial Data Source Files. Authority should be GRS 20/2a. Are references to punch cards and paper tape still valid?

1210-07. Intermediate Data Input/Output Files; and

1210-08. Valid Transaction Files. Authority should be GRS 20/1b.

1210-09. Information Retrieval System Master Reference Files. DEA should determine applicability of GRS 20/3. Descriptive information should be removed from the disposition statement.

1210-10. Security Backup Files. Authority should be GRS 20/8b, assuming, of course, that the series is disposable.

1220-01. Housekeeping System Master Files. Authority should be GRS 20/3. Replaced systems should be listed. If the functions of this item have actually been taken over by specific systems such as 1220-16 and -17, it should be deleted.

1220-02. Statistical Master Files. As above.

1220-03. Re-Formatted Files. Authority should be GRS 20/7.

1220-05i Samples, Subsamples, . . . Files. Documents created under this item are used for testing or one-time specific inquiries. Both description and disposition should be clarified and revised; latter should be rewritten to provide for both public access and non-public access records. DEA should determine the applicability of GRS 20/5i

1220-16i Training Information Management System Files (TIMS)i This system automates the SF182, which is covered by GRS1/1i DEA should ensure that the disposition does not conflicti

1220-18i . . . (FRAS) Files. DEA should determine the applicability of GRS 23/8i

1220-19. . . . EMIS I Files. The money list subsystem was cancelled approximately two years ago; this item should be deleted. CAST is essentially a management tool used to monitor workloads and activities.

1220-21. i .i. EMIS II Files. Development was frozen due to lack of resources; unless it is thawed in the near future, this item should be eliminated.

1220-22i Celing Control System Files. DEA should determine the applicability of GRS 1/14b. Retention would need to be increasedi

1220-23i Agents Application System Files. DEA should determine the applicability of GRS 1/33k.

1220-26i Workmen's Compensation System Files. DEA should determine applicability of GRS 1/34i Disposition should specify actual point of deletion.

1220-27. Freedom of Information (FOI) Files. Authority should be GRS 14/13i

1220-28. Vehicle Management System (PVS) Files. DEA should determine the applicability of GRS 10i

1220-34i Computer Inventory Systems Files. DEA should determine the applicability of GRS 23/1i

1220-40i Vessels Electronic Files. This is a small and inactive system; description should be updated accordingly.

1220-41. Vessel USCG 408 File. This is a relatively inactive copy of a Coast Guard file of registration data, updated by tape every three or four years. The agency expects to update this function with a new system when resources permit. Description should be revised to reflect current statuse

1220-42. WATCH Files. DEA should determine the applicability of GRS 18/6e

CHAPTER 1300

1301-01. Forms Mangement Reporting Files;

1301-02. Forms Numerical Files (Internal)e and

1301-03e Forms Numerical Files (External)e DEA should determine applicability of GRS 16/3a. Disposition on item -03 would need to be increasede

1301-04e Forms Functional Files. DEA should determine applicability of GRS 16/3b.

1301-05e Form Number Register Files. Authority should be GRS 23/8.

1310-01e Reports Control Files. Authority should be GRS 16/6; disposition should be altered or deviation justifiede

1310-03e Reports Program Management Files. New temporary item. Is a seven-year retention necessary?

1320-01e Records Management Survey Files; and

1320-02e Records Management Survey Background Files. Authority should be GRS 16/7e Ensure that disposition is consistente

1320-04e Records Disposition Standard Files. Authority should be GRS 16/2b.

1320-05e Records Locator and Disposition Files. Authority should be GRS 16/2a.

1320-07. Records Holdings Files. Authority should be GRS 16/4a.

1320-09e Files Program Management Files; and

1320-10i Microform Program Management Filesi New temporary items; authority should be GRS 16/7.

1320-11i IRM Triennial Review Files. Authority should be GRS 16/11.

1320-12i Information Collection Budget Filesi Authority should be GRS 16/12i

1330-07i Directives Management Program Filesi Authority should be GRS 16/7i

September 1988

Administrative Manual
Volume II

FILES DISPOSITION STANDARDS

Major/Minor Files Functional Files Category

000-Office[1] Housekeeping and General Program Files
- 010-Office General Administrative Files
- 020-Office Personnel Files
- 060-General Program Files

100-Planning, Management, and Budgeting Files
- 101-Emergency Planning Files
- 110-Organization Planning Files
- 120-Operation Planning Files
- 130-Programming and Budgeting Files
- 140-Management Improvement Files
- 150-Management Survey Files
- 160-Manpower Utilization Files
- 170-Auditing Services Files
- 180-Internal Control Review Files
- 190-Strategic Planning and Policy and Program Evaluation Files

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

300-Legal, Legislative, and Informational Services Files
- 301-Legal Opinion and Assistance Files
- 310-Claim Investigative and Processing Files
- 330-Litigation Files
- 360-Legislative and Congressional Liaison Files
- 370-Informational Services Files
- 380-Freedom of Information Files

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

500-Equal Employment Opportunity and Personnel Files[2]
- 501-Equal Employment Opportunity Files
- 510-Personnel Program Files
- 520-Personnel Position and Pay Files
- 530-Employment Services Files
- 540-Employment Application Files
- 550-Individual Employee Files

560-Promotion, Placement, and Career Management Files
570-Personnel Welfare and Grievance Files
580-Personnel Reduction-In-Force Files
590-Incentive Awards Committee Files

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

700-Intelligence Files
701-Intelligence Program Files
790-El Paso Intelligence Center Files

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

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

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

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

1200-Automatic Data Processing Files
1201-ADP Documentation Files
1210-ADP Processing Files
1220-ADP Master Files

** Addition

1300-Records Management Files
- 1301-Forms Management Files
- 1310-Reports Management and Control Files
- 1320-Records Maintenance and Disposition Files
- 1330-Publication Management Files

GENERAL DISPOSITION INSTRUCTIONS. The following instructions apply to retention periods for files maintained in FFS.

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

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

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

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

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

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

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

8. Permanent files will be cut off at the end of each calendar or fiscal year, held for the period indicated in this appendix and retired to the records center.

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

10. Retention periods in the Disposition paragraph (e.g., 3 years, 5 years etc.) will be converted to a specific cutoff, transfer[2] or retirement date and applied to all files on-hand in an office.

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

[2]As a requirement of the Segar decision, files pertaining to employment, (i.e., promotion, performance, hiring and discipline) for 1811 employees may not be destroyed until the court order is vacated.

OFFICE GENERAL ADMINISTRATIVE FILES

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

File No. 010-01 (NC1-170-77-1)

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

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

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

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

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

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

File No. 010-02 (NC1-170-77-1)

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

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

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

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

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

File No. 010-03 (NC1-170-77-1)

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

Disposition: Destroy 3 months after last entry.

File No. 010-04 (NC1-170-77-1)

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

Disposition: Destroy 6 months after performance of duty.

File No. 010-05

Office Staff Meeting Files. Notes, agenda, minutes, and memoranda of internal staff meetings. Functional activities or projects resulting from a meeting should be filed under the appropriate program file.

Disposition: Destroy after 2 years.

****File No. 010-06**

Office Monthly Report Files. Copies of internal activity and workload reports (including work progress, statistical, and narrative reports) which are prepared in the office and forwarded to higher levels. These records generally serve as facilitative or informational purposes. They are not basic program records and are not part of official program files.

Disposition: Destroy when 2 years old or when no longer needed, whichever is sooner.**

** Addition

OFFICE PERSONNEL FILES

These files are maintained by operating officials and are used to manage DEA employees within the organizational segments under their control.

File No. 020-01 (NC1-170-77-1)

Office General Personnel Files. Documents that relate to the day-to-day administration of DEA employees in individual offices. Included are papers that relate to attendance at work; copies of reports of attendance and overtime, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Governmentnmedical services, including X-rays and immunizations; notices and lists of individuals to receive training; and comparable or related papers.

Disposition: Destroy 1 year after notification of action.

File No. 020-02 (NC1-170-77-1)

Employee Record Card Files. Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.

Disposition: Destroy when information is obsolete or superseded.

File No. 020-03 (GRS No. 1-18a)

Supervisor's Personnel Files. Correspondence; memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions; copies of Performance Work Plans and Annual Performance Ratings, requests for personnel action and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

Disposition: Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee within 1 year after separation or transfer.

File No. 020-04 (GRS No. 1-28)

Standards of Conduct File. Correspondence, memoranda, and other records relating to codes of ethics and standards of conducta

Disposition: Destroy when obsolete or superseded.

File No. 020-05 (GRS No. 2-3a)

Time and Attendance Report Files. Copies of time and attendance reports that are prepared on each employee for each pay period.

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner.

File No. 020-06

Employee Travel Summary Files. Documents consisting of recorded entries on DEA Travel Summary (DEA-475) and copies of the employee's request for advance of funds, travel vouchers with receipts; travel advance checks; notice of changes and repayment checks filed in chronological sequence. A file is maintained for each employee who performs official travel.

Disposition: Destroy 7 years after the last recorded transaction date entry on the DEA Travel Summary (DEA-475).

* Revision

GENERAL PROGRAM FILES

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

File No. 060-01 (NC1-170-77-1)

Policy and Precedent Files. Extra copies of documents establishing policy or precedent for future and continuing action. Normally, policy and precedent files are maintained at the operating level, and consist of copies of standing operating procedures, and statements of policy or procedure, and other documents duplicated in functional files.

Disposition: a. Office of the Administrator: (1) Record copy of documents establishing policy or precedent action: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy when superseded or obsolete. b. Other Offices: Destroy when superseded or obsolete. Earlier disposal of portions of the file or the entire file is authorized.

File No. 060-02 (NC1-170-77-1)

Reading (Chron) Files. Copies of outgoing communications, arranged chronologically, and maintained for periodic review by staff members.

Disposition: Destroy 1 year after date of communication. Earlier disposal is authorized.

File No. 060-03 (NC1-170-77-1)

Agreement Files. Documents relating to agreements between elements of DEA, between DEA and other Federal agencies, or between DEA and other Federal agencies, or between DEA and other non-Federal organizations or agencies, but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations and DEA

for the purpose of providing or obtaining various types of support services. Included are agreements, amendments, review comments, related correspondence, and similar documents.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of agreement and amendments and substantive interagency correspondence: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 6 years after the agreement is superseded, cancelled, or terminated. b. Other offices: Destroy 3 years after the agreement is superseded, cancelled, or terminated.

File No. 060-04

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

Disposition: a. International committees: (1) Records of office of senior DEA representative: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Records of offices of other committee members: Destroy when 10 years old. (3) All other copies: Destroy when 3 years old or when no longer needed for reference. b. Inter-agency and intra-agency committees: (1) Records of office of committee secretary: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Records of offices of committee members: Destroy when 10 years old. (3) All other copies: Destroy when 3 years old or when no longer needed for reference.

File No. 060-05 (NC1-170-77-1)

Staff Visit Files. Documents relating to scheduled or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. This definition is not applicable to visits made in

connection with a specific process or case, which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

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

File No. 060-06 (NC1-170-77-1)

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

a. Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparing a communication, a study, an investigation, a survey, an inspection, or other action. This definition does not include official and quasi-official recommendations, coordinating actions, and other documents which contribute to or result from preparing the communication or other record.

b. Cards, listings, indexes, and similar documents used for facilitating and controlling work.

c. Documents received for general information purposes that require no action and are not required for documentation of specific functions.

d. Extra copies of documents maintained by action officers which reflect actions taken by the action officer. Such files should not be established unless absolutely necessary.

e. Copies of documents accumulated by supervisory offices, such as chiefs of offices, divisions, or sections. These documents duplicate the record copy filed elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.

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

File No. 060-07 (NC1-170-77-1)

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

Disposition: Destroy when superseded or obsolete.

File No. 060-08 (NC1-170-77-1)

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

Disposition: Destroy when superseded or obsolete.

EMERGENCY PLANNING FILES

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

File No. 101-01 (NC1-170-77-1)

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

Disposition: Destroy when plans are superseded or obsolete.

File No. 101-02 (NC1-170-77-1)

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

Disposition: Destroy 2 years after submitting the report.

ORGANIZATION FILES

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

File No. 110-01

Organization Planning Files. Documents relating to the establishment of the changes in organization, functions, and relationships of DEA activities. Included are staff studies; reports of working groups; minutes of meetings and staff conferences; documents relating to overall functions and programs; copies of organization and functions plans; manuals; and charts; copies of published directives implementing establishment or change; copies of documents relating to office staffing and personnel strength; and ceiling authorization documents. Also included are documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require evaluation and approval by the Management Analysis Section or comparable office; and related documents.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Approved record copies of charts and statements of substantive organizational functions and programs, studies, reports, minutes of meetings and conferences: Permanent. Transfer to Federal records center when 3 years old. Offer to NARA in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995. (2) Other documents: Destroy 5 years after approval of organizational structure. b. Other offices: Destroy when superseded or obsolete.

File No. 110-02 (NC1-170-77-1)

Table of Organization Files. Documents relating to initiating developing, preparing, reviewing, and approving tables of organization. Included are drafts; copies of published tables of organization (including machine prepared or photo-copies); coordination, review, and approval actions; and related papers.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after superseded or obsolete. b. Other offices: Destroy table of organization documents when superseded or obsolete.

OPERATION PLANNING FILES

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

File No. 120-01 (NC1-170-77-1)

Operation Planning Files. Documents relating to the preparation, coordination, and approval of operational plans which are applicable to or involve the resources and functions of DEA. They do not relate to plans described elsewhere in this schedule or to plans confined to specific functional areas which are not a segment of the overall plan. Included are copies of the approved plans, comments, recommendations, contributions, approvals, and disapprovals regarding the plans; and other directly related papers.

Disposition: a. Office performing a DEA-wide staff responsibility: (1) Record copy of approved substantive operating plans: Permanent. Transfer to Federal records center when 3 years old. Offer to NARA when 15 years old. (2) Destroy other documents 5 years after requirements in plan are completed or terminated. b. Other offices: Destroy when superseded or obsolete.

File No. 120-02 (NC1-170-77-1)

Operating Procedure Files. Documents relating to the establishment of and changes in such matters as operating procedures and production methods. Included are studies, coordinating actions, copies of standing operating procedures and procedures manuals, comparable documents, and related papers.

Disposition: Destroy documents when superseded or obsolete.

PROGRAMMING AND BUDGETING FILES

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

File No. 130-01

Program Development Files. Documents relating to the preparation, coordination, approval, and issue of the Five-Year Program document that translates the objectives established by plans (Annual Program Documents, workplans, etc.) into time-phased schedules of accomplishment. These program documents are approved by the DEA Administrator and thereafter serve as the basis for development by the DEA staff of the more detailed program and budget guidance to DEA activities. Included are summary and detail data sheets, program change requests, minutes of meetings of review committees, coordinating actions, approvals, summary tables, and related papers.

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

File No. 130-02 (NC1-170-77-1)

Program and Budget Guidance Files. Documents relating to developing, reviewing, approving, and issuing program and budget guidance. Included are program objectives; summary budgets; directives requiring staff preparation, revision, or updating program and budget guidance to DEA activities, including stating policies, priorities, standards and workloads; coordinating actions; operating schedules; and related papers.

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

File No. 130-03

OMB Submission Files. Documents created by the DEA Staff preparing, reviewing, and consolidating budget estimates and in their submission to the Department of Justice to incorporate in

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

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

File No. 130-04 (NC1-170-77-1)

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

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

File No. 130-05

Execution and Funding Files. Documents relating to quarterly allowances and supplemental allowances provided to operating activities. Documents used to authorize operating activities to incur obligations necessary to operate while Congress and OMB appropriate and apportion funds for the new fiscal year.

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

File No. 130-06 (NC1-170-77-1)

Program and Budget Input Files. Documents relating to furnishing data for program and budget guidance, formulation, and execution. They

reflect data for the various program elements, such as enforcement, training, education, communications, material, construction, maintenance, and transportation. Included are schedules, coordination papers, justifications, minutes of meetings, plans, and related documents.

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

****File No. 130-07**

Budget and Programming Management Files. Correspondenceç instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the programming and budgeting functions.

Disposition. Destroy when 6 years old.**

** Addition

MANAGEMENT IMPROVEMENT FILES

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

File No. 140-01 (NC1-170-77-1)

Management Improvement Project Files. Documents relating to projects which initiate changes in the manner or method of planning, directing, controlling, or doing work which increases effectiveness, efficiency, and economy. Included are studies, charts; coordination papers; recommendations; statistical data; and comparable or similar documents.

Disposition: a. Offices performing DEA-wide staff responsibility: (1) Record copies of approved studies that resulted in substantial savings or significant improvement in overall DEA work activity: Permanent. Transfer to Federal records center when 3 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 5 years after completion of project. b. Other offices: Destroy 5 years after completion of project.

File No. 140-02 (NC1-170-77-1)

Management Improvement Project Background Files. Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file.

Disposition: Destroy 3 years after completion of related project.

File No. 140-03 (NC1-170-77-1)

Work Simplification Proposal Files. Documents related to the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts; work counts, motion economy studies, layout studies, actions taken on proposals, and similar documents.

Disposition: Destroy 5 years after completion of project.

File No. 140-04

A-76 Program Files. Documents relating to reviews of DEA functions that have commercial counterparts for the purpose of finding the most cost efficient method of performing the activity, including contracting the activity. Files include: performance work statements; performance requirements summaries; tables and charts of the processes; analyses and recommendations based on studies conducted; studies; lists of commercial activities; reports; and correspondence within DEA and with DOJ concerning the status of the program.

Disposition: a.) Offices performing DEA-wide staff responsibility: (1) Record copies of studies and reports: Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 5 years after completion of the project. b.) Other offices: Destroy 5 years after completion of the project.

MANAGEMENT SURVEY FILES

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

File No. 150-01

Management Survey Case File. Documents relating to the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services. Individual studies and surveys may range in scope from a comprehensive review of organization and all operating procedures to a study of one particular phase of management. Included are documents requesting or authorizing the survey, the finished survey report, and actions taken as a direct result of the survey.

Disposition: a. Office conducting the survey or office sponsoring the contract: (1) Record copy of comprehensive survey or review of an entire office or field Division/Country Office: Permanent. Transfer to Federal records center when 3 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy on completion of next comparable survey or 8 years after survey. b. Office surveyed: Destroy on completion of next comparable survey, or 8 years after survey.

File No. 150-02

Management Survey Background Files. Documents used to collect data for or during a management survey and accumulated in offices conducting or participating in the survey. Included are notes, statistical data, copies of standing operating procedures, organizational charts, functional charts, personnel data, and similar material collected for fact-finding or backup purpose, and documents reflecting preliminary arrangements incidental to specific surveys, such as time schedules and security clearances.

Disposition: Destroy 8 years after survey.

MANPOWER UTILIZATION FILES

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

File No. 160-01 (NC1-170-86-1)

Manpower Authorization Files. 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.

Disposition: 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.

File No. 160-02 (NC1-170-77-1)

Manpower Survey Files. Documents relating to on-site and other appraisals of manpower requirements and use. Included are personnel inventory and appraisal reports, criteria studies, comments, justifications, and related documents.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after survey. b. Other offices: Destroy 3 years after survey.

File No. 160-03 (NC1-170-77-1)

Manpower Staffing Standard Files. Documents reflecting the development and issuance of manpower staffing standards and the provision of guidance in applying these yardsticks for measuring personnel requirements. Included are copies of manpower surveys; executive-type letters, messages, copies of staffing guides; coordinating actions and interpretations; and related documents.

Disposition: Destroy when superseded or obsolete.

File No. 160-04 (NC1-170-77-1)

Manpower Statistical Data Files. Documents used to provide a source of statistical data for use in manpower control activities such as forecasting, justifying, and analyzing current or projected manpower requirements and allocating manpower spaces. Included are reports and data concerning such matters as: agent and administrative strength of organizational segments of DEA, strength by occupational speciality, and related documents.

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

AUDIT SERVICES FILES

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

File No. 170-01 (NC1-170-77-1)

GAO Audit Reporting Files. Documents relating to reports of audit made by the General Accounting Office. Included are notices of intent to audit, copies of documents furnished GAO representatives, copies of tentative findings and recommendations, advance notice of major findings, reports of major findings, report of exit conferences, draft reports, final reports, follow up progress reports, comments relating to the reports, and related documents.

NOTE: Documents accumulated by offices other then those designated as central point of contact should be identified with the function of the accumulating office.

Disposition: a. Office performing DEA-wide staff responsibility: (1) GAO contract audit reports: Dispose of in the same manner as the related contract files. (2) Final GAO reports, final replies to GAO reports and final replies to GAO draft reports: Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 15 years old. (3) Remaining documents: Destroy when all related actions have been completed. b. Office designated as central point of contact: Destroy 10 years after final report, except that GAO draft reports may be destroyed on receipt of final report.

File No. 170-02

Inspection and Audit Files. Documents relating to reviewing and examining DEA operations to ensure proper protection of assets; compliance with policies, procedures, and objectives; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. These files accumulate as a result of DEA field offices making review of their own operations and DOJ and DEA Headquarters staff offices making review of DEA activities. Included are reports and directly related correspondence.

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

File No. 170-03

Inspection and Audit Support Files. Documents used to collect data for or during an inspection or audit of a DEA activity. Included are interview sheets, interrogatories, checklists, notes; statistical data; copies of SOP's, organizational charts, functional charts, personnel data, workload data; and similar material collected for part fact-finding or back-up purpose.

Disposition: Destroy 3 years after inspection or audit.

A-123/INTERNAL CONTROL SYSTEMS FILES

These files result from the implementation of the Federal Managers' Financial Integrity Act of 1982 (Public Law 97-255). The documents relate to reviewing DEA operations, programs, and functions to prevent, detect, or correct errors, irregularities, fraud, waste, abuse, or mismanagement of DEA resources and assets.

File No. 180-01

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; **Guide for Incorporating Internal Control Evaluations into GAO Work; Department of Justice Order 2860.3A; and the Department of Justice Internal Control Guide.**

Disposition: Destroy when superseded or obsolete.

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. **Form DEA-462, Monthly Record and Report of Scheduled Actions, and quarterly computer printouts are included.**

Disposition: a. Office performing DEA-wide A-123 management oversight: Destroy 10 years after submission of DEA **annual report to the Attorney General. Form DEA-462 and computer printouts may be destroyed 2 years after the end of the reporting period.** b. Other offices: Destroy 6 years after completion of internal review actions.

File No. 180-03 (N1-170-86-1)

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, except draft reports may be destroyed on receipt of final report. Other Offices: Destroy 6 years after final report.

File No. 180-04

FMFIA/A-123 Implementation Files. Documents relating to the implementation of FMFIA/A-123 throughout DEA. Included are communications of a general nature between the office performing DEA-wide A-123 management oversight and other organizational components; the consolidated inventory of assessable units that identifies the segmentation of DEA's programs and functions; vulnerability assessment summaries; and the management control plans and schedules for conducting internal control evaluations.

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

File No. 180-05 (N1-170-86-1)

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.

File No. 180-06 (N1-170-86-1)

A-123 Performance Work Plan Files. 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.

File No. 180-07 (N1-170-86-1)

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.

* Revision

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

Reserved

File No. 180-09

Reserved

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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 inventory 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/Office of the Controller
180-11 (Consolidated under 180-10)
180-12 A-123/Administrative Law Judge
180-13 (Consolidated under 180-10)
180-14 A-123/Office of Chief Counsel
180-15 A-123/Office of Congressional and Public Affairs
180-16 A-123/Office of Diversion Control
180-17 A-123/Equal Employment Opportunity Staff
180-18 A-123/Office of Administration
180-19 A-123/Office of Information Systems
180-20 A-123/Office of Planning and Inspection
180-21 A-123/Office of Intelligence
180-22 A-123/Office of International Programs
180-23 A-123/Investigative Support Section
180-24 (Consolidated under 180-10)
180-25 A-123/Operations Drug Desks
180-26 A-123/Operations Management Staff
180-27 A-123/Office of Personnel
180-28 (Consolidated under 180-20)
180-29 (Consolidated under 180-20)
180-30 (Consolidated under 180-20)
180-31 (Consolidated under 180-15)
180-32 (Consolidated under 180-18)
180-33 A-123/Office Science and Technology
180-34 (Consolidated under 180-20)
180-35 A-123/Office of Training*

* Revision

STRATEGIC PLANNING AND POLICY AND PROGRAM EVALUATION FILES

These files result from the development of strategic plans; assessment of DEA accomplishments in meeting established goals and objectives; and evaluation of agency policies, program, and operations in support of the national drug law enforcement effort.

File No. 190-01

Strategic Planning Files. Documents relating to the preparation, coordination, review, and approval (by the Administrator) of 3-5 year Agency-wide strategic goals and objectives for long-range planning purposes and priorities for budget requests, and allocation of resources for DEA-wide application in countering drug trafficking.

Disposition: a. Office performing DEA-wide staff responsibilities: (1) Record copy of approved strategic plans and objectives: Permanent. Transfer to Federal Records Center after 8 years. Offer to NARA after 20 years. (2) Destroy other documents after 8 years. b. Other offices: Destroy copies of strategic plans and other documents when superseded or after 6 years, whichever is later.

File Nos. 190-02 to 190-05

Reserved.

File No. 190-06

Policy and Program Evaluation Administrative Correspondence Files. Memoranda, status reports, management comments, and other devices for assigning, monitoring, and controlling projects; implementation of recommendations and follow-up on their status; general correspondence, and other documents related to the administration and operation of program evaluation functions.

Disposition: Destroy 5 years after completion of required actions.

File No. 190-07

Policy and Program Evaluation Background Files. Documents used in the collection of data, and the data gathered for or during an

evaluation or study, or used for developing the scope of same, and accumulated in offices conducting or participating in the evaluation or study. Included are notes (interviews or other); statistical data, organizational and functional charts, analysis, personnel data; and similar material for act-finding purposes.

Disposition: Destroy 5 years after completion of required actions.

File No. 190-08

Policy and Program Evaluation Files: Documents used to reflect the formulation, actual performance, progress, accomplishments, deficiencies, needs, and problems in relation to goals and objectives defined or developed for policies or programs and operations. Included are evaluation reports and executive summaries and recommendations. Evaluations and studies may range in scope from a comprehensive review of Agency-wide policies, programs, and operations to a specific segment or phase within an organization.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of approved evaluations and studies, and executive summaries and recommendations that result in significant improvement or substantial savings in programs or operations: Permanent. Transfer to Federal Records Center after 8 years. Offer to NARA after 20 years. (2) Other documents: Destroy 5 years after completion of required actions. b. Other offices: Destroy 5 years after completion of required actions.

INTEGRITY FILES

These files relate to *integrity investigations, conducted by the Office of Professional Responsibility.*

File No. 201-01

Unassigned.

File No. 201-02

Unassigned.

File No. 201-03

Integrity Case Files. Reports related to investigations by the Office of Professional Responsibility including criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. Included are DEA reports and supporting documents and correspondence relative to the investigation.

Disposition: Destroy *10* years from date case was opened if closed for at least 1 year. Cases not closed 1 full year will be retained for re-evaluation at 1-year intervals.

File No. 201-04

Integrity General Files. Reports of preliminary investigations to determine violations of criminal or civil laws, departmental codes or DEA regulations. Also, to include other administrative infractions such as accidental discharge of firearms, etc.

Disposition: Destroy *10* years after report of investigation is approved or all required actions are completed. **Files not closed 1 full year will be retained for re-evaluation at 1-year intervals.**

* Revision
** Addition

PERSONNEL SECURITY FILES

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

****File No. 210-01 (GRS No. 18-22a)**

Personnel Security Clearance Files. Personnel security clearance case files and related indexes maintained by the Office of Security Programs.

Disposition: a. Case file documenting the processing of investigations on federal employees or applicants for federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for DEA under contract who require an approval before having access to DEA facilities or to sensitive data. These files include questionnaires, summaries of reorts prepared by the investigating agency, and other records reflecting the processing of the investigations and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency: Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable. b. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations: Destroy in accordance with the investigating agency instructions. c. Index to the Personnel Security Case Files: Destroy with related case files.

File No. 210-02

Personnel Security Liaison Files. All correspondence pertaining to liaision activity with respect to background investigations and clearances.

Disposition: a. Destroy general Personnel Security correspondence 2 years after date of receipt. b. Destroy Personnel Security Directive 10 years after date of receipt or when information is superseded.)**

File No. 210-03 (NC1-170-77-1)

Security Awareness Files. Documents relating to procedures used to obtain compliance with security directives by all personnel. For example, procedures requiring that each individual periodically read applicable security directives and sign a memorandum indicating that the directives are understood.

Disposition: Destroy after the next periodic application of the procedure.

** Addition

**File No. 210-04 (GRS No. 18-24)

Personnel Security Clearance Status Files. Lists or rosters showing the current security clearance status of individuals

Disposition: Destroy when superseded or obsolete.

File No. 210-05 (GRS No. 18-25)

Security Violations Files. Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information.

Disposition: a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defense for prosecutive determination, exclusive of files held by Departments of Justice or Defense offices responsible for making such determinations: Destroy 5 years after close of case. b. All other files, exclusive of papers placed in official personnel folders: Destroy 2 years after completion of final action or when no longer neeed, whichever is sooner.

File No. 210-06 (GRS No. 18-25)

Classified or Classifiable Information Nondisclosure Agreements. Copies of nondisclosure agreements, such as SF-189, Classified Information Nondisclosure Agreement, signed by emloyees with access to information which is classifed or classifiable under standards put forth by Executive Order 12356. These forms should be maintained separately from personnel security clearance files.

Disposition: Destroy when 50 years old.

File No. 210-07 (GRS No. 18-21)

Security Clearance Administrative Subject Files. Correspondence, reports and other records relating to the administration and operation of the Personnel Security Program, but exclusive of other files described in this schedule.

Disposition: Destroy 2 years from date of correspondence receipt.

** Addition

File No. 210-08

Security of DEA Employees Files. Documents relating to assaults and threat of assaults against DEA employees and acts of terrorism against DEA employees and facilities.

Disposition: Destroy 5 years after date of correspondence or when information is superseded or obsolete.**

** Addition

**File No. 210-09

Personnel Security Program Files. Correspondence, instructions, studies, messages, interoperations, and coordinating actions related to the administration and operation of the personnel security program.

Disposition: Destroy when 6 years old. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition

INFORMATION SECURITY FILES

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

File No. 220-01 (NC1-170-77-1)

Security Classification Files. Documents relating to the security classification or regarding system involving the classification or downgradingn of documents. Included are correspondence or memorandums on downgrading and reports on security classification, but exclusive of other files described in this schedule.

Disposition: Destroy 5 years after classification or downgrading action.

File No. 220-02 (NC1-170-77-1)

Security Regrading Case Files. Documents relating to the review of specific classified documents or equipment for the purpose of the documents or equipment.

Disposition: Destroy 5 years after regrading action.

**File No. 220-03 (GRS No. 18-6)

Access Request Files. Documents reflecting requests and authorization for access to classified files. They include forms containing an individual's name and signature, classification of files concerned, information desired, and signature of an official authorizing accessn

Disposition: Destroy 2 years after approval of review.

File No. 220-04

Security Information Access Case Files. Documents relating to the review of specific requests for access to classified files or equipment for purposes of research and study.

Disposition: Destroy 5 years after approval of review.**

** Addition

File No. 220-05 (NC1-170-77-1)

Security Information Release Files. Documents relating to reviewing classified documentary materials to disseminate or release information to sources outside the agency, such as reviewing manuscripts, photography, lecture, radio, television scripts, and other materials.

Disposition: Destroy 5 years after approval of review for release of classified information.

File No. 220-06 (NC1-170-77-1)

Security Information Exchange Files. Documents relating to the exchange of securityclassified information with other Government agencies, industry, and foreign governments. Included are correspondence relating to the exchange of information, exchange agreements, and related documents.

Disposition: Destroy 10 years after approval of review for exchange of classified information.

File No. 220-07 (NC1-170-77-1)

Top Secret Document Record Files. Documents used to record the names of persons having had access to the Top Secret documents, and to record copies of extracts distributed.

Disposition: Destroy 1 year after related documents is destroyed, transferred or downgraded.

File No. 220-08 (NC1-170-77-1)

Top Secret Material Accountability Files. Documents reflecting the identity, receipt, dispatch, downgrading, source, movement from one office to another, destruction, and current custodian of all Top Secret material for which the Top Secret control officer is responsible.

Disposition: Destroy 5 years after all items on individual pages have been destroyed, downgraded, dispatched, or when entries are transferred to a new page.

File No. 220-09

Security Compromise Files. Documents relating to investigations of alleged security violations, such as missing documents, unauthorized disclosure of information, unattended open security containers, documents not properly safeguarded and matters of a similar nature.

Disposition: Destroy *5* years after completion of final corrective or disciplinary action.

File No. 220-10

*Facilities Survey and Inspecton Files. Reports of surveys and inspections of government owned facilities, and privately owned facilities assigned security cognizance by government agencies, conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

Disposition: a. Reports regarding government owned facilities: Destroy 3 years after date of reports, or upon discontinuance of facility, whichever, is sooner: b. Reports regarding privately owned facilities: Destroy 4 years after date of report or upon discontinuance of facility, whichever is sooner.*

File No. 220-11

Security Equipment Files. DOJ Form 395, Annual Report - Utilization of Security Equipment.

Disposition: Destroy when superseded.

File No. 220-12

Reserved.

File No. 220-13

Security Container Record Files. Optional Form 62 or the equivalent placed on safes, cabinets, and vaults containing classified documents. Used for providing a record of opening, closing and checking security containers.

Disposition: Destroy when replaced.

* Revision

File No. 220-14

Security Container Information Files. Optional Form 63 or the equivalent used to record safe and padlock combinations, locate the safes or containers, and identify individuals having knowledge of the combination.

Disposition: Destroy upon change of combination or turn-in of the container.

File No. 220-15 (GRS No. 18-4)

Classified Document Inventory Files. *Forms, ledgers or registers used to show identity, routing and final disposition made of classified documents, but nexclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this Appendix.*

Disposition: Destroy 2 years after all classified documents recorded thereon have been transferred or destroyed, or when the entry is duplicated on another control document or log.

File No. 220-16 (GRS No. 18-3)

Destruction Certificate Files. Certificates relating to the destruction of classified documents.

Disposition: Destroy when 2 years old.

* Revision

**File No. 220-17 (GRS 18-2)

Document Receipt Files. Records documenting the receipt of classified documents.

Disposition: Destroy when 2 years old.

File No. 220-18

Information Security Program Files. Correspondence, instructions, studies, messages, interoperations, and coordinating actions related to the administration and operation of the information security program.

Disposition: Destory when 6 years old. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition

COMMUNICATIONS SECURITY FILES

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

File No. 230-01 (NC1-170-77-1)

COMSEC Management Files. Documents which are not of a routine nature and which are not specifically covered elsewhere in this schedule. These files include management documents related to communications security such as a determination as to cryptosystem and equipment authorized and required, and operational and procedural functions of the organization.

Disposition: Destroy 5 years after completion of required action.

File No. 230-02 (NC1-170-77-1)

COMSEC Supply Correspondence Files. Documents relating to the routine supply of COMSEC material.

Disposition: Destroy 1 year after receipt of COMSEC material.

File No. 230-03 (NC1-170-77-1)

COMSEC Item Register Files. Cards maintained to account for all COMSEC material and to show its receipt, movement, and final disposition.

Disposition: Destroy 1 year after close of the calendar year in which all items on individual cards have been disposed of as evidenced by destruction or transfer reports.

File No. 230-04 (NC1-170-77-1)

COMSEC Daily Inventory Files. Documents reflecting daily inventories made at the end of each workday or between shifts. The documents contain the short titles of each item inventoried, the initials of the person making the inventory, and the date and time of the inventory.

Disposition: Destroy on completion of next quarterly inventory.

File No. 230-05 (NC1-170-77-1)

COMSEC Accounting Reporting Files. Documents reflecting the receipt, possession, inventory, transfer, destruction and relief from accountability for accountable COMSEC material and documents. Included are destruction, transfer, inventory and possession reports; document vouchers; certificates of verification; relief from accountability and related routine COMSEC accounting correspondence.

Disposition: a. Change of custodian transfer reports: Destroy 1 year after relief from accountability of the former custodian. b. Other accountable documents: Destroy 5 years after relief from accountability of former custodian.

File No. 230-06 (NC1-170-77-1)

Crypto-Area Visitor Register Files. Registers used for recording pertinent information on persons entering the crypto-area other than those whose names appear on the authorized entrance list. Sheets of a register involved in a security report of an investigation will become an integral part of the report of investigation and will have the same disposition as the report of investigation.

Disposition: Destroy 1 year after visit. Cut off individual sheets at the end of each calendar year.

File No. 230-07 (NC1-170-77-1)

COMSEC Approval Files. Requests for approval to establish, alter, expand or relocate a facility.

Disposition: a. Approving office: Destroy 1 year after receipt of related superseding approval or after closing of account or facility. b. Requesting offices: Destroy on receipt of related superseding approval or upon closing of account or facility.

File No. 230-08 (NC1-170-77-1)

COMSEC Inspection Files. Inspection reports and related correspondence, such as a crypto facility inspection.

Disposition: Inspecting offices: Destroy 1 year after receipt of related superseding inspection. Inspected offices: Destroy on receipt of related superseding inspection.

File No. 230-09 (NC1-170-77-1)

COMSEC Reporting Files. Included are message reports; electronic security reports; crypto security and transmission security analyses; violation and summary reports; reports of violation of physical and cryptographic security; and other reports not specifically covered in this schedule. Reports that are the subject of a formal investigation will be filed with the investigation reporting files.

Disposition: a. Destroy 5 years after submission of report. b. Routine periodical reports may be destroyed after 2 years.

File No. 230-10 (NC1-170-77-1)

COMSEC Investigation Reporting Files. Reports of investigation concerning the loss or subjection to compromise of COMSEC material and investigations of transmission, physical, and other signal security violations.

Disposition: Destroy 5 years after completing final corrective or disciplinary actions.

File No. 230-11 (NC1-170-77-1)

Encrypted Traffic Reporting Files. Copies of encrypted traffic reports.

Disposition: Destroy 1 year after dispatch receipt of report.

File No. 230-12 (NC1-170-77-1)

Encrypted Message Text Files. Cipher copies of incoming and outgoing messages and message tapes. Messages involved in an investigation will be retained until the investigation is completed.

Disposition: Destroy after a minimum retention of 5 days and before a maximum retention of 60 days.

**File No. 230-13

Communications Security Program Files. Correspondence, instructions, studies, messages, interoperations, and coordinating actions related to the administration and operation of the communications security program.

Disposition: Destroy when 6 years old. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition

PROTECTIVE SERVICES FILES

These files relate to personnel identification and vehicle control.

File No. 240-01

Badge Identification Issue Files. Documents pertaining to issuing identification cards and badges. Included are applications and similar or related documents.

Disposition: a. Destroy 3 years after issuance of badge. b. Records pertaining to visitors and records pertaining to applicants to whom cards or badges were not issued will be destroyed after 1 year.

File No. 240-02

Badge Identification Accountability Files. Documents used to maintain accountability for identification cards and badges. Included are registers and similar or related documents.

Disposition: Destroy 3 years after last card or badge number entered has been accounted for.

File No. 240-03

Parking Permit Control Files. Documents relating to alloting parking spaces, controlling issuance and withdrawal of parking permits, and recording violations by holders of parking permits.

Disposition: Destroy on transfer of parking permit holders, or when permit is superseded or revoked.

File No. 240-04 (GRS No. 18-16a)

Key Accountability Files. Documents relating to the issue, return, and accountability for keys to secure areas.

Disposition: Destroy 3 years after turn-in of key.

File No. 240-05

Guard Reporting Files. Retained copies of the guard report which is prepared daily and is submitted to the DEA representative.

Disposition: Destroy 1 year after preparation of report.

**File No. 240-06

Visitor Control Files. Registers or logs used for recording pertinent information on persons from inside or outside DEA who are visiting the Physical Security Section and for registering information on persons submitting a request to enter the physical security area without an escort.

Disposition: Destroy 1 year after date of visit.

File No. 240-07

Security of U.S. Government Property. Documents (Optional Form 7) used when removing any government property from DEA facilities protected by GSA Federal Protection Officers or GSA contract guard personnel.

Disposition: Destroy when property returned to originial assigned location.

File No. 240-08

Evidence Storage Facility Security Files. Documents relating to the adequacy of measures taken to protect employees, facilities and documentary and evidentiary holdings against the hazards of attack, sabotage, unauthorized access and other man-made and natural disasters.

Disposition: Destroy when information is superseded or obsolete.**

** Addition

**File No. 240-09

Protective Services Program Files. Correspondence, instructions, studies, messages, interoperations, and coordinating actions related to the administration and operation of the protective services program.

Disposition: Destroy when 6 years old. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition

LEGAL OPINION AND ASSISTANCE FILES

These files relate to legal opinions and assistance matters.

File No. 301-01

Legal Opinion *Review Files. Documents reflecting legal opinions and reviews by the Office of Chief Counsel regarding interpretations of statutes, laws, regulations, investigations, and similar legal matters. Excluded are documents on a specific claim, investigation, or case. The excluded documents will be disposed of with the claim, investigation, or case file to which they belong.

Disposition: a. Office performing DEA-wide staff responsibilitiy: (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. (2) Remaining documents: Destroy when 5 years old. b. Other offices: Destroy when obsolete or superceded.*

File No. 301-02 (NC1-170-77-1)

Legal Assistance Case Files. Documents pertaining to personal legal matters of DEA personnel. Included are correspondence, memorandums, and opinions of legal assistance officers.

Disposition: Destroy 1 yearn after completion of the case, except that selected opinions and memorandums withdrawn for use as precedents may be held until no longer required for referencen.

**File No. 301-03

Legal Topic Files

Copies of documents pertaining to various topics that have legal implications or interests to the Office of Chief Counsel. Mostly information copies of communications; action copies are filed under separate file categories.

Disposition: Destroy 5 years after date of most recent document in folder.**

* Revision
** Addition

CLAIM INVESTIGATING AND PROCESSING FILES

These files relate to investigating accidents or incidents which may result in claims in favor of or against the Government, and the subsequent processing and settlement of claims.

File No. 310-01

Reserved.

File No. 310-02

Reserved.

File No. 310-03

Reserved.

File No. 310-04 (NC1-170-77-1)

Claim Investigation Reporting Files. Documents reflecting the results of investigating accidents and incidents which could but do not result in filing a claim. Included are investigation reports; statements of witnesses; and related papers.

Disposition: a. Reports relating to possible claims against the Government: Destroy 10 years after final action on the report. Cut off on expiration of the pertinent statutory period for filing a claim. b. Reports relating to possible claims in favor of the Government on which no claim exists: Destroy 10 years after final action on the report.

File No. 310-05

Personal Property Claim Files. Case files relating to claims against the Government by DEA employees for damage, loss, or destruction of personal property incident to their service.

Disposition: Destroy 10 years after final action on the case.

File No. 310-06

Tort Claim Files. Case files relating to tort claims against DEA for damage, loss, or destruction of property, and for personal injury or death resulting from negligence or wrongful acts or omission of acts by DEA employees.

Disposition: Destroy 10 years after final action on the case.

File No. 310-07

Contract Adjustment and Claim Determination Files. Documents reflecting recommendations or determinations on adjustment of contracts under Public Law 85-804 and on contract claims asserted by a contractor against the Government or by the Government against a contractor. They also accumulate in reporting contractor bankruptcies so that, if appropriate, claims in favor of or against the bankrupt can be asserted. Included are copies of contractor claims and adjustment requests, contractual documents; documents containing justification or support for the claim or adjustment request; determinations; recommendations; memoranda or law; coordinating actions; bankruptcy reports; and related documents.

NOTE 1: To the extent practical, documents described above should be filed with and disposed of with the related contract file.

NOTE 2: When bankruptcies and contract claims and adjustments result in litigations, the files described above will be filed and disposed of with the pertinent litigation file.

Disposition: Destroy 15 years after final determination or settlement.

File No. 310-08

Foreign Claim Files. Case files relating to claims against the United States by inhabitants of a foreign country or by a foreign government or a political subdivision thereof for damage, loss, or destruction of private property, or for personal injury or death caused by DEA employees stationed in the country concerned.

Disposition: Destroy 10 years after final action on the case.

File No. 310-09

Local Foreign Claim Files. Case files relating to claims arising in foreign countries for death or personal injury; damage, loss, or destruction of public or personal property; or in connection with provisions of contracts, leases, or other instruments. They are limited to those claims which must be settled under local laws, regulations, or agreements.

Disposition: Destroy 10 years after final action on the case.

File No. 310-10

DEA Property Damage Claim Files. Case files relating to claims in favor of DEA for damage, loss, or destruction of DEA property.

Disposition: Destroy 10 years after completion of litigation or determination that the case will not be prosecuted.

LITIGATION FILES

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

File No. 330-01

Civil Litigation Files. *Documents relating to actual or potential legal proceedings in which DEA, including its instrumentalities, has an interest. Included are copies of administrative hearings; advisory reports; copies of processes and pleadings, communications with DEA activities, communications with the Department of Justice and the United States Attorneys, and with other organizations, agencies, activities, and individuals both within and without the Federal Government; and related papers.

Disposition: Destroy 15 years after completion of litigation.*

File No. 330-02

Judicial Information Release Files. Documents relating to releasing information for use in litigation in response to subpoenas, court orders, or requests. Included are requests, subpoenas, court orders, copies of the documents concerned or summaries of their contents, recommendations concerning releases, memorandums of law, coordinating actions, and related papers.

NOTE: To the extent possible, these papers will be filed in the particular file to which the information released pertains, e.g., the appropriate personnel or claim file.

Disposition: Destroy 10 years after approval review for release of information.

File No. 330-03 (NC1-170-77-1)

Appearance as Counsel In Civil Court Files. Documents relating to the appearance of DEA employees as counsel before civil courts, administrative tribunals, regulatory bodies, or Government agencies. Included are the requests with supporting or related papers, letters, and other documents indicating coordination involved and action taken on the requests.

* Revision

NOTE: The above documents will be filed in the litigation file when the appearance concerns litigation involving or of interest to DEA.

Disposition: Destroy 2 years after approval of request for appearance as counsel.

File No. 330-04 (NC1-170-77-1)

Witness Appearance Files. Documents relating to requests for DEA employees to appear as witnesses before civil courts, administrative tribunals, and regulatory bodies. Included are requests with supporting documents, letters, electrically transmitted messages, personnel action forms, and other papers indicating action taken on the requests.

Disposition: Destroy 2 years after approval of request for appearance as witness.

File No. 330-05 (NC1-170-77-1)

Vehicle Seizure Files. Documents reflecting the receipt and release of vehicular conveyances that are found, impounded, or seized as contraband or prohibited property, or safeguarded for detained personnel. Included are logs, receipts, releases, reports of investigation, and related papers.

Disposition: Destroy 3 years after return or release of vehicle from DEA control.

****File No. 330-06**

Civil Seizure and Forfeiture Files. Documents reflecting the seizure of moneys, negotiable instruments, securities or other things of value furnished or intended to be furnished, illegally, in exchange for controlled substances, or to facilitate any violation of the Controlled Substances Act, or of the Controlled Substances Import and Export Act. Included are records/receipts, releases and reports of investigations, compliants and warrants, decrees of forfeiture.

Disposition: Cut off on close of case. Destroy 6 years after property disposition, transfer or return.

File No. 330-07

Show Cause Case Files. Documents relating to legal proceedings initiated by DEA under the provisions of the Controlled Substance Act (1970), PL 91-513, and the Comprehensive Crime Control Act (1984), PL 98-473. Included are reports of investigation (DEA-6) and other supporting documents initiated by DEA field offices, show cause orders, hearing statements, opinions and recommended rulings, transcripts of testimony, registrant applications,

** Addition

findings of act and conclusions of law, appeals, affidavits, witness statements, memoranda of agreement between DEA and the registrant or applicant, conclusions of law and decisions by the Administrative Law Judge, final orders by the Administrator, and similar related documents.

Disposition: Destroy 15 years after completion of show cause hearing process.

File No. 330-08

Drug Scheduling Files. Documents related to hearings conducted for assessing the drug abuse content and practice required for placing a drug/narcotic on the Controlled Substance Schedule. Included are scientific and medical evaluation reports of the abuse and dependency regarding the drug/narcotic, pre-hearing statements, letters from credible interested parties, scholarly dissertations papers, drug abuse statistic reports, proposed findings of fact and conclusions of law, conclusions of law and decisions by the Administrative Law Judge, final orders by the Administrator, and similar related documents.

Disposition: a. Appealed cases: PERMANENT. Transfer to the National Archives 15 years after close of case.
b. All other cases: Destroy 15 years after completion of the hearing process.

** Addition

LEGISLATIVE AND CONGRESSIONAL LIAISON FILES

These files relate to: initiating, processing, and coordinating legislation; Executive Orders; and proclamations either sponsored and supported by or otherwise of interest to DEA; preparing and coordinating replies to congressional committees investigating DEA activities; and similar matters of a legislative or congressional nature.

File No. 360-01

Legislation Files. Documents relating to preparing and processing legislation, Executive Orders; proclamations; and reports on legislation proposed by or of interest to DEA, exclusive of appropriation bills. Included are communications containing drafts of legislation proposed by DEA, reports to congressional committees on introduced legislation; comments on legislative proposals and reports on legislation proposed by or the responsibility of the Department of Justice.

Disposition: a. Offices performing staff responsibility for overall DEA legislative program: (1) Record copy of documentation pertaining to enacted legislation: Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 15 years old. (2) Documentation pertaining to unenacted legislation: Destroy 10 years after final disposition of legislation. b. Other offices: Destroy 3 years after final disposition of legislation.

File No. 360-02

Reserved.

File No. 360-03 (NC1-170-77-1)

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

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

File No. 360-04 (NC1-170-77-1)

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

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

File No. 360-05 (NC1-170-77-1)

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

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

****File No. 360-06**

Congressional Bills, Reports, and Listings Files. Documents bearing on legislation that affects or is of interest to DEA pending at some stage in Congress. Included are copies of Congressional Bills, extracts of the Congressional Record, Congressional reports on hearings, computer printouts on status of bills from Congress' automated data base, memoranda and similar documents.

** Addition

Disposition: Destroy 10 years after enactment of legislation or last action taken on the proposed legislation. Earlier destruction authorized.

File No. 360-07

Enacted Laws Affecting DEA Files. These are documents pertaining to pending legislation of interest to DEA that have been enacted into law. See 360-06 for description of documents.

Disposition: Destroy when eight years old. ~~Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 15 years old.~~

File No. 360-08

Legislative Summary Files. Reports regularly prepared to brief high-ranking officials in DEA on the latest status of pending legislation. Included are briefs of hearings and the legislation in question.

Disposition: a. Office performing staff responsibility for overall DEA legislative program: Permanent. Transfer to Federal Records Center after 5 years. Offer to NARA after 15 years. b. Other offices: Destroy after 5 years.

File No. 360-09

Congressional Hearings Files. Documents on Congressional Hearings on proposed legislation of interest to DEA. Included are statements and testimony by DEA officials, memoranda, DEA and non-DEA reports related to the proposed legislation, and similar documents.

Disposition: a. Offices performing staff responsibility for overall DEA legislative program: Destroy 5 years after hearings completed. b. Other offices: Destroy 3 years after hearings completed.

File No. 360-10

Congressional Committee and Subcommittee Files. Documents relating to various congressional committees' actions on pending legislation affecting or of interest to DEA. Included are memoranda, messages, copies of legislative bills, DEA Forms 112a, and similar or related documents.

Disposition. a. Offices performing staff responsibility for overall DEA legislative program: PERMANENT. Retire to WNRC when accumulation reaches one cubic foot. Transfer to the National Archives when 15 years old.
b. Other offices: Destroy after three years.

File No. 360-11

Congressional Affairs Program Management Files. These files consist of documents used in the daily management and operation of Congressional Affairs activities: memoranda, messages, reports, coordinating actions, studies, meeting notes, responses and input to other offices, and similar or related documents.

Disposition: a. Office of Record: Destroy after 5 years.
b. Other offices: Destroy after 3 years.**

** Addition

INFORMATIONAL SERVICES FILES

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

File No. 370-01

Reserved.

File No. 370-02

Reserved.

File No. 370-03

News Media and Release Files. Audiovisual records (as described under General Records Schedule 21) that depict DEA participation with Federal, state, and local law enforcement agencies in significant or high level drug seizures and operations; implementation of enforcement-related priority programs resulting from enacted legislation; appearance of the Administrator or other high level DEA officials on TV networks regarding drug law enforcement; and methods of interdicting illegal drug trafficking. Also, documents relating to preparing, coordinating, clearing, and releasing information to the public through newspapers, periodicals, radio, television, motion pictures, public appearances, and other media of dissemination. Included are printed or processed press releases, speeches, radio, television, and motion picture scripts, and coordinating documents accumulated in obtaining clearances for the release.

NOTE: Videotapes may be subject to restriction under subsection (b)(7)(E) and (F) of the Freedom of Information Act.

Disposition:

a. Press releases and official speeches of the Administrator and other high-level officials: PERMANENT. Cut off at the close of an Administrator's tenure. Transfer to the WNRC 2 years after cutoff. Transfer to the National Archives 15 years after cutoff.

b. Other textual documentation: Destroy five years after public release.

c. Other textual documentation held by other offices. Destroy five years after public release.

d. Posters, slides and transparencies: PERMANENT. Transfer to the National Archives in five-year blocks when the most recent record is ten years old.

e. Photographic prints: PERMANENT. Transfer to the National Archives in 1999. Earlier transfer authorized.

f. Videotapes and scripts. PERMANENT. Transfer original, one copy and script annually to the National Archives when five years old.

File No. 370-04 (NC1-170-77-1)

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

Disposition: Destroy 5 years after release of feature story.

File No. 370-05 (NC1-170-77-1)

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

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

File No. 370-06 (NC1-170-77-1)

Contractor Information Release Files. Documents relating to procedures governing the release of information by manufacturers, colleges, universities, advertising agencies and similar commercial entities relative to DEA contracts or activities accomplished by contract. They further relate to the clearance of informational materials depicting DEA themes which are voluntarily submitted for clearance by commercial organizations. Included are proposed articles, technical papers and presentations, brochures, motion picture and television films, photographs and transparencies, and similar materials proposed for publication or release; coordinating actions thereon, and similar and related papers.

Disposition: Destroy 10 years after terminating the contract.

File No. 370-07

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

Disposition: Destroy 5 years after approved for publication.

File No. 370-08 (NC1-170-77-1)

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

Disposition: Destroy 2 years after release of information approved.

File No. 370-09 (NC1-170-77-1)

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

Disposition: Destroy 5 years after termination of program.

File No. 370-10 (NC1-170-77-1)

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

Disposition: Destroy 2 years after completing distribution.

File No. 370-11 (NC1-170-77-1)

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

Disposition: Destroy on expiration or revocation of the approval.

File No. 370-12 (NC1-170-77-1)

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

Disposition: Destroy 2 years after termination of campaign.

File No. 370-13

Reserved.

File No. 370-14 (NC1-170-77-1)

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

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

File No. 370-15 (GRS 16-2a)

DEA Publications Files. These files consist of pamphlets, reports, leaflets, or other published or processed documents, produced on a regular basis. These documents are primarily in narrative form (versus statistical), although they may contain statistical information. Files may consist of a record copy, coordination documents, and input documents.

Disposition. a. Office of Record:
1 DEA World, or its successor publication. Destroy when no longer needed for reference.
2 All other publications. PERMANENT Transfer annually to the WNRC Transfer to the National Archives when five years old.
b. Copies held by other offices. Destroy when three years old

File No. 370-16

Communication Services Program Management Files. Documents related to establishing and administering the Communication Services programs in DEA. Included are coordinating actions, instructions, authorizing directives, reports, interpretations, messages, correspondence, and similar or related documents.

Disposition: Destroy after 6 years.

File No. 370-17

Information Services Background Files. Documents used as background material in developing and finalizing responses, comments, speeches, remarks, testimony, or similar presentations by DEA officials. Included are memos, brochures, transcripts of testimony, DEA and non-DEA reports, Congressional reports, newspaper and magazine articles, computer generated printouts, and similar or related documents.

Disposition: Destroy when 3 years old, unless superseded sooner.

File No. 370-18

Executive Precis Files. Documents that summarize the education and experience of high level DEA officials (Administrator, Deputy Administrator, Assistant Administrators, Special Agents in Charge, etc.). Documents may be filed either alphabetically by name or organizationally by position held.

Disposition: Destroy 2 years after incumbent vacates position by transfering to another agency, resigning, or retiring. Earlier destruction authorized.

File No. 370-19 and 370-20

Unassigned.

****File No. 370-21**

Statistical Services Programs Files. Documents relating to administering the Statistical Services function in DEA. Included are coordinating activities, studies, reports, interpretations, messages, correspondence, and similar or related documents.

Disposition: Destroy after 6 years.

** Addition

File No. 370-22

Statistical Product Files. Finished statistical documents that DEA produces, including periodic recurring reports, printouts or extracts from automated systems, and similar data furnished on request.

Disposition: (a) Office performing DEA-wide staff responsibility: Permanent (Record Copy). Transfer to Federal records center when 5 years old. Offer to NARA when 20 years old. (b) Reference copies: Destroy when no longer needed for reference.**

File No. 370-23 and 370-24

Unassigned.

File No. 370-25

Public Affairs Program Management Files. Documents related to administering the Pubic Affairs function in DEA. Included are coordinating actions, instructions, reports, interpretations, messages, correspondence, and similar or related documents.

Disposition: Destroy after 6 years.

** Addition

FREEDOM OF INFORMATION AND PRIVACY ACT FILES

These files relate to the administration of the Freedom of Information and Privacy Acts within DEA.

File No. 380-01 (GRS No. 14-*11*)

Freedom of Information Act (FOIA) Requests Files. Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.

Disposition: a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein):

(1) Granting access to all requested records: Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees: (a) Request not appealed: Destroy 2 years after date of reply. (b) Request appealed: Destroy as authorized under 380-02.

(3) Denying access to all or part of the records requested: (a) Request not appealed: Destroy 6 years after date of reply. (b) Request appealed: Destroy as authorized in 380-02.

b. Official file copy of requested records: Dispose according to instructions in this appendix for the related records, or with the related FOIA Request, whichever is later.

File No. 380-02 (GRS No. 14-*12*)

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

* Revision

Disposition: a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein): Destroy 6 years after final determination by DEA or 3 years after final adjudication by courts, whichever is later. b. Official file copy of records under appeal: Dispose of in accordance with approved disposition instructions for the related record, or with the related FOIA requests, whichever is later.

File No. 380-03 (GRS No. 14-*13*)

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.

Disposition: a. Registers or listings: Destroy 6 years after date of last entry. b. Other files: Destroy 6 years after final action by DEA or after final adjudication by courts, whichever is later.

File No. 380-04 (GRS No. 14-*14*- subitem D)

FOIA Reports Files. Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, including annual reports to the Congress.

Disposition: a. Annual reports at DEA level: Cut off annually Transfer to the WNRC when 10 years old. Destroy when 30 years old. b. Other reports: Destroy when 2 years old or sooner if no longer needed for administrative use.

File No. 380-05 (GRS No. 14-*15*)

FOIA Administrative Files. Records relating to the general implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old or sooner if no longer needed for administrative use.

File No. 380-06 through 380-19

Unassigned.

* Revision

File No. 380-20 (GRS No. 14-*21*)

Privacy Act Requests Files. Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 USC 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

Disposition: a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all requested records: Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees: (a) Requests not appealed: Destroy files 2 years after date of reply. (b) Requests appealed: Dispose of according to instructions in item 380-21.

(3) Denying access to all or part of the records requested: (a) For requests not appealed: Destroy 5 years after date of reply. (b) For requests appealed, dispose according to instructions in item 380-21. b. Official file copy of requested records: Dispose of in accordance with approved disposition instructions in this appendix for the related records, or with the related Privacy Act request, whichever is later.

File No. 380-21 (GRS No. 14-*22*)

Privacy Act Amendment Case Files. Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 USC 552a(d)(2); to the individual's request for a review of DEA's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 USC 552a(g).

Disposition: a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials: Dis-

* Revision

pose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after DEA's agreement to amend, whichever is later.

b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials: Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by DEA, or 3 years after final adjudication by courts, whichever is later.

c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

File No. 380-22 (GRS 14-*23*)

Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 USC 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, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Disposition. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

File No. 380-23 (GRS No. 14-*24*)

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.

Disposition: a. Registers or listings: Destroy 5 years after date of last entry. b. Other files: Destroy 5 years after final DEA action or final adjudication by courts, whichever is later.

* Revision

File No. 380-24 (GRS No. 14-*25*- subitem b)

Privacy Act Reports Files. Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems.

Disposition: a. Annual reports at DEA level: Cut off annually. Transfer to the WNRC when 10 years old. Destroy when 30 years old.

b. Other reports: Destroy when 2 years old.

~~File No. 380-25 (GRS No. 14-*26*)~~

~~Privacy Act General Administrative Files. Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.~~

~~Disposition. Destroy when 2 years old or sooner if no longer needed for administrative use.~~

* Revision

DETAIL ACCOUNTING FILES

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

File No. 401-01 (GRS 6-1a)

Paid Vendor Invoice Files. Copies of paid invoices are maintained alphabetically by vendor.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-02 (GRS 6-1a)

Paid Government Obligations Files. Copies of Vouchers of Transfers between Appropriations and/or Funds (SF-1080) and Vouchers and Schedule of Withdrawals and Credits (SF-1081) that reflect payments made to other Government agencies by DEA. Documents are maintained alphabetically by agency, except those pertaining to the General Services Administration which are maintained by GSA region.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-03 (GRS 6-1a)

Paid Travel Voucher Files. Copies of Travel Voucher (SF-1012) that reflect payments for travel performed by DEA employees. Vouchers are maintained alphabetically by traveler's name.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-04 (GRS 6-1a)

Paid Purchase Order Files. Copies of Orders for Supplies or Services (OF-347) that reflect payments by DEA. Paid purchase orders are attached to the appropriate invoice with the receiving report and filed as an integral part of the Paid Vendor Invoice Files (401-01).

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-05 (NC1-170-77-1)

Unpaid Purchase Order Files. Copies of Orders for Supplies or Services (OF-347), including contracts, which DEA has not paid. Maintain documents by purchase order number.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-04).

File No. 401-06 (GRS 6-1a)

Paid Government Travel Request Card Files. Copies of Government Travel Request (SF-1169) that reflect payment by DEA. Cards are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-07 (NC1-170-77-1)

Unpaid Government Travel Request Card Files. Copies of Government Travel Requests (SF-1169) which DEA has not paid. Cards are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-06).

File No. 401-08 (GRS 6-1a)

Paid Transportation Schedules Files. Copies of Voucher and Schedule of Payments (SF-1166) that reflect payments by DEA to common carriers. Schedules are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-09 (GRS 6-1a)

Paid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) and Public Vouchers for Transportation Charges (SF-1113) that reflect payment to common carriers by DEA. Bills of Lading are maintained in vendor name sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-10 (NC1-170-77-1)

Unpaid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) for which the common carrier has not been paid by DEA. Bills of Lading are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-09).

File No. 401-11 (GRS 6-1a)

Reimbursable Moving Expenses and Taxes Withheld Files. Reports of Federal and state taxes withheld from wages of DEA employees who had a permanent change of station.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-12 (GRS 6-1a)

Travel Advance Card Files. Copies of Application and Account for Advance of Funds (SF-1038) concerning payment to employees for official travel. Maintain cards in alphabetical sequence by traveler's name.

Disposition: Destroy 6 years, 3 months after period of the account.

File No. 401-13 (GRS 6-1a)

Imprest Fund Account Files. Documents accumulated by imprest fund cashiers/subcashiers which reflect the receipt and accounting for imprest funds. Included are copies of the Request for Change or Establishment of Imprest Funds (OF-211), Reimbursement Vouchers (OF-1129), Request for Permanent Change in Imprest Funds (SF-1191), Monthly/Quarterly Audit Fund Report (DEA-153), Designation of Subcashier or Alternate Subcashier/Change in Imprest Fund (DEA-358), and other related forms of reimbursement vouchers and receipts for imprest funds. Also included are various logs used to control the funds, such as the Flashroll Log and the Foreign Currency Log.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-14 (GRS 6-1a)

Imprest Fund Shortage Files. Documents accumulated by the accounting officers which reflect imprest fund shortages, such as reports with supporting and related documents.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-15 (NC1-170-77-1)

Travel Accountability Files. Log registers and related devices that are used to record the receipt and issuance of accountable transportation forms such as, Government Bill of Lading (SF-1103), Government Transportation Request (SF-1169), and Government Tax Exempted Certificate (SF-1094).

Disposition: Destroy 1 year after all entries on the log registers are cleared.

File No. 401-16 (GRS 6-1a)

Monthly Disbursement and Collection Document Files. Copies of vouchers that reflect disbursements made by DEA and collections received by DEA. Included are Statement of Transactions (SF-224), Vouchers of Transfers Between Appropriations and/or Funds (SF-1080), Vouchers and Schedule of Withdrawals and Credits (SF-1081), Schedules of Cancelled Checks (SF-1098), Vouchers and Schedule of Payments (SF-1166), and Statement of Transactions (SF-1221).

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-17 (GRS 6-1a)

Certificate of Deposit Files. Copies of Certificates of deposit (SF-219) and supporting vouchers reflecting payments made by DEA to the U.S. Treasury.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-18 (GRS 6-1a)

Mechanized Accounting Document Files. Copies of documents posted to the DEA computerized accounting system. Included are allowance documents, obligation documents, duplicate copies of disbursement vouchers, liquidated and posted schedules, and correction notices.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-19

Mechanized Accounting Transaction Reports Files. Weekly and monthly reports that are generated by the DEA computerized accounting system. These include obligation I.D. master, expenditure and allowance report, monthly transaction register, notice of payments, travel advance statement, listing of travel advance balance, project summary report on obligations, report on obligations and expenditures, listing of valid batches by month, and related reports.

Disposition: a. Destroy weekly reports 3 months after the period of account. b. Destroy monthly transaction register and other documents 3 years after the period of account. c. Destroy year-end reports 6 years, 3 months after period of the account.

File No. 401-20 (GRS 6-1a)

Paid (Closed) Obligation Account Files. Copies of obligation documents and supporting papers that reflect payments made from DEA accounts during the course of operation of the agency. Documents are maintained in cost center number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-21

Unpaid (Open) Obligation Account Files. Copies of obligation documents and supporting papers for which payment has not been made by DEA. Documents are maintained in obligation number sequence.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-20).

File No. 401-22

Reserved

File No. 401-23 (GRS 6-1a)

Accounts Receivable Files. Records of accounts receivable pertaining to travel advances paid to employees and bills submitted by DEA to vendors or other agencies, pending payment to DEA. Records are maintained in account number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-24 (N1-170-86-2)

Delinquent Travel Advance Files. Records that reflect overdue or delinquent repayment of travel advance funds that were paid to an employee. Records are maintained in alphabetical sequence by employee name.

Disposition: Cut off at the end of the fiscal year. Destroy one year after payment of funds to DEA.

File No. 401-25 (N1-170-86-2)

Obligation Control (Log) Register Files. Used to record and control the assignment of fiscal accounting data, consisting of an entry in the register for each obligation.

Disposition: Destroy at the end of the fiscal year in which the account is closed.

****File No. 401-26**

Detail Accounting Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the detail accounting program.

Disposition: Destroy when 6 years old.**

** Addition

SUMMARY ACCOUNTING FILES

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

File No. 410-01

Accounting Journal Files. Documents relating to books of original entry maintained to record all financial transactions and to summarize accounting for monthly postings to the general ledger. Included are the general journals and special journals, such as fund receipt, fund disbursement, and related documents.

Disposition: Cut off at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.

File No. 410-02

General Ledger Files. Documents relating to general ledgers which contain the accounts necessary to reflect financial operations, such as asset accounts, operating accounts, and liability accounts. These accounts are maintained to establish in summary form the status of the accounts, operations for the month, and to provide a medium for verifying the accuracy of reports and subsidiary ledgers.

Disposition: Cut off at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.

File No. 410-03

Subsidiary Ledger Files. Documents relating to subsidiary ledgers maintained as a source for ascertaining the composition of general ledger accounts, accumulated detail for analysis and reporting purposes, and verification of the accuracy of general ledger accounts.

Disposition: Cut off at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.

File No. 410-04 (GRS 7-2)

Trial Balance Files. Documents relating to trial balances prepared from general ledger accounts, including trial balance sheets and related papers.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 410-05

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

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 410-06 (NC1-170-77-1)

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

Disposition: Destroy 1 year after receipt of printout.

File No. 410-07 (GRS 7-2)

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

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

****File No. 410-08**

Summary Accounting Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions relates to the administration and operation of the summary accounting program.

Disposition: Destroy after 6 years.**

** Addition

PROCUREMENT MANAGEMENT FILES

These files relate to the management and administration of procurement of equipment, services, supplies, and other materials. Specific purchase and contract transaction files are contained in File No. 490 series.

File No. 480-01

Supplemental Regulations, Policies, and Decision Files. Documents relating to revisions, additions, interpretations, and decisions in the Federal Acquisition Regulations, Federal Property Management Regulations, Department of Justice and internal DEA policies and procedures.

Disposition: Destroy when superseded or obsolete.

File No. 480-02

Contracting Authority and Administration Files. Documents which delegate and rescind contracting authority to/from specific individuals, including limitations and scope of authority. Contract administration staff responsibilities are also included.

Disposition: Destroy 6 years and 3 months after recession.

File No. 480-03

Recurring Procurement Reports Files. Documents relating to reporting systems designed to provide statistics and status concerning procurement activity and advanced procurement planning.

Disposition: Destroy 6 years and 3 months after end of fiscal year of preparation.

File No. 480-04

Procurement Reviews, Inspections, and Audit Files. Documents relating to the review, inspection, and audit of procurement matters and contracts for such aspects as legal sufficiency, appropriateness of award, reasonableness of cost and price, preparation of documents, etc. Included are copies or extracts of reports made by DEA inspectors, procurement staff personnel, and

DOJ or GAO auditors. Also included are recommendations for corrective action, resolutions, and related followup correspondence. Replies to Freedom of Information requests for purchasing information are also included.

Disposition: Destroy 6 years and 3 months after date of final report or 1 year after final resolution if pending longer than 6 years.

File No. 480-05

Procurement Misconduct Files. Documents relating to specific incidents of unauthorized or illegal procurement and referrals to the Office of Inspection of suspected fraud, misconduct, or criminal conduct in connection with procurement matters. Ratifications of emergency unauthorized procurements are included.

Disposition: Destroy 6 years and 3 months after date of final report or 1 year after final resolution if pending longer than 6 years.

File No. 480-06 #8 in previous manual

Debarred Bidder List Files. Documents relating to the suspension of bidders that prohibits contractual relationships with the Department of Justice or DEA. Included are lists of debarred, ineligible, or suspended bidders; status reports and recommendations relating to bidders appearing on the lists; modifications, deletions, and additions to the lists; and similar or related documents.

Disposition: Destroy when superseded or obsolete.

File No. 480-07 #9 in previous manual

Bidder List Files. Cards and source lists of firms for each service or item procured frequently or in significant quantities. Included are form SF-129 (Bidders Mailing List Application), annual lists from location Small Business Administration, and minority business information.

Disposition: Destroy when superseded or obsolete.

File No. 480-08

Unsolicited Vendor Proposal Files. Documents relating to the receipt and acknowledgement of product or service solicitation from firms or individuals. Accepted proposals become part of the purchase or contract file under file 490-01 or 490-03, as applicable.

Disposition: Destroy unsuccessful unsolicited vendor proposals after ~~3 years.~~ 6 years and 3 months.

INDIVIDUAL PROCUREMENT TRANSACTION FILES

These files relate to the administration of individual procurement transactions which include documents relating to the negotiation, commitment, and placement of contracts, purchase orders, and comparable instruments.

Files that are known to be pertinent to an unsettled claim, incomplete investigation, or pending litigation will not be destroyed until settlement of the claim or completion of the investigation or litigation. In addition, records relating to contracts involved in appeals handled by a Board of Contract Appeals will be retained for a period of seven years from the date of the decision of the board.

**GAO has certain statutory responsibilities which require that purchasing and contract files be made available for review. The copy of the purchase order or contract maintained by the Contracting Officer may be requested by GAO.

Individual procurement transactions are filed by the Contract Specialists and Procurement Agents in sequential order by register number assigned. Separate registers are maintained for:

Open Market Small Purchases up to $25,000, Federal Supply Schedule Delivery Orders, Blanket Purchase Arrangements, Leases for Real Property

GSA FEDSTRIP Requisitions

Open Market Contracts Over $25,000

Interagency Procurement Agreements are filed alphabetically by project title.**

File No. 490-01

Small Purchase Files. Documents relating to market purchases, including leases for real property, of $25,000 or less; **construction contracts under $2,000;** GSA FEDSTRIP requisitions; Federal Supply Schedule delivery orders and Blanket Purchase Arrangements. Included are DEA Form 19, DEA Form 261, DEA Form 264, SF-18, SF-344, and OF-347/348, and any other supporting correspondence or documentation which provide an audit trail of each purchase.

** Addition

Disposition: Destroy 3 years after receipt of final receiving report.

File No. 490-02

Interagency Procurement Agreement Files. Documents relating to reimbursement agreements between agencies for the purpose of obtaining services, supplies, equipment, or other materials against an existing contract (not Federal Supply Schedules) that has been awarded by either DEA or other agencies.

Disposition: Destroy 6 years and 3 months after end of fiscal year final payment is made.

File No. 490-03

Contract Files. Documents relating to all types of agreement and orders placed on the open market to procure equipment, supplies, services, or property (including leases for real property) having a dollar value over $25,000, **and all construction contracts exceeding $2,000.** Included are requests for contracts, standardized drawings and specifications, the successful bid, unsuccessful bids, determinations, findings, and related summaries, and any other pre-award and contract administration documentation which provide an audit trail of each contract.

Disposition: Destroy 6 years and 3 months after final payment is made.

File No. 490-04

Tax Exemption Certification Files. Documents and registers relating to issuing tax exemption certificates which indicate proof of exemption of taxes excluded from the purchase price under procurement regulations.

Dispostion: Destroy documents 6 years after period covered to related amount.

** Addition

EQUAL EMPLOYMENT OPPORTUNITY FILES

These files relate to DEA compliance with Federal Government policy guaranteeing equal employment opportunity to all persons without regard to race, *sex, color, national origin, religion, age or handicap.*

File No. 501-01

Equal Employment Opportunity Statistical Reporting Files. Documents related to reporting on activities and conditions related to equal employment opportunity. Included are *DEA workforce reports on recruitment hiring, and promotions; general* statistical and narrative reports; summaries; consolidations; and similar or related documents.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after submission of reported data. b. Other offices: Destroy 2 years after submission of reported data.

File No. 501-02

Reserved.

File No. 501-03

Equal Employment Opportunity Complaints System Files. Documents reflecting *discrimination* complaints of personnel. Included are complaints, transmittal letters, investigative data and summaries, finding of fact statements, final disposition reports, acceptance statements, withdrawal notices, and similar or related documents.

Disposition: Case resolved by DEA: Destroy 7 years after final adjustment.

File No. 501-04

Equal Employment Opportunity Affirmative Action Program Files. Documents created *when implementing affirmative action* objectives and actions within geographical areas under a field Division's jurisdiction.

Disposition: Destroy 5 years after plan is approved.

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, *Hispanic Employment Program, Black Affairs Program, Asian/Pacific American Program and Selective Placement Program for Handicapped Persons.*

Disposition: Destroy 5 years after termination of program.

* Revision

**File No. 501-06

Equal Employment Opportunity Program Management Files: Correspondence, instructions, studies, messages, interpretations and coordinating actions related to the administration and operation of the equal employment opportunity program.

Disposition: Destroy after 6 years.**

** Addition

PERSONNEL PROGRAM FILES

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

File No. 510-01 (NC1-170-77-1)

Personnel Program Reporting Files. Documents which provide data concerning various aspects of DEA personnel management activities. Included are statistical and narrative reports; consolidations, summaries, extracts of reports, and similar or related documents.

Disposition: Destroy 3 years after submission of program data.

File No. 510-02c (NC1-170-77-1)

Personnel Inspection Files. Documents reflecting inspections conducted by the Office of Personnel Management and other authorized agencies. Included are reports of inspection, reports of corrective action taken, and similar or related documents.

Disposition: Destroy 1 year after next comparable inspection.

File No. 510-03 (NC1-170-77-1)

JUNIPER Printout Files. Documents consisting of computerized personnel listings that are generated by the Justice Uniform Personnel System (JUNIPER).

Disposition: a. Expiration of appointments and transaction and error register listing: Destroy 6 months after receipt. b. DEA separations by series, JUNIPER suspense roster, probationary or trial period conversions, DEA promotion roster, cumulative list of DEA promotions, and within-grade roster listings: Destroy 1 year after receipt. c. JUNIPER manpower analysis roster (maintain one copy of monthly roster): Destroy 3 years after receipt. d. Accessions and separations listing: Destroy 5 years after receipt.

File No. 510-04 (NC1-170-77-1)

JUNIPER Microfiche Files. Documents consisting of microfiche listings that are generated by the Justice Uniform Personnel System (JUNIPER).

Disposition: a. Personnel listings in alphabetical sequence by name and numerical sequence by social security number: Destroy 6 months after receipt; b. Master file display: Destroy 5 years after receipt.

File No. 510-05 (NC1-170-77-1)

Payroll Systems Printout Files. Documents consisting of listings that are generated by the computerized output from the time and attendance report (DOJ Form 225a).

Disposition: a. Time and attendance leave discrepancies: Destroy 6 months after receipt. b. Personnel and payroll master discrepancies report: Destroy 1 year after receipt.

File No. 510-06

Personnel Correspondence Files. Correspondence, reports, memoranda, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Disposition: Destroy when 3 years old.

PERSONNEL POSITION AND PAY FILES

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

File No. 520-01

Reserved.

File No. 520-02 (NC1-170-77-1)

Master Position Description Files. Documents used in analyzing a specific position to determine whether the position matches an existing position. Included are OF-8 (Position Description) and similar or related documents.

Disposition: a. Destroy original copy 5 years after position is abolished or description is superseded. b. Destroy other copies when position is abolished or description is superseded.

File No. 520-03 (NC1-170-77-1)

Organization Files. Documents reflecting a complete record of positions in each organizational segment. Included are individual folders containing organization charts, position descriptions, and questionnaires, if used; and similar or related documents.

Disposition: Destroy when superseded or obsolete.

File No. 520-04 (NC1-170-77-1)

Position Standard Files. Documents which provide guidance in evaluating positions and consist of Office of Personnel Management and Department of Justice classification and qualification standards. Included are position evaluation decisions, post-audit reports by Office of Personnel Management which have the effect of standards, and similar or related documents.

Disposition: Destroy when standard is superseded or obsolete.

File No. 520-05 (NC1-170-77-1)

Position Standard Development Files. Documents relating to developing classification or qualification standards. Included are tentative drafts of standards, correspondence, project schedules, and similar or related documents.

Disposition: Review at least once a year after publication of final standards and destroy all papers which have been superseded or are no longer applicable.

File No. 520-06 (NC1-170-77-1)

Post Differential and Allowance Files. Documents which provide overseas personnel offices with a means of documenting an employee's eligibility for foreign post differential and foreign quarters and post allowance. Included are Standard Form 1190 (Foreign Allowances Application, Grant, and Report) and similar or related documents.

Disposition: Destroy on separation of employee from the agency.

File No. 520-07 (NC1-170-77-1)

Wage Rate Files. Documents relating to the determination and application of base rate schedules for wage board jobs. Included are tentative and revised schedules of full scale wage surveys, and requests for changes to survey schedules; minutes of meetings; comments, recommendations, and justifications; collected and supplemental wage data concerning regular and overtime rates, bonuses, incentives, and shift differentials, data summaries; wage schedules; notifications of wage schedule applications, and similar or related documents.

Disposition: Destroy when superseded or obsolete.

File No. 520-08

Payroll Correspondence Files. Correspondence, memoranda, and other records relating to payroll problems of employees, the general administration and operation of payroll functions, but excluding records specifically described in this appendix.

Disposition: Destroy when 3 years old.

File No. 520-09

Attendance and Leave Files. Correspondence and other documentation pertaining to the general administration of employee attendance and leave, and resolution of attendance and leave problems, but excluding records specifically described in this appendix. **Documents include instructions and interpretations dealing with administering the Time and Attendance Program.**

Disposition: Destroy when 5 years old.

File No. 520-10 (GRS 1-7c(1))

Position Classification Survey Report Files. Survey reports on various positions prepared by classification specialists, including periodic reports.

Disposition: Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

Files No. 520-11 (GRS No. 1-7c(2))

Position Classification Inspection, Audit, and Survey Files. Correspondence, memoranda, reports and other records relating to position classification inspections, surveys, desk audits, and other evaluations.

Disposition: Destroy when obsolete or superseded.

File No. 520-12 (GRS No. 1-7d)

Position Classification Appeals Files. Case files relating to classification appeals and position reviews.

Disposition: Destroy 3 years after case is closed.

****File No. 520-13**

Premium Pay. Documents related to Administratively Uncontrollable Overtime pay, compensatory overtime pay, overtime, hazardous pay, differentials, and other forms of pay other than regular pay. Documents consist of correspondence, forms, printouts, etc., that request, authorize, and report the various forms of premium pay.

Disposition: Destroy after GAO audit or 3 years, whichever is sooner.**

** Addition

EMPLOYMENT SERVICES FILES

These files relate to selecting and retaining employees for DEA.

File No. 530-01 (NC1-170-77-1)

Civil Service Certificate Files. Documents providing a record of requests to the Office of Personnel Management (OPM) for certifying eligibles and reporting action taken on certificates of eligibles. Included are Standard Form 39 (Request for Certification) (Copy 3), OPM Form 2934c (Statement of Reasons for Passing over a Preference Eligible and Selecting a Nonpreference Eligible) and similar or related documents.

Disposition: Destroy 2 years after date of certification.

File No. 530-02 (NC1-170-77-1)

Re-employment Files. Documents reflecting persons separated by reduction-in-force or for military service, or having other restoration or re-employment rights. In either the restoration section or the re-employment priority list section of these files, the file on an individual may be returned to the employee evaluation record file upon fulfillment of restoration or re-employment obligation.

Disposition: a. Restoration activity: Destroy when obligation is terminated or restored. b. Re-employment priority list activity: Review at end of each calendar year. Place forms for employees separated for 2 years in an inactive file, hold 1 year, then destroy. Place forms for employees separated for 1 year in an inactive file, hold 1 year, then destroy.

File No. 530-03

Delete.

****File No. 530-04**

Employee Processing Files. Documents may include Employee Clearance Record, Exit Interview Questionnaire, and similar or related documents used to record an employee's departure from the agency.

Disposition: Destroy 2 years after the employee leaves the agency.**

* Revision
** Addition

EMPLOYMENT APPLICATION FILES

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

File No. 540-01 (NC1-170-77-1)

Qualification Standard Files. Documents used in rating applications for appointments and approving noncompetitive actions. Included are index to standards; OPM Handbook X-118, OPM Departmental Circular 588; examination announcements; special standards, such as promotion and training agreements; and similar or related documents.

Disposition: Destroy when qualification standard is superseded. (Superseded standards may be retained until OPM inspection covering period during which the standard was applicable).

File No. 540-02 (NC1-170-77-1)

Active Employment Application Files. Documents pertaining to individuals who can be considered for appointment. Included are applications and related documents.

Disposition: Destroy after 2 years (with prior approval of OPM or on receipt of OPM inspection report).

Note: In all cases retain applications having a direct bearing on the appointment in question until action is completed.

File No. 540-03 (NC1-170-77-1)

Inactive Employment Application Files. Documents pertaining to applicants for Federal employment rated as not qualified for consideration for appointment, applicants who decline or will not be available for appointment for an indefinite period of time, and applicants for who employment determinations preclude selection. Included are applications and related documents.

Disposition: Destroy after 2 years (with prior approval of OPM), or on receipt of OPM inspection report.

****File No. 540-04**

Announcement, Notification, and Publicity Files. Included are position announcements, notices of scheduled examinations, public notices of opportunity to compete, and material reflecting all efforts made to reach the best sources of quality candidates (e.g., paid advertising).

Disposition: Destroy 5 years after terminating related register, announcement, or advertisement.

File No. 540-05

Requests for Information Files. Documents consist of requests for information on announced position vacancies and DEA employment in general, plus the response to the request. Included are unsolicited resumes and SF-171's.

Disposition: Destroy after 2 years.**

** Addition

INDIVIDUAL EMPLOYEE FILES

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

File No. 550-01

Official Personnel Folder Files. Documents which reflect qualifications, efficiency, promotions, awards, and similar information on a DEA employee. Included are individual personnel folders, Notification of Personnel Action (SF-50), and allied forms and related documents.

Disposition: a. Transfer of employee: Transfer folder to new employing office. b. Separation of employee: Retire to National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, MO 63118. **NOTE: Maintain and dispose of temporary records on left side of OPF in accordance with FPM Chapter 293 and Supplement 293-31c**

File No. 550-02 (NC1-170-77-1)

Expert and Consultant Data Files. Documents reflecting the names, designations, rates of compensation, duties, and number of days service of experts and consultants. Included are extra copies of personnel actions, descriptions of services to be performed, and similar or related documents.

Disposition: Destroy 2 years after separation of employee.

File No. 550-03

Employment and Financial Interest Statement Files. Documents reflecting Government employment, private employment, and financial interest of DEA employees required to file such statements as required by the DEA Personnel Manual. Included are statements of employment and financial interests, supplementary statements, reports of change, review comments, and related papers.

Disposition: Destroy 2 years after separation, retirement, reassignment, or death of the individual.

File No. 550-04

Notification of Personnel Action Files. Documents which consist of copy No. 6 (utility copy) of SF-50, which is filed by nature of action in chronological sequence.

Disposition: a. Accessions and separations: Destroy 10 years after the effective date of the nature of action. b. Other documentsi Destroy 2 years after the effective date of the nature of action.

PROMOTION, PLACEMENT, AND CAREER MANAGEMENT FILES

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

File No. 560-01 (NC1-170-77-1)

Referral and Selection Files. Documents reflecting placement and promotion actions under the Merit Placement and Promotion Program. Maintain in chronological order by date of certification.

Disposition: Destroy after 2 years or after regularly scheduled OPM inspection.

File No. 560-02 (NC1-170-77-1)

Placement Consideration Files. Documents pertaining to employees considered to fill a vacancy but not selected and held for future consideration of employee. Included are requests for consideration, vouchers, results of interviews, qualification summaries, copies of notices of eligibility, and similar or related documents.

Disposition: Destroy after 2 years or after regularly scheduled OPM inspection.

File No. 560-03

Delete

File No. 560-04 (NC1-170-77-1)

Career Management Files. Documents related to formulating and directing a planned system for the progressive development of employees and to provide a source of input to meet continuing staffing requirements within designated career occupational fields. Included are coordinating actions, studies, interpretations, and published record copies of instructions; DEA wide letters; messages; newsletters; and similar or related documents.

Disposition: Destroy 5 years after system is superseded or obsolete.

* Reserved

File No. 560-05 (NC1-170-77-1)

Occupational Inventory Files. Documents reflecting qualifications, availability, appraisals, and other data on persons registered in specific career fields. Included are forms, printouts, and similar or related documents.

Disposition: Destroy 2 years after individual is no longer eligible for consideration.

File No. 560-06

Delete.

File No. 560-07 (NC1-170-77-1)

Career Trainee Input Requirement Files. Documents reflecting trainee input requirements in occupational fields. Included are letters, forms, printouts, and similar or related documents.

Disposition: Destroy 2 years after the end of the fiscal year for training input requirements.

**File No. 560-08 (N1-170-88-1)

Special Agent Career Management Files. Documents reflecting offers or notices of assignment to posts of indicated preference. Also included are offices of preference by agents selecting the investigative career path or indicating the management career path, and computer-generated printouts derived from this information. Documents may include policy or position papers, correspondence, copies of SF-52's, and similar or related documents on the office of preference program.

Disposition: a. Assignment notices and policy documents or position papers: Destroy after 3 years. b. Agent-filed career and office of preference forms, and computer printouts of the associated database: Destroy after 1 year.

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** Addition

File No. 560-09

Non-1811 Career Management Files. Documents reflecting offers or notices of assignment to positions applied for. Included are acceptance letters; welcoming letters; and other correspondence related to the assignment. Documents may include policy or position papers, copies of SF-52's, travel orders, and similar or related documents.

Disposition: Destroy after 3 years.

File No. 560-10

Home Leave Files. These files consist of requests by employees in foreign offices for home leave upon completing 2 years overseas; in conjunction with renewing their tour for an additional 2 years. Included are coordinating actions and approvals at designated levels.

Disposition: Destroy when 5 years old.

File No. 560-11

Student Assistance and Employment Files. Documents consist of policy or position papers concerning the stay-in-school, summer hire, and cooperative education programs. Included are written agreements with the students and the schools; applications, transcripts, work plans and schedules; recommendations by DEA and school staff members; copies of position descriptions; required reports, correspondence, and similar or related papers.

Disposition: a. Files pertaining to individual students: Destroy 3 years after the student has been either dropped from the program or hired by DEA. b. Other Files: Destroy when 3 years old.

File No. 560-12

Orientation Files. Documents consist of program policy and procedural memoranda, brochures, handouts, notifications of orientations, listings, agendas, coordinating actions, and similar or related documents.

Disposition: Destroy after 3 years.**

** Addition

PERSONNEL WELFARE AND GRIEVANCE FILES

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

File No. 570-01 (NC1-170-77-1)

Hours of Work Files. Documents relating to the establishment of working hours, staggered shifts, holiday staffing, and similar matters affecting the work schedule of civilian employees. Included are coordinating actions, studies, interpretations, and published record copies of instructions; letters; messages; and similar or related documents.

Disposition: Destroy 1 year after no longer effective.

File No. 570-02 (NC1-170-77-1)

Employee Service Case Files. Documents related to considering, approving or disapproving, establishing or discontinuing specific employee services or facilities such as medical and health services; recreation; and published record copies of instructions; letters; orders, and similar or related documents.

Disposition: Destroy 5 years after disapproval or discontinuance of the service or facility.

File No. 570-03

*Misconduct Appeal and Grievance Case Files. Documents reflecting actions taken on appeals and grievances submitted by DEA employees. Included in each case are employee grievance record; decisions delivered, including records of grievance committee; review decisions; and similar or related documents.

Disposition: Destroy 3 years after case is closed.

File No. 570-04 (N1-170-86-1)

Performance-Based Action Files. Documents reflecting the results of performance-based actions such as appeals, grievances, removals, demotions, within grade increases, etc. Included are

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the employees rating documents; responses in mitigation; decisions delivered, review decisions, and similar or related documents.

Disposition: Destroy 3 years after final resolution.*

File No. 570-05 (N1-170-86-1)

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.

File No. 570-06 (N1-170-86-1)

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.

File No. 570-07 (N1-170-86-1)

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.

File No. 570-08 (N1-170-86-1)

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

Disposition: Destroy 3 years after final resolution.

File No. 570-09 (GRS No. 1-31)

Personal Injury Files. Documents and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, excluding copies filed in the Official Personnel Folder.

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Disposition: *Cut-off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut-off.*

File No. 570-10

Disciplinary/Adverse Action Files. Case files and related records in reviewing an Adverse Action (Disciplinary or Non-Disciplinary Removal, Suspension, Leave Without Pay, Reduction-in-Force) against an employee. Included in each case is a copy of the proposed action with supporting papers; statements of witnesses; employee's reply; hearing notices; reports and decision; reversal of action; and appeal records.

Disposition: Destroy 4 years after case is closed.

File No. 570-11 (GRS No. 1-26a)

Personnel Counseling Records. Documents relating to interviews, analyses, and related records of assistance provided to employees.

Disposition: Destroy 3 years after termination of counseling.

File No. 570-12

Personnel Welfare and Grievance Program Management Files. Documents related to establishing and administering the programs in this area. Included are coordinating actions, studies, instructions, authorizing directives, interpretations, messages, and similar or related documents.

Disposition: a. Office of Record: Destroy after 5 years. b. Other Offices: Destroy after 3 years.

File No. 570-13 (GRS 1-23a)

Performance Appraisal Program Files. Records consist of letters of instructions, interpretations of regulations, memoranda, other correspondence, and documents used in administering the performance appraisal process and program. Excludes performance ratings (DEA Form 460) which are filed in 020-03 and 550-01.

Disposition: Destroy when 3 years old, or when no longer needed, whichever is sooner.

File No. 570-14

SAC/CA Rating Input Files. Consist of letters of instructions, work sheets, meeting notes and other documents accumulated to provide input for determining mid-year performance reviews and annual performance ratings for Special Agents in Charge and Country Attaches.

Disposition. Destroy when 3 years old or when no longer needed, whichever comes first.

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PERSONNEL REDUCTION-IN-FORCE FILES

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

File No. 580-01 (NC1-170-77-1)

Reduction-In-Force Data Files. Documents reflecting name of employee, date, position, grade, last performance rating, competitive level code, and similar information. Included are punched cards, card forms, listings, and similar or related documents.

Disposition: Destroy when no longer required for reference.

File No. 580-02 (NC1-170-77-1)

Competitive Level Files. Documents reflecting competitive levels within areas serviced by the DEA personnel officer which are used as a basis for preparing retention registers. Included are cards, listings, and similar or related documents.

Disposition: Destroy when no longer required for reference.

File No. 580-03 (NC1-170-77-1)

Retention Register Files. Documents reflecting retention groups of employees according to tenure, length of service, performance ratings, and veterans perference. Included are registers and similar or related documents.

Disposition: Destroy when 2 years old, unless appeals are pending.

INCENTIVE AWARDS COMMITTEE FILES

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

File No. 590-01

Incentive Awards Program Management Files. Documents related to program/policy guidance in the daily operation of this program. Included are coordinating actions/studies, instructions, authorizing directives, interpretations, messages, and similar or related documents.

Disposition: a. Office of Record: Destroy after 5 years. b. Other offices: Destroy after 3 years.

File No. 590-02

Incentive Awards Reporting Files. Documents used to provide statistical information on participation, approvals, savings, or other aspects of the incentive awards program. Included are retained copies of reports, report corrections, and similar or related documents.

Disposition: Destroy 3 years after data were reported.

File No. 590-03

Incentive Award Case Files. Documents related to submitting, evaluating, and approving or disapproving each incentive awards case. Included are types of awards as suggestions, Sustained Superior Performance, Special Act or Service, or Certificate of Achievement.

Disposition: Destroy 2 years after final action.

File No. 590-04 (NC1-170-77-1)

Employee Suggestion Control and Subject Index Files. Documents used as a suspense control of employee suggestions on which action is not completed, and as a subject index to completed suggestions.

Disposition: Transfer from control file to subject index file upon final disposition of suggestion. Destroy 2 years after final disposition of suggestion.

ENFORCEMENT FILES

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

File No. 601-01

Jurisdictional Responsibility Files. Documents relating to determining and establishing the scope and responsibility of DEA for drug abuse prevention; detection and investigation of drug/narcotic crimes and offenses; and apprehension, restraint, and custody of offenders or suspected offenders. Included are agreements with other Federal agencies or civil authorities, and similar papers.

Disposition: a. Offices performing DEA-wide staff responsibility: (1) Record copy of agreement and implementing instructions: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documentse Destroy 8 years after termination of agreement or functional responsibility. b. Other offices: Destroy 5 years after termination of agreement or functional responsibility.

File No. 601-02 (NC1-170-77-1)

Investigative Technique Files. Documents related to determining and disseminating the techniquese methodse and procedures to be used in investigating and reporting drug/narcotic criminal and regulatory activities and offenses. Included are written guidelines pertaining to using specialized equipment in support of investigations.

Disposition: a. Offices responsible for directing or developing techniquese methodse and procedurese Destroy 5 years after termination of functional requirement. b. Other officese Destroy 3 years after termination of functional requirement.

File No. 601-03 (NC1-170-77-1)

Enforcement Confidential Fund Files. Documents which relate to expenditures of special funds to cover expenses incurred in discharging assigned duties of criminal investigators not otherwise payable from other DEA funds. Funds are used for purchase of evidence and purchase of information.

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

File No. 601-04

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

Dispositionc a. Offices responsible for directing or developing investigative and compliance programs: (1) Record copy of substantive documentation relating tocenforcement programsc Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documentsc Destroy 5 years after termination of functional requirement. b. Other officesc Destroy 5 years after termination of functional requirement.

File No. 601-05

Criminal Investigator Cross-Designation Files. Documents relating to the assignment, termination, or withdrawal of cross-designation of criminal investigators as Customs Officers (Excepted) **and deputization of law enforcement officials to make arrests under the authority of DEA criminal investigators. Included are applications, recommendations, approvals, disapprovals, and related papers.**

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

File No. 601-06

Enforcement Activities Reporting Files. Reports containing statistical and narrative data relating to drug/narcotic casesç compliance violations, drug seizures, intelligence operations, and other enforcement activities. Included are the weekly, biweekly, and monthly activity reports, monthly work hour and project summaries, feeder reports, and consolidated reports and analyses. Does not include reports pertaining to enforcement programsç as such reports are included with the program files.

** Addition

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

File No. 601-07

Numbered Investigative Case Files. DEA reports of investigation concerning offenses related to violations of drug/narcotic laws and required inspections of registrant activities. Included are DEA reports of investigation (DEA Form 6) and supporting documents.

Disposition: a. Files created in 1968 and afterward:

(1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer closed case files when 10 years old, in 1 year groups, to Federal records center. Case files opened longer than 10 years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

(2) Originating foreign offices will transfer closed case files when 3 years old, in 1 year groups, to Federal records center. Case files opened longer than 3 years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years after date the file was opened) or 22 years from date of last correspondence, whichever date is later.

b. Files created prior to 1968: Originating District and Resident Offices and Investigative Records Unit, Records Management Section, are authorized to destroy all closed FBN case files that were opened in 1955 or earlier. Transfer closed FBN and BDAC case files opened after 1955 to Federal records center in calendar year 1980. Open case files will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

c. Field offices will dispose of case files originated by other District or Resident Offices according to File No. 601-12.

d. Index cards may be destroyed currently when the corresponding files are destroyed; or they may be retained and destroyed in year 2004. Offices having a NADDIS terminal may destroy index cards for investigative reports dated from July 1, 1975 to present date.

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

File No. 601-08

General Investigative Files. DEA reports of investigation that are limited in scope concerning individuals, firms, ships or related subjects pertinent to violations of drug narcotic laws or DEA registrant activities. Included are numbered and unnumbered general investigative files. Name and program general files procedures are outlined in Chapter 62 of the DEA Agents Manual.

Disposition: a. Unnumbered files: (1) Transfer files to Federal Records Center in calendar year 1980. Destroy in calendar year 1995. (2) Unnumbered files sent to Federal records center prior to 1980 will be destroyed after 15 years in Federal records center.

b. Numbered files: (1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer inactive files (i.e., 5 years after date of last correspondence) to Federal records center 10 years from the date the file was opened. Files still active after 10 years will be retained until they become inactive and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files 2 years after date of last correspondence) to Federal records center 3 years from date the file was opened. Files still active after 3 years will be retained until they become inactive and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 23 years from date of last correspondence, whichever date is later.

c. *Field offices will dispose of general investigative files prepared by other District or Resident Offices in accordance with File No. 601-12.*

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

File No. 601-09

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

* Revision

Disposition: a. Unnumbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center in calendar year 1979. Active files will be retained until they become inactive and then transferred to Federal records center as indicated in paragraph b. below. Destroy in calendar year 1993 or 20 years from date of last correspondence, whichever date is later.

b. Numbered files with reporting (originating) office designator:

(1) Domestic offices will transfer inactive files (i.e., 5 years after date of last correspondence) 10 years after date the files were opened, in 1 year groups, to Federal records center (CI files will not be sent to the center at Laguna Niguel, CA). See Appendix 0755A for a list of the Federal records centers. Offices having files still active after 10 years, will retain the files until they become inactive and forward the files to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files (i.e., 2 years after date of last correspondence), 3 years from date the file was opened, in 1 year groups, to Federal records center. Offices having files still active after 3 years will retain the files until they become inactive and transfer the files to Federal records center. Destroy when 25 years old (i.e, 25 years from date the file was opened) or 23 years from date of last correspondence, whichever date is later.

Note: The sensitivity of these files requires that they be stored in a vault or classified area of the Federal records center. These files will be sealed in records center boxes and delivered by the DEA activity to the Federal records center, picked up and receipted for by the records center, double wrapped and sent by registered mail return receipt through USPS or forwarded by diplomatic pouch. These boxes and SF-135 will be annotated with the special handling marking "NOT TO BE OPENED BY NARA; RESTRICTED TO DEA PERSONNEL".

c. Numbered files with another office designator: Files pertaining to cooperating individuals of another District or Resident Office may be destroyed when the last correspondence in the files is 2 years old. Prior to destruction, transfer the original copies of payment vouchers (DEA Form 103) to the office that established the cooperating individual. Also, forward copies of status reports or correspondence not previously sent to the establishing office (do not send cross-file copies of debriefing reports).

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

File No. 601-10 (NC1-170-77-1)

Enforcement Journal Files. Documents containing a chronological record of agent activity developed from reports, complaints, incidents, or information received, and action taken.

Disposition: Destroy 3 years after journal entry date.

File No. 601-11

Foreign Country Files. Documents relating to drug/narcotic enforcement activities in a foreign country. These files include: a. Correspondence with foreign governments concerning international cooperation in enforcement activities and documents concerning methods used to control international trafficking in narcotics; agenda, minutes, and reports of meetings and conferences on narcotic control; and documents concerning DEA participation in negotiations concerning internal narcotic control matters, including position papers.

b. Studies of drug/narcotic production and distribution, assessments of anti-narcotics efforts within a country, delineation of areas of responsibility for drug/narcotic enforcement, position papers, and status reports of drug/narcotic enforcement.

Disposition: a. Office performing DEA-wide staff responsibility: Record copy of documents described in paragraphs a. and b. above. Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. b. Other offices: Destroy 5 years after approval of program material.

File No. 601-12

Other Field Office Investigative Files. Files received from subordinate offices (District and Resident) of field Divisions and Country Offices are included in this category. Copies of DEA Reports of Investigation (DEA Form 6) and other investigative documents received from or prepared for other field Divisions, Country Offices, District Offices, Resident Offices, and Headquarters offices. These files are established and maintained separately from the numbered files originated by field offices.

Disposition: Destroy 10 years after date of report. Earlier destruction is authorized when the files are no longer needed for investigative purposes. Do not transfer files to Federal records center.

ENFORCEMENT GRANT PROGRAMS FILES

File No. 610-01

Reserved.

File No. 610-02

Reserved.

**620 DRUG ABUSE PREVENTION FILES

These files relate to those activities performed by DEA in cooperation with: other U.S. Government agencies; state, local, and foreign governments; plus civic, professional, and business groups. These goals of these activities are to publicize the effects and dangers of drug abuse through: personal appearance speaking engagements of top DEA officials, sports figures, and civic/business professionals knowledgeable in this area; training seminars for athletic coaches; drug abuse prevention publications in several languages; and other programs as may be advised.

File No. 620-01

Demand Reduction Program Management Files. Documents relating to establishing and administering the daily operation of the functions of this program area through the program/policy guidance issued. Included are coordinating actions, studies, memoranda, messages, reports, instructions, authorizing directives, and similar or related documents.

Disposition: a. Office of Record: Destroy after 6 years. b. Other offices: Destroy after 3 years.

File No. 620-02

Demand Reduction Project Files. Documents received or created in planning, coordinating, executing, and reviewing courses of action for reducing the demand for narcotics. Included are: documents on seminars, public appearances and displays, publications, and foundations; promotions by national/state/local/professional groups, parents, private industry, civic groups, and sports figures; agreements with medical groups and law enforcement groups; and training programs.

Disposition:
a. Headquarters Project Files: PERMANENT. Retire to the WNRC when 5 years old. Transfer to the National Archives when 15 years old.
b. Quarterly Reports from field divisions: PERMANENT. Disposition instructions as above.
c. All other records: Destroy five years after end of functional requirement.
d. Other offices: Destroy three years after end of functional requirement.

** Addition

DRUG CONTROL FILES

These files relate to the control of legally manufactured drugs.

File No. 630-01 (NC1-170-77-1)

Drug Evaluation Files. Documents pertaining to studies and technical reviews of abuse, production, and distribution of drugs for the development of drug control requirements. Included are surveys of rehabilitation facilities, staff position papers, copies of state and Federal programs; statistics on drug diversion, agenda of meetings with government and nongovernment officials, and related papers.

Disposition: Destroy when superseded or obsolete.

File No. 630-02 (NC1-170-77-1)

Controlled Substances Theft/Loss Report. Documents relating to reports of theft or loss of controlled substances, theft or loss of order forms; and reports of investigation.

Disposition: Destroy 5 years after resolving theft or loss.

File No. 630-03

Product Exemption Files. Documents relating to establishing criteria for categorizing drugs in various schedules; coordination with other government agencies for drug reviews; applications for exclusion of nonnarcotic substances from a schedule; applications for exception of a stimulant or depressant compound from a schedule; approval or denial of exclusion or exception; drug scheduling petitions, transcriptions of drug hearings, and review decisions.

Disposition: Destroy when superseded or obsolete.

File No. 630-04 (NC1-170-77-1)

Controlled Substances Reporting Files. Reports accounting for stocks of narcotic controlled substances, excluding theft/loss reports. Included are reports from manufacturers and importers; reports of distributors and exporters; reports from manufacturers

importing opium; reports of manufacturers importing medicinal coca leaves; reports from manufacturers importing special coca leaves; reports from manufacturers of bulk materials or dosage units; reports from packagers and labelers; reports from importers and exporters; reports from distributors; reports from manufacturers importing concentrate of poppy straw; reports of disposal and destruction of controlled substances; feeder reports; consolidated reports; and analyses.

Disposition: Destroy 5 years after receipt of report.

File No. 630-05

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

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

File No. 630-06 (NC1-170-77-1)

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

Disposition: Destroy 8 years after approval to issue the permit.

File No. 630-07

Controlled Substances Order Form Files. Documents relating to issuing order forms to transfer controlled substances; non-acceptance of order forms; returning unused order forms; cancelling or voiding order forms; and alterating order forms.

* Revision

Disposition: Destroy 3 years after issuing the order form.

File No. 630-08 (NC1-170-77-1)

Manufacture and Procurement Quota Files. Documents relating to estimates of controlled substances required for procurement, manufacture, stockpiling, and medical/scientific use. Included are reports furnished to the United Nations, and statistical returns on drug production, use, consumption, import, export, and seizure. NOTE: The annual report noted in sub-item a.(1) is the public use version of the cumulative fourth quarter report of the Diversion Analysis and Detection System (DADS), based on data from item 1220-10.

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

File No. 630-09 (NC1-170-77-1)

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

Disposition: Destroy 3 years after approval to issuance permit.

File No. 630-10 (NC1-170-77-1)

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

Disposition: Destroy when superseded or obsolete.

INTELLIGENCE PROGRAM FILES

These are intelligence files documenting the daily activities, reports, and programs of the DEA intelligence function. Included are studies, reports, correspondence, analytical assessments, briefings, speeches, planning documents, and similar and related materials.

****File No. 701-01**

Intelligence Case Support Files. Copies of field requests, responses by the Office of Intelligence, and finished products created from intelligence file reviews, telephone toll analyses, informant briefings and defendant questionings, document analyses, link analysis charts, case analyses, and financial intelligence assessments. The original documents are filed in investigative files (601-07, 601-08, and 601-09).

Disposition: Destroy when 90 days old or when no longer needed for reference, whichever is sooner.

File No. 701-02

Country Narcotic Profile Files. Documents reflecting analyses of narcotics activities within a country with information ranging from cultivation to distribution of narcotics. Included are assessments of the quality, quantity, and dollar value of narcotics; shipment routes; modus operandi of known drug dealers; and descriptions of ethnic and political groups involved in narcotics trafficking.

Disposition: Destroy 2 years after issuance of profile or when profile is superseded or obsolete.

File No. 701-03

Narcotic Trafficking Group Files. Documents reflecting overviews of the activities and methods of narcotic trafficking used by illegal organizations and descriptions of members of the organizations.

Disposition: Destroy 2 years after issuance of the report or when report is superseded or obsolete.

File No. 701-04

Strategic Intelligence Product Files. Finished intelligence documents that are produced by DEA including the monthly digest of drugs intelligence, quarterly intelligence trends, narcotics intelligence estimate (NIE), DEA monitor program report and similar related documents.

** Addition

Disposition: Office performing DEA-Wide staff responsibility: Record copy: Permanent. Transfer to federal records center when 5 years old; offer to NARA when 30 years old. (b) Reference copies: Destroy when no longer needed for reference.

File No. 701-05

Drug Situation Report Files. Strategic reports regarding drug trafficking and smuggling routes, and drug related street gang activities.

Disposition: Destroy 2 years after issuance of report or when report is superceded or obsolete.

File No. 701-06

Intelligence Presentation Files. Narcotic information presentations (including briefings and speeches) to Congress, high level officials, and public interest groups.

Disposition: Destroy 2 years after presentation. Earlier destruction is authorized.

File No. 701-07

Special Field Intelligence Program Files. Documents created in planning and developing a systematic intelligence collection effort to fulfill DEA operational requirements. Included are operational plans, SFIP review committee options, incoming/outgoing cables, DEA Form 6's, funding logs, quarterly status reports and termination reports.

Disposition: Destroy 2 years after termination of functional requirement.

File No. 701-08

Financial and Special Intelligence Program Activities Files. Documents created in planning and developing systematic intelligence programs designed to provide guidance and support and operational oversight in the implementation of Asset Removal Program, Anti-Money Laundering Programs and Other Financial Intelligence Programs targetted at drug traffickers. Include are documents regarding asset removal teams and asset removal statistics, memorandums of agreement with other Federal, state and local agencies, the establishment of cash tracking networks, documents regarding the Bank Secrecy Act and its application in relation to money laundering investigations and agreements with foreign countries regarding money laundering legislation and activity.

Disposition: Destroy 3 years after program is completed, terminated or replaced.**

** Addition

701-09. Audiovisual Records. Videotapes, maps, and photographic slides prepared respectively for briefings and program documentation.
a. Videotapes: Destroy when superseded or obsolete.
b. Maps: PERMANENT. Transfer to the National Archives in five-year blocks when the most recent record is five years old.
c. Slides: PERMANENT. Transfer when no longer needed to the central collection maintained by the agency photographer, item 370-03. Transfer to the National Archives under the disposition instructions provided for that item.

EL PASO INTELLIGENCE CENTER FILES

These files accumulate from the support effort provided by EPIC relative to the interdiction of domestic and international movement of drugs, aliens, and weapons.

File No. 790-01

EPIC Lookout Files. Documents pertain to investigative information provided by EPIC to agencies which requested lookout action on suspected violators, aircraft, vessels, etc., involved in narcotic trafficking. Included are handwritten message worksheets, EPIC Form 10's (when a lookout is requested via telephone); messages received requesting lookout; DEA Form 6's, lookout messages sent by EPIC to applicable agencies (in response to a lookout request); EPIC generated printouts; and result messages of findings. Documents are maintained by fiscal year, agency or topic category.

Disposition: Destroy 5 years after date of last correspondence on action item.

File No. 790-02

EPIC Watch Inquiry Sheet Files. Documents consist of EPIC Form 10's which are utilized for recording data received by telephone from agencies authorized to request investigative information. Documents are filed by requesting agency, fiscal year, and month. Note: If a telephonic request is received from an agency requesting lookout action, file EPIC Form 10 in a lookout folder under File No. 790-01.

Disposition: Destroy 2 years after month the inquiry was received.

File No. 790-03

EPIC Teletype Files. Copies of teletype replies to various agencies which requested investigative information/lookout actions. Teletypes are filed by agency and/or program series (8000, 9000, 9117 or 9999).

Disposition: Destroy 2 years after month of teletype.

File No. 790-04

Satellite Communications Program Files. Monthly statistical reports reflecting the volume and location of SATCOM units.

Disposition: Destroy 5 years after month of report.

File No. 790-05

Satellite Tracking Program Files. Monthly reports reflecting the number and status of installed transmitters.

Disposition: Destroy 5 years after month of report.

File No. 790-06

Special Operations Files. Documents consist of general and unclassified Operation COCHINO teletypes and reports related to maritime activities and SOFOCAR/TRAMPA daily status reports concerning available resources and seizures.

Disposition: Destroy 2 years after termination of functional requirement.

File No. 790-07

Operation TIGRE Files. Documents include reports resulting from monitoring the activity of suspect aircraft moving through the Western Hemisphere.

Disposition: Destroy 5 years after date of last correspondence related to suspect aircraft.

File No. 790-08

Operation COCHINO Files. Documents consist of classified reports concerning sea smuggling of narcotics.

Disposition: Destroy 5 years after date of last correspondence.

File No. 790-09

Lookout Notice Worksheet Files. Documents consist of copy number 3 of INS Form G-143 which is used by EPIC as an index check of possible suspects.

Disposition: a. Destroy copy no. 3 used for USMS lookout 3 years after date of report. b. Destroy copy no. 3 used for INS lookout 1 year after date of report.

790-10. Photographs. Records created or accumulated by the intelligence units of EPIC to document suspect vessels, and interdiction efforts such as methods of concealment, types of vehicles used for smuggling, and so forth.
a. Maritime Unit. Destroy five years after date of last action on suspect vessel.
b. General Unit. Disposition not authorized (schedule to be provided by agency in near future).
NOTE: The Air Unit does not maintain a separate photograph file.

790-11. EPIC Publications. Printed reports documenting EPIC program goals and efforts. Topics covered include vessel identification and registration; land, sea, and air narcotics smuggling; assessment of various criminal activities; and evaluation of interdiction methods. The reports date back to the early 1980s.
Disposition: PERMANENT. Transfer one copy of each original and revised title to the Records Management Unit of DEA, which will retire the documents to the WNRC. Future titles will be retired to the WNRC when accumulation reaches one cubic foot. Transfer to the National Archives when most recent record is 30 years old.

ENFORCEMENT PROGRAM TRAINING FILES

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

File No. 801-01 (NC1-170-77-1)

Training Facility Requirement Files. Documents related to determining requirements for training facility acquisition, activation, retention, use, expansion, consolidation, inactivation, or disposition. Included are studies, justifications, and similar or related documents.

Disposition: Destroy 5 years after approval of training facility requirements.

File No. 801-02 (NC1-170-77-1)

Training Operation Files. Documents related to planning and conducting agent, police, intelligence, chemist, special field exercises, and other actual training operations. Included are exercise plans, observation and inspection reports, scenarios, critiques, map exercises, general training programs, technical training programs, final reports and comments on them, and similar or related documents.

Disposition: Destroy 3 years after discontinuing training exercise or operation, or when plans are superseded or become obsolete.

File No. 801-03 (NC1-170-77-1)

Training Evaluation Files. Documents relating to inspections of the status and quality of individual training. Included are training inspection reports, reports of corrective action, and similar or related documents.

Disposition: Destroy 2 years after the evaluation.

File No. 801-04 (NC1-170-77-1)

School Planned Input Files. Documents related to the planning, execution and revision of personnel inputs for school courses. Included are comprehensive statements of the training needs of

each activity authorized to send students to DEA schools; schedules of schools and classes to accommodate planned inputs, allocation of school quotas to input activities, coordinating documents; and similar or related documents.

Disposition: Destroy 3 years after receipt of input data.

File No. 801-05 (NC1-170-77-1)

School Reporting Files. Documents reflecting such information as the number of school enrollments, turnbacks, graduates, and failures; and number of personnel enrolled from other Federal agencies. Included are forms, printouts, correspondence, and similar or related documents.

Disposition: Destroy 2 years after date of report.

File No. 801-06

Target Practice Files. Documents indicating the time of firing with live ammunition, the area involved, firing safety measures, and similar matters. Included are forms, cards, correspondence, and similar or related documents.

Disposition: Destroy 1 year after firing.

File No. 801-07 (NC1-170-77-1)

Training Media Files. Documents accumulated by activities engaged in training operations, particularly in the conduct of training. Included are training schedules, programs, lesson plans, and similar or related documents.

Disposition: Destroy 1 year after conducting training operation, except that lesson plans will be destroyed when superseded or obsolete.

File No. 801-08 (NC1-170-77-1)

Instructor Information Files. Documents accumulated to provide a locally available record of qualifications, experience, effectiveness, and comparable information on potential instructors, assigned instructors, and guest speakers. They are used in requesting assignment or employment of instructors, utilizing instructors, and determining their need for additional training. Included are instructor evaluation forms, qualification data, biographical sketches and similar or related documents.

Disposition: Destroy 2 years after transfer or separation of the instructor.

ENFORCEMENT INDIVIDUAL TRAINING FILES

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

File No. 810-01 (NC1-170-77-1)

Individual Training Record Files. Documents indicating attendance at various phases of training; evaluation of individual students; mandatory training progress, educational records and activities, test scores on training activities; and similar information concerning the progress and attendance of each individual participating in the DEA drug/narcotic training. Included are cards; card forms; and similar or related documents.

Disposition: Forward evaluation reports with the transfer of the individual. Destroy remaining records 5 years after completing schooling or withdrawal of the student.

File No. 810-02 (NC1-170-77-1)

Proficiency Test Files. Documents reflecting degree of proficiency in enforcement training such as weapons qualification. Included are proficiency tests and similar or related documents.

Disposition: Destroy after appropriate entry has been made on the qualification card or on the individual's training record.

FOREIGN NATIONAL TRAINING FILES

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

File No. 820-01 (NC1-170-77-1)

Foreign Training Program Files. Documents relating to the development of programs for the training of foreign nationals by DEA. Included are communications on training requirements with the foreign nation concerned, acceptances, cancellations, program guidance, and similar or related documents.

Disposition: Destroy 3 years after terminating the program training requirement.

File No. 820-02 (NC1-170-77-1)

Foreign Training Program Control Files. Documents reflecting the category of training, number of spaces programmed, number and cost of training spaces allocated, and similar data for each country supported.

Disposition: Destroy 2 years after fiscal year in which training was programmed.

File No. 820-03

Training Assistance Files. Documents related to training furnished foreign nations by DEA mobile training teams. Included are requests for training teams, comments of DEA Country Attaches, acceptances, cancellations, foreign training effectiveness reports, and similar or related documents.

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

File No. 820-04 (NC1-170-77-1)

Foreign National Personnel Files. Documents related to selecting and processing foreign nationals for training in DEA facilities. Included are biographical data on the student, other foreign student data, copies of academic reports, and similar or related documents.

Disposition: Destroy 5 years after fiscal year in which training was conducted.

File No. 820-05 (NC1-170-77-1)

Foreign Training Reporting Files. Documents reflecting the status and progress of foreign nationals being trained by DEA personnel. Included are training reports and similar or related documents.

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

TRAINING AIDS FILES

These files relate to constructing training devices, preparing graphic training aids, the status of training publications, accomplishing training film projects, and controls over the production and issuance of such materials.

File No. 830-01

Training Aids Program Files. Documents relating to the formulation of annual programs for developing, producing, and procuring training aids. Included are graphic aids development programs, lists of film projects recommended for production, lists of approved film projects, and similar or related documents.

Disposition: Destroy 5 years after training program is implemented. **Note: Dispose of audiovisual records in accordance with instruction covering related audiovisual records described under 830-02.**

File No. 830-02

Training Aids Files. Training aids developed or produced for local use or distribution. Included are graphic training aids, such as charts, diagrams, maps, and illustrations; locally produced training films; training devices specifications, photographs, transparencies, and other reproductions of the aforementioned material; instructional material such as instructional notes, illustrative problems, practical exercises, and checklists; and related correspondence and comparable material used in presentation of the subject and completion of training by students; and audiovisual records ~~(as described under General Records Schedule 21)~~ that depict specialized or unique training techniques/methods, and training of foreign law enforcement personnel **in overseas areas.**
Note that these records may be subject to restriction under subsection (b)(7)(E) and (F) of the Freedom of Information Act.

Disposition: a. Office performing DEA-wide staff responsibility: **(1)** Training aids illustrating unique enforcement methods: **(a)** Audiovisual material: PERMANENT. Transfer annually when records are five years old. **(b)** Lesson plans and other textual documentation: PERMANENT. Retire to WNRC when five years old. Transfer to the National Archives when 30 years old. **(2)** Other training aids: Destroy when superseded or obsolete.
b. Other offices: Destroy when superseded or obsolete.

File No. 830-03 (NC1-170-77-1)

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

Disposition: Destroy 1 year after completing or discontinuing related work.

DEA EMPLOYEE TRAINING FILES

These files relate to educating and training DEA personnel in other Federal agency schools, educational institutions and commercial organizations, including on-the-job and off-the-job training, to meet special requirements essential to performing the mission of the activity to which they are assigned.

File No. 860-01 (NC1-170-77-1)

Training and Promotion Agreement Files. Documents related to negotiating master training and promotion agreements with the Office of Personnel Management in professional fields in which there is a current and continuing DEA-wide shortage of available personnel. Included are requests to establish training programs not currently authorized by regulations, agreements, program approvals, and similar or related documents.

Disposition: a. Office responsible for negotiating the agreement: Destroy when agreement is superseded or obsolete. b. Other offices: Destroy 2 years after fiscal year in which training was programmed.

File No. 860-02 (NC1-170-77-1)

School Planning Files. Documents pertaining to planned requirements for training, selection of schools and courses, arrangements for special noncatalog courses, program revisions, and related matters.

Disposition: Destroy 5 years after fiscal year in which training was programmed.

File No. 860-03 (NC1-170-77-1)

School Admission Files. Documents relating to the admission of DEA personnel to schools and courses. Included are requests for admission, statements of acceptance, notifications of acceptance, completion statements, costs, and similar or related documents.

Disposition: Destroy 2 years after completion of schooling, rejection of the individual or withdrawal of the student.

File No. 860-04 (NC1-170-77-1)

Training Reporting Files. Documents reflecting the status of employee training in government and nongovernment facilities. Included are reports and related documents.

Disposition: Destroy 3 years after submitting report.

File No. 860-05 (NC1-170-77-1)

Training Program Files. Documents relating to establishing, managing, and evaluating local training programs for DEA employees. Included are training plans, reviews of training requirements, apprentice training program registration with the Department of Labor, and similar or related documents.

Disposition: *Destroy 15 years after the fiscal year in which the training was programmed.*

File No. 860-06 (NC1-170-77-1)

Contract Training Files. Documents reflecting contract training of DEA employees in nongovernment facilities. Included are requests for approval of the training; justification; obligated service agreements; recommendations for waivers, approvals; and similar or related documents.

Disposition: Destroy 3 years after completion of training or upon expiration of obligated service agreement.

File No. 860-07 (NC1-170-77-1)

Record of Training Files. Documents reflecting information pertinent to individual trainee participation in off-the-job training courses, completed record of training forms, and similar or related documents.

Disposition: Review annually and destroy that portion pertaining to individuals who are no longer employed by DEA.

File No. 860-08 (NC1-170-77-1)

Training Material Files. Documents used in training DEA personnel through short on-site training courses and instructional confer-

* Revision

ences. Included are minutes and agenda of instructional conferences, course outlines, handouts, instruction sheets, and similar or related documents.

Disposition: Destroy 2 years after superseded or obsolete.

File No. 860-09

Physical Fitness Program Files. Documents relating to the establishment, management, and evaluation of the Physical Fitness Program for DEA employees. Included, but not limited to, are issues relating to Program Development, GYM Facilities, Training, Coordinator Training, Personnel Matters, Travel, Budget, Printing, and General Reference Information.

Disposition: (a) Office performing DEA-wide responsibility: (1) Destroy 10 years after fiscal year in which the program was established. (2) Feeder reports and other data: Destroy 5 years after fiscal year in which program was established. (b) Other offices: Destroy 5 years after submission of required reports to principal Headquarters office.

File No. 860-10

Course Announcement Files. Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by Government or nongovernment organizations.

Disposition: Destroy when superseded or obsolete.

LABORATORY FILES

These files are accumulated from laboratory analysis and examining drug and nondrug evidence.

File No. 901-01

Laboratory Case Files. Documents related to the analysis of drug and nondrug evidence. Included are evidence accountability and disposition records, chemists worksheets, ballistics reports, and related analytical documents.

Disposition: Transfer case files to Federal records center 2 years after closing investigative case. Destroy 10 years after close of investigative case.

File No. 901-02

Index Book Files. Ledgers maintained to record evidence received in the laboratory.

Disposition: Transfer ledgers to Federal records center 2 years after the last recorded investigative case is closed. Destroy 10 years after the close of the last recorded investigative case.

File No. 901-03 (NC1-170-77-1)

Evidence Accountability Files. This is a temporary file and consists of the original copies of the Evidence Accountability Record, DEA Form 307.

Disposition: Upon final disposal of the evidence, transfer the original copy of the Evidence Accountability Record to the Laboratory Case Files (901-01).

File No. 901-04 (NC1-170-77-1)

Laboratory Reporting Files. Retained copies of recurring reports, and related correspondence, required by the DEA Laboratory Operations Manual.

Disposition: Destroy 3 years after date of report.

HAZARDOUS WASTE DISPOSAL FILES

These files relate to DEA's efforts to protect public health through a program for the clean-up and disposal of hazardous waste produced by illegal drug laboratories.

File No. 920-01

Hazardous Waste Program Files. Documents relating to establishing and administering the hazardous waste disposal program in DEA. Included are coordinating actions, studies, instructions, reports, interpretations, messages and similar related documents. Policies and procedures are documented in the DEA Directive System.

Disposition: Destroy when 10 years old.

File No. 920-02

Hazardous Waste Compliance Investigation Files. Documents consist of reports of investigations to determine compliance of contractors with applicable regulations regarding clean-up of sites. Includes reports of analysis, correspondence, and related documents.

Disposition. Destroy when 5 years old.

File No. 920-03

Hazardous Waste Site Files. Documents relating to plans and decisions by DEA and the contractors concerning the clean-up of hazardous waste sites for which DEA assumes responsibility. Included are correspondence between DEA Headquarters and field offices and other Federal agencies; instructions to the contractors, lists of hazardous waste sites, reports, letters of approval, and supporting papers; contractor notebooks of site observations, calculations, maps, drawings, supporting documentation; and preliminary/interim/final reports reflecting accomplishment of required remedial clean-up action.

WITHDRAWN

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy: Permanent. Transfer to federal records center when 5 years old. Offer to NARA after 20 years. (2) Other material: Destroy when 8 years old. b. Other offices: Destroy when 5 years old.

File No. 920-04

Hazardous Waste Technical Assistance Files. Documents consist of correspondence with DEA activities for technical assistance and information regarding the clean-up and disposal of hazardous waste produced by illegal drug laboratories. WITHDRAWN

Disposition: Destroy when 5 years old.

File No. 920-05

Hazardous Waste Liaison Files. Documents reflecting coordination and focal point of contact with the Environmental Protection Agency, other federal agencies, staff and local environmental agencies, and private industry regarding hazardous waste disposal. WITHDRAWN

Disposition: Destroy when 5 years old.

File No. 920-06

Hazardous Waste Grant Program Files. Documentation relating to the formulation, award, and changes to grants for hazardous waste studies, demonstrations, and services. Included are evaluations, award notices, task orders, contractor or grantee proposal, and reports. WITHDRAWN

Disposition: Destroy 6 years after completion of project.

File No. 920-07

Hazardous Waste Reporting Files. Documents include periodic, annual and final reports and evaluations submitted by contractors, grantees, and DEA activities. Excludes reporting documents covered elsewhere in 920 category. WITHDRAWN

Disposition: Destroy when 10 years old.

RESEARCH AND TECHNOLOGY STUDY, PROPOSAL AND REQUIREMENTS FILES

These records are accumulated from developing long range guidance for research and technology based on the DEA drug/narcotic requirementsi

File No. 930-01

R&D Planning Files. Documents that accumulate from developing long range plans or forecasts in research and technology. They involve the establishment of schedules to achieve the DEA's long range research and technological objectives, the formulation of new concepts and requirements in research and technology for planning purposesi and similar mattersi Included are research and technological long range plans or forecasts and documents contributing to the development of the plans or forecastsi

Disposition: Destroy 5 years after fiscal year in which plan was implemented.

File No. 930-02

DEA Scientific Advisory Committee Files. Documents accumulated by the chairman of the DEA Scientific Advisory Committee concerning review and evaluation, appraisal of facilities, and study and recommendations on special problems of research and technology in DEA. Included are documents reflecting actions taken and matters considered by the paneli such as agenda of meetingsi minutes of meetingsi reports and recommendations distributed to panel members, and similar documents.

Disposition: a. Office of DEA committee chairman or senior DEA representative: (1) Record Copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 10 years old. (2) Other documents (extra copies): Destroy 5 years after meeting of the committee. b. Offices of committee members: Destroy 2 years after meeting of the committee.

File No. 930-03 (NC1-170-77-1)

Scientific Research Schedule Filesi Documents relating to cost projections for research projects, including information about

program objectives in terms of projects, tasks, status and time phasing for research, and funds required.

Disposition: Destroy 2 years after completing or cancelling the project.

File No. 930-04 (NC1-170-77-1)

Unfunded Study Files. Documents accumulated in providing information for use in, and in exchange for, copies of studies conducted and funded by civilian concerns as part of their drug/narcotic-oriented research programs. Included are study assistance requests for applications, coordinating actions, policy agreements governing the release of information, copies of studies and evaluations thereto, and related papers.

Disposition: Destroy 5 years after receipt of study.

File No. 930-05 (NC1-170-77-1)

Problem Statement Files. Documents accumulated in providing information on individual research and technological problems and needs to industrial, academic, and nonprofit research concerns. The information enables the concerns to determine how they can most effectively seek participation in DEA Narcotic Research Program, to prepare and submit unsolicited proposals directed toward solving the stated needs, and to orient their research and technological programs toward maintaining the capability for response to definite requirements for research or hardware technology. Included are problem statements, coordinating actions, communications from qualified concerns indicating whether or not they can assist in fulfilling the stated needs, and related papers, but not unsolicited proposals, or reports equivalent thereto resulting from the problem statement.

Disposition: Destroy 2 years after revision, cancellation, or expiration of the problem statement.

File No. 930-06 (NC1-170-77-1)

Information-to-Industry Briefing Files. Documents created in briefing representatives of industrial, academic, and non-profit research concerns, on current drug/narcotic research problems and anticipated requirements. Included are briefing invitations and

announcements, registration documents, listings of attendees, agendas, minutes of briefings or copies of presentations given, and related papers.

Disposition: Destroy 5 years after the briefing.

File No. 930-07

Unsolicited Proposal Files. Documents relating to receiving and administering the evaluation of unsolicited disclosures, data, suggestions, ideas, plans, sketches, drawings, information, discoveries, models, samples, or comparable inventive proposals. Not included are proposals responding to requests for quotation or request for bids for basic research or submitted by scientific personnel in line of duty or under the incentive awards program. Included are proposals from private individuals, memoranda of understanding, communications with submitters, evaluations, and related papers.

Disposition: Destroy 5 years after receipt of proposal.

****File No. 930-08**

Science and Engineering Program Management Files. Documents related to establishing an administering the programs in this functional area. Included are coordinating actions, instructions, authorizing directives, general correspondence, interpretations, reports and similar or related documents.

Disposition: a. Office of Record. Destroy after 5 years. b. Other Offices. Destroy after 3 years.**

** Addition

RESEARCH AND DEVELOPMENT CONTROL FILES

These records relate to administering and controlling drug/narcotic research projects, and collecting, disseminating, and exchanging scientific information.

File No. 940-01 (NC1-170-77-1)

Foreign Scientific Information Files. Documents relating to relationships with foreign nations requesting the exchange and collection of scientific information. Included are papers relating to plans for cooperation, discussions, visits with foreign government officials, and comparable relationships.

Disposition: Destroy 5 years after approval of exchange of information.

File No. 940-02

Project Control Files. Documents accumulating from supervising, managing, and administering drug/narcotic research, development, test, and evaluation of projects. Included are documents relating to project appraisals; recommendations for project initiation, termination, or cancellation; review and analysis of specific research projects; and other papers relating to the projects. Arrange files by project serial number and nomenclature, or title.

Disposition: Destroy 5 years after completion, termination, or cancellation of the project.

File No. 940-03 (NC1-170-77-1)

Project Register Files. Registers, listings, index cards, and related documents used to record information on projects and tasks, such as project or task number and title, project or task office, and contract number.

Disposition: Destroy 5 years after projects listed in register are completed.

File No. 940-04

Project Reporting Files. Reports prepared by DEA containing information about individual research, development, test, and evaluation projects and project tasks, including the identification, time phasing, requirements and objectives, and other information about the project or task. Included are research and technology resumes, development plans, or similar reports.

Disposition: Destroy when the project is completed or cancelled, or when no longer needed for reference.

File No. 940-05 ~~(NC1-170-77-1)~~

Project Case Files. These consist of one copy of each preliminary, progress, or final technical report or publication; contract or grant agreement, with changes, modifications, or addendums thereto; test reports and comparable test data; feasibility, cost effectiveness, and state-of-the-art study reports from scientific journals which pertain to research projects supported by DEA.

Disposition: a. Final project or phase report, or analogous documentation such as final test data or evaluation reports: PERMANENT. Retire to the WNRC when 20 years old. Transfer to the National Archives when 30 years old.
b. Other documentation: Destroy 15 years after completion, termination, or cancellation of the project.

File No. 940-06 (NC1-170-77-1)

Technical Report Reference Files. Documents maintained in organized library-type collections to provide reference for DEA in-house research activity. They include one copy of each technical report or publication issued by the organization or received from its contractors and one copy of those reports of interest which are received from other sources.

Disposition: Destroy when superseded or obsolete.

File No. 940-07

Scientific and Raw Data Files. Documents maintained and used by scientific personnel for research, development, and test of an item, a group of items, or within a field of scientific inquiry. Included are scientific notes, drafts of technical reports and articles; telemetering, oscilloscopes, and time and motion films and recordings; tapes; sound recordings; and similar rough or raw data which is not made a part of the official project case file.

Disposition: Destroy when the data is incorporated or summarized in a technical report or paper; on completion of the project, or when no longer needed for research within the field of inquiry.

COMMUNICATIONS REQUIREMENTS FILES

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

File No. 970-01

Communication Representation Files. Documents relating to representation on and recommendations to other Federal agencies, including implementing decisions on communications, electronic policies, radio frequency allocation, call signs, radio interference, and radio propagation matters.

Disposition: Destroy 5 years after approval action on communication requirement.

File No. 970-02

Telecommunication Facility Project Files. Documents relating to preparing, validating, and developing projects to design, construct, and install telecommunications services, equipment, facilities, networks, and systems. Included are project letters, bills of material, maps, drawings, specifications, installation data, completion reports, installed communication equipment property cards, and related papers.

Disposition: a. Office performing DEA-wide responsibility: Destroy 2 years after disapproval of the requirement or termination of the project. b. Other offices: Destroy 1 year after disapproval of the requirement or 1 year after discontinuation of the installation or facility.

File No. 970-03 (NC1-170-77-1)

Communication Facility Lease Request Files. Documents relating to requests for providing, rearranging, and removing communication circuits, equipment, and services leased from commercial companies to meet DEA communications requirements. Included are requests for leased facility forms, justification data, and related papers.

Disposition: a. Office responsible for final approval: Destroy 10 years after termination of the lease. b. Other offices: Destroy 2 years after termination of the lease.

File No. 970-04

Radio Frequency Files. Documents relating to authorizing, allocating, assigning, correlating, and using radio frequencies and call signs.

Disposition: a. Correspondence relating to concurrence of the Federal Communications Commission: Destroy after 1 year. b. Other documents: Destroy on supersession, cancellation or discontinuance of the assignment of use.

File No. 970-05 (NC1-170-77-1)

Communication Operation Instruction Files. Documents containing information and data on codes, radio frequency assignments, call signs, and lists of holders of code systems.

Disposition: Destroy when superseded or obsolete.

COMMUNICATIONS SERVICES FILES

These files accumulate from administering, using, and maintaining communications facilities and equipment.

File No. 980-01 (NC1-170-77-1)

Telephone Service Work Order Files. Documents used to request and authorize telephone service on Government-owned systems. Included are requests for telephone service, work orders, and related papers.

Disposition: Destroy 1 year after completion of work.

File No. 980-02 (NC1-170-77-1)

Telephone Toll Call Reporting Files. Reports of all authorized official prepaid outgoing, incoming collect, and toll credit card calls.

Disposition: Destroy after 3 months, except when discrepancies between these records and toll tickets are found, in which case the files will be held until corrective action has been completed.

File No. 980-03 (NC1-170-77-1)

Communications Equipment Record Files. Documents relating to modifying, testing, and comparable action pertaining to individual items of equipment used in communications systems.

Disposition: Destroy on disposal of the related equipment.

File No. 980-04

Telephone Toll Tickets. Originals and copies of toll tickets filed in support of telephone toll call payments.

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner.

COMMUNICATIONS CENTER OPERATIONS FILES

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

File No. 990-01

Communications Center Operation Files. Documents relating to operating communications centers and concerning the transmission and receipt of electrically transmitted messages. Included are message registers, supervisory logs, performance reports, interference reports; maintenance work orders; frequency logs; and similar documents, but exclusive of other files described in this schedule.

Disposition: Destroy 1 year after transmission or receipt of message.

File No. 990-02 (NC1-170-77-1)

Communications Center Message Files. Copies of incoming and original authenticated copies of outgoing messages maintained in communications centers.

Disposition: Destroy 1 year after transmission or receipt of message. Earlier disposal is authorized.

File No. 990-03 (NC1-170-77-1)

Monitor Reel Tape Files. Tapes providing a temporary record of transmissions for the purpose of accomplishing tracer actions and making retransmissions.

Disposition: Withdraw and destroy 30 days after transmission of message.

File No. 990-04 (NC1-170-77-1)

Service Message Files. Copies of incoming and outgoing service messages relating to traffic handling or operational irregularities. Service messages correcting transmissions are filed with the related message (File no. 990-02).

Disposition: Withdraw and destroy 30 days after receipt of service message.

File No. 990-05 (NC1-170-77-1)

Operator's Number Sheet Files. Documents indicating the numbers of messages handled on a circuit/channel or piece of communications equipment.

Disposition: Withdraw and destroy 30 days after assignment of number.

File No. 990-06 (NC1-170-77-1)

Multiple Address and Book Message Processing Files: Documents relating to processing multiple and book messages.

Disposition: Withdraw and destroy 30 days after message is processed.

MEDICAL PROGRAM FILES

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

File No. 1001-01 (NC1-170-77-1)

Medical Review Files. Documents relating to medical fitness for appointment, retention in service, promotion, special assignment, and separation. Included are extracts of medical examinations and similar or related documents.

Disposition: Destroy 3 years after review.

File No. 1001-02 (GRS 1-21)

*Employee Medical Folder (EMF) Files. Long-term medical records as defined in the Federal Personnel Manual (FPM) Chapter 293.

Dispositione a. Transferred employee. See FPM for instructions. b. Separated employees: Transfer to National Personnel Records (NPRC), St. Louis, MO., 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder. If the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later. c. Temporary or short-term records as defined in the FPM: Destroy 1 yeareafter separation or transfer of employee.*

File No. 1001-03 (GRS 1-20a)

Health Unit Control Files. Logs or registers reflecting daily number of visits to health unit.

Disposition: a. Destroy 3 months after last entry, if information is summarized on a statistical report. b. Destroy 2 years after last entry if the information is not summarized.

File No. 1001-04

Health Services Program Management Files. Documents related to administering the programs in this functional area. Included

*Revision

are coordinating actions, studies, instructions, interpretations, messages, and similar or related documents.

Dispositione a. Office of Recorde Destroy after 5 years. b. Other offices: Destroy after 3 years.

File No. 1001-05

Employee Assistance Program Files. Documents related to administering this program. Included are coordinating actions, instructions, authorizing directives, interpretations, messages, and similar or related documentse

Dispositione a. Office of Record: Destroy after 5 years. b. Other offices: Destroy after 3 years.

SAFETY PROGRAM FILES

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

File No. 1030-01 (NC1-170-77-1)

Safety Program Files. Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures; survey reports, safety inspection reports, minutes of safety meetings, and notification of safe and unsafe practices. Included are changes made as a result of the findings of the surveys or inspections, and similar or related documents.

Disposition: Destroy 5 years after survey.

File No. 1030-02 (NC1-170-77-1)

Safety Hazard Files. Documents relating to technical review, advice, and guidance for identifying and eliminating or controlling safety hazards. Included are hazard reports and similar or related documents.

Disposition: Destroy 2 years after eliminating safety hazards or completing measures to control them.

****File No. 1030-03**

Safety Program Reporting Files. Documents that provide data concerning various aspects of DEA safety management activities. Included are statistical and narrative reports; consolidations, summaries, extracts of reports; and similar or related documents.

Disposition: Destroy 3 years after submission of program data.**

File No. 1030-04

Reserved.

** Addition

ACCIDENT FILES

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

File No. 1040-01

Accident Case Files. Documents relating to individual accidents. Included are reports of accidents, and investigations thereof, involving aircraft, motor vehicles, fires, damage to DEA property, injury to or death of personnel, and similar or related documents.

Disposition: Destroy 6 years after close of accident case.

File No. 1040-02 (NC1-170-77-1)

Accident Experience Files. Documents related to the statistical reporting of accidents and summarizing and analyzing accident experience and trends involving aircraft, motor vehicles, fires, personal injury, damage to property and other accidents.

Disposition: Destroy 5 years after completion of data.

PROPERTY MANAGEMENT FILES

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

File No. 1101-01 (NC1-170-77-1)

Property Receipt Files. Cards, lists, hand receipts (DEA Form 16), or comparable documents showing accountable property charged to a DEA activity.

Disposition: Destroy or turn in on complete accounting for property, or when superseded by a new receipt or listing.

File No. 1101-02 (NC1-170-77-1)

Equipment Record Files. Documents used, when required to record individual and cumulative repairs (DEA Form 16B), adjustments, and use of equipment items.

Disposition: Destroy 2 years after equipment leaves custody of DEA.

File No. 1101-03 (NC1-170-77-1)

Property Accountability Transfer Files. Documents attesting the transfer of property accountability from one accountable officer to another. Included are certificates of transfer, inventory lists, and related documents.

Disposition: Destroy 2 years after satisfactory transfer of property.

File No. 1101-04 (NC1-170-77-1)

Equipment Loan Files. Documents reflecting loan of equipment to or from other Government agencies.

Disposition: Destroy 2 years after turn-in, or other satisfactory accounting for items involved.

File No. 1101-05 (NC1-170-77-1)

Report of Survey Files. Reports that describe the circumstances, and recommended action, concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.

Disposition: a. Office performing final review authority: (1) Reports involving pecuniary liability: Destroy 10 years after completing final action. (2) Other reports: Destroy 3 years after completing final action. b. Other offices: Destroy 3 years after completing final action.

File No. 1101-06 (NC1-170-77-1)

Reports of Survey Register Files. Registers and related documents maintained to control reports of survey.

Disposition: Destroy 10 years after last recorded survey.

File No. 1101-07 (NC1-170-77-1)

Property Officer Designation Files. Documents reflecting the designation of property officers. Included are letters of appointment and revocation.

Disposition: Destroy 2 years after terminating appointment.

File No. 1101-08 (NC1-170-77-1)

Packaging and Handling Deficiency Reporting Files. Reports submitted by receiving activities concerning deficiencies in preserving, packing, marking, or handling of supplies, equipment, or materials. Included are reports of packing and handling deficiencies, reports of corrective action, and related papers.

Disposition: Destroy 1 year after submitting report.

File No. 1101-09 (NC1-170-77-1)

Excess Property Reporting Files. Reports used to disseminate information concerning availability of excess property. Included are reports of excess personal property, listings, cards forms, and similar documents.

Disposition: Destroy 1 year after date of report.

File No. 1101-10 (NC1-170-77-1)

Equipment and Supply Requisition Files. Documents relating to requests for supplies and equipment (expendable and nonexpendable); rentals of equipment with supporting correspondence, and copies of requisitions.

Disposition: a. Requests for expendable items: Destroy 1 year after completion of action. Earlier disposal is authorized. b. Requests for nonexpendable items. Destroy 2 years after completion of action.

**File No. 1101-11

Property Program Management Files. Correspondence, instructions, studies; messages; interpretations; and coordinating actions related to the administration and operation of the property management program.

Disposition: Destroy when 6 years old.**

** Addition

FACILITIES MANAGEMENT FILES

These files result from control, occupation, and use of facilities by DEA activities.

File No. 1110-01

Facilities Utilization Files. Documents relating to the control and allocation of office space. Included are space allocations, space reports; requests for additional space or changes in space locations; space release; surveys of space requirements; office layouts; and similar documents.

Disposition: Facilities office: Destroy 5 years after approval of allocation or space requirement. Other offices: Destroy 3 years after completion of action. Earlier disposal is authorized.

File No. 1110-02

Floor Plan Files. Reference copies of floor plans for DEA activities.

Disposition: Facilities office: Destroy when superseded or obsolete.

File No. 1110-03

Facilities Services Files. Documents related to custodial services required by an activity; installation of telephones; changes to telephone directories; issuance of keys and locks; modification, repair, or change of heating, lighting, ventilation, cooling, electrical, and plumbing systems; painting, partitioning, repairing, or other aspects of office landscaping; and similar documents.

Disposition: Destroy 2 years after completion of work or cancellation of request.

****File No. 1110-04**

Building Lease Management Files. Documents include copies of building lease, Contracting Officer Representative (COR) and Assistant Contracting Officer Representative (ACOR) delegations; leased building inspector worksheets, contract cleaning inspection reports, complaint registers, written notifications to lessor concerning complaints and resolutions of complaints.

Disposition. Destroy 2 years after termination of lease.**

** Addition

MOTOR VEHICLE MANAGEMENT FILES

These files relate to controlling and managing DEA motor vehicles.

File No. 1120-01

Vehicle Authorization Files. Requests for procurement or distribution of vehicles indicating requirements, justifications, and approvals or disapprovals thereof.

Disposition: Destroy 2 years after procuring or distributing vehicles.

File No. 1120-02

Vehicle Control Files. Documents used to control the location, custody, assignment, seizure status and other data relative to vehicles.

Disposition: Destroy 2 years after vehicle leaves DEA custody.

File No. 1120-03

Vehicle Identification Plate Files. Documents connected with requesting, transferring, issuing, and disposing of United States or local identification plates or license plates.

Disposition: Destroy 5 years after disposal of plates.

File No. 1120-04

Vehicle Operating Cost and Performance Reporting Files. Feeder and summary reports prepared therefrom reflecting cost and performance data relative to vehicle data, vehicle deficiency reports, requests for mileage expense and vehicle status, etc.

Disposition: a. Summary reports: Destroy 5 years after compiling data. b. Other reports: Destroy 3 years after compiling data.

File No. 1120-05

Vehicle Disposition Files. Requests submitted to Department of Justice or General Services Administration for transfer of excess vehicles or disposal of vehicles that meet or exceed the vehicle replacement standards.

Disposition: Destroy 5 years after the vehicle leaves custody of DEA.

LIBRARY FILES

These files relate to the operation of the DEA library.

File No. 1130-01

Reserved.

File No. 1130-02 (NC1-170-77-1)

Shelf List Card Files. Cards indicating all books in the library arranged in the order in which the books stand on the shelves, and reflecting item identification by classification, title, author, voucher number (additions or reductions), and other information necessary to facilitate the accountability process.

Disposition: Destroy after all items indicated thereon have been dropped from accountability records.

File No. 1130-03 (NC1-170-77-1)

Library Catalog Files. Cards enumerating authors, titles, cross-references, and subjects arranged in alphabetical order and indicating descriptive details including location of books on the shelves. Upon transfer of the books to another library, the current library card catalog files will be included in the transfer, if possible.

Disposition: Destroy when related books have been permanently removed from the library collection.

PERSONNEL MOVEMENT AND TRAVEL FILES

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

File No. 1140-01 (NC1-170-77-1)

Travel Request Files. Documents pertaining to requests for orders placing DEA employees on temporary duty, notices of arrival and departure, approval of issuance of temporary duty orders, placement of personnel on temporary duty, and similar matters.

Disposition: Destroy 3 years after fiscal year in which travel was performed.

File No. 1140-02 (NC1-170-77-1)

Conference Travel Files. Documents maintained for the purpose of planning, reviewing, and furnishing information in connection with travel of authorized personnel to attend meetings of technical, scientific, professional, and similar organizations.

Disposition: Destroy 3 years after fiscal year in which travel was performed.

File No. 1140-03 (NC1-170-77-1)

Passport Files. Documents relating to passports and visas for DEA employees including their dependents. Included are requests for passports, transmittal letters, receipts for passports, control cards, and related documents.

Disposition: Destroy 3 years after issuance of passport or visa.

File No. 1140-04

International Shipment Files. Documents international shipments of household goods.

Disposition: Destroy 6 years after the period of the account.

****File No. 1140-05**

Tour Renewal, and Rest and Recuperation Travel Files. Documents consist of copies of tour renewal agreements, transportation agreements, and requests for travel, with coordinations and approvals at appropriate levels. Documents include approved travel orders, vouchers, itineraries, and similar or related documents.

Disposition: Destroy after 3 years.**

** Addition

REPRODUCTION SERVICES FILES

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

File No. 1150-01 (NC1-170-77-1)

Printing Equipment Control Files. Documents related to granting authority to issue, purchase, rent, exchange, transfer, or dispose of printing, binding, and related auxiliary equipment. Included are requests for approval of and justification for printing and reproduction equipment; Department of Justice and Government Printing Office approval; authorizations for excess equipment to be turned into supply channels for disposal; and related papers.

Disposition: Destroy 3 years after disposal of equipment or disapproval of acquisition request.

File No. 1150-02 (NC1-170-77-1)

Printing Report Files. Documents reflecting information on printing operations and equipment, such as individual and cumulative printing jobs, inventory of printing equipment, contract printing costs, and similar data required by the Joint Congressional Committee on Printing. Included are inventory reports of printing and stored equipment, contract printing reports and expenditure statements, comparable reports, and related papers.

Disposition: Destroy 5 years after submitting the report.

File No. 1150-03

Reserved.

File No. 1150-04 (NC1-170-77-1)

Printing Job Jacket File. Work orders; production and cost records, related processing data and samples of each printing job produced.

Disposition: Destroy 3 years after fiscal year in which printing work was completed.

File No. 1150-05

Illustration and Drawing Files. Blueprints, drawings, specifications, and artwork used in preparing illustrations for publications.

Disposition: Destroy when the publication is printed, except for artwork which has continuing usefulness will be retained until no longer needed.

File No. 1150-06 GRS 21/7

Photographic Negative Files. Original basic photographic negatives of material used in preparing illustrations of publications and duplicates of photographic negatives of artwork used for illustrating publications.

Disposition: Maintain and dispose of audio-visual records in accordance with the standards of General Records Schedule 21.

PUBLICATIONS SUPPLY FILES

These files are maintained at activities engaged in receiving, storing, and issuing publications or blank forms.

File No. 1160-01 (NC1-170-77-1)

Publication Requisition Files. Documents used in requisitioning nonreimbursable publications, and accountable and nonaccountable blank forms. Included are requisitions, shipping orders, transfer requests, and similar papers.

Disposition: Destroy 3 months after completion of action; earlier disposal is authorized.

File No. 1160-02 (NC1-170-77-1)

Status of Publication Files. Forms reflecting the status of publications and blank forms that provide information which is used to determine required supply action.

Disposition: Destroy 1 year after last entry on form status.

File No. 1160-03 (NC1-170-77-1)

Initial Distribution Files. Distribution sheets, delivery instructions, correspondence, and related papers pertaining to the distribution of DEA publications. Included are forms reflecting the quantity and type of publications and blank forms required for automatic distribution.

Disposition: Documents pertaining to classified publications: a. Destroy 2 years after distribution of publication. b. Destroy superseded forms when replaced by current forms. c. Other documents: Destroy 3 months after distribution of publication. Earlier disposal is authorized.

File No. 1160-04 (NC1-170-77-1)

Accountable Form Receipt and Issue Files. Documents reflecting the receipt or issue of accountable blank forms. Included are receipt forms, listings, and registers.

Disposition: Destroy 2 years after receipt or issuance of form.

File No. 1160-05 (NC1-170-77-1)

Accountable Form Authorization Files. Signature cards identifying individuals authorized to receive accountable forms.

Disposition: Destroy upon withdrawal of the authorization.

File No. 1160-06 (NC1-170-77-1)

Publication Stock Record Card Files. Cards reflecting the supply status of publications and blank forms, including data as to stock levels, quantities on hand, and quantities received or issued.

Disposition: Destroy when card is filled or on supersession, rescission, or obsolescence of form or publication.

File No. 1160-07 (NC1-170-77-1)

Publication History and Stock Usage Files. Forms reflecting the history and usage for each item of stock.

Disposition: Destroy when form or publication is superseded or obsolete.

MAIL SERVICES FILES

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

File No. 1170-01 (NC1-170-77-1)

Mail Loss and Shortages Files. Documents relating to recording, reporting, and investigating losses or destruction of mail including delay, accident, occurrence, or deprecation (theft or rifling) involving mail. Included are reports containing facts surrounding the loss or shortage, investigation progress reports, final investigation reports, records or postal claims, records of lost or rifled mail, and related papers.

Disposition: Destroy 3 years after completion of the investigation.

File No. 1170-02 (NC1-170-77-1)

Mail Routing Guide File. Documents prepared to facilitate mail delivery, reduce routine errors, and to aid in training new routing clerks. Included are cards, manuals, indexes, and similar papers used as mail routing guides.

Disposition: Destroy when superseded or obsolete, except that background papers relating to the guide will be destroyed 2 years after publication of guide.

File No. 1170-03 (NC1-170-77-1)

Accountable Mail Receipt Files. Documents reflecting the receipt and dispatch of registered, certified, and numbered insured mail.

Disposition: Destroy 2 years after receipt or dispatch of mail.

File No. 1170-04 (NC1-170-77-1)

Mail Control Files. Documents relating to the control of incoming and outgoing mail. Included are routing and suspense slips, delivery receipts, logs of incoming and outgoing mail, records of messenger trips, and similar papers. The records of delivery of accountable mail, when filed with mail control files, will be disposed of as accountable mail receipt files. Receipts for classified documents, when filed with mail control files, will be disposed of as classified document receipt files. Return receipt requested postal forms accumulated by DEA purchasing activities as the result of the transmittal of either contractual documents or correspondence directing specific procurement actions by registered mail, will be considered as record segments of the contract to which they relate. Such receipt forms will be filed with related contracts and retained in accordance with disposition instructions for contract files.

Disposition: Destroy 1 year after receipt or dispatch of mail.

File No. 1170-05 (NC1-170-77-1)

Mail Hours of Collecting Files. Documents indicating pick-up and delivery of mail to offices.

Disposition: Destroy when superseded or obsolete.

File No. 1170-06 (NC1-170-77-1)

Mail Production Files. Production reports of mail handled and work performed.

Disposition: Destroy 2 years after compilation of data.

File No. 1170-07 (N1-170-86-1)

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

Disposition: Destroy when 6 years old.

****File No. 1170-8**

Mail Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the mail management program.

Disposition: Destroy when 6 years old.**

** Addition

ADP DOCUMENTATION FILES

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

File No. 1201-01 (NC1-170-77-1)

Data Systems Specifications Files. Documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications request for the system, and authorizing directives.

Diposition: a. Disapproved proposed system: Destroy one year after final action. b. Approved system for which all related magnetic data files are authorized for disposal: Destroy one year after termination of the system. c. An approved system for which any related magnetic data file is not authorized for disposal: Retain with related magnetic data file.

File No. 1201-02 (NC1-170-77-1)

System Test Documentation Files. Documents consisting of test plans, test data, and test analysis reports.

Disposition: a. Approved system: Destroy 1 year after discontinuing the system. b. Disapproved proposed system: Destroy one year after final action.

File No. 1201-03 (NC1-170-77-1)

File Specifications Files. Documents consisting of definitions of the logical and physical characteristics of each record element or item of data in the file, including names and tags or labels; relative position, form, format, and size of data elements (record layout); specification of all codes used, cross reference code manual; security and privacy restrictions; integrity and validity characteristics; update and access conditions; and recording media and volume.

Disposition: a. A system for which all related magnetic data files are authorized for disposal: Destroy with final related magnetic data file. b. A system for which any related magnetic data file is not authorized for disposal: Retain with related magnetic data files.

File No. 1201-04 (NC1-170-77-1)

User Guide Files. Documents consisting of information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability of when and how to use it; and serves for the preparation of input data and the interpretation of results.

Disposition: Handbooks, guides to data availability, and procedures for querying files: Retain with data systems specifications.

File No. 1201-05 (NC1-170-77-1)

Output Specifications Files. Documents consisting of detailed descriptions of products of the system that are to be used outside the computer center.

Disposition: Listings of each type of output by title and tag, format specifications, selection criteria volume and frequency, media, graphic displays and symbols, security and privacy conditions and disposition of output: Destroy 3 years after related report is discontinued.

File No. 1201-06 (NC1-170-77-1)

ADP Report Files. Documents printed in final report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed.

Disposition: Systems which require retention of related data: Retain one copy with related file specifications.

File No. 1201-07 (NC1-170-77-1)

Information Retrieval Routine Files. Documents related to a series of machine instructions designed to retrieve information from specific data systems.

Disposition: a. General purpose programs: Destroy when no longer needed. b. Special purpose programs for data files for which disposal is authorized: Destroy with related data files. c. Special purpose programs for data files for which diposal is not authorized: Retain with related data file.

**File No. 1201-08

ADP/Telecommunication Service Files. Documents, DEA Form 195, used to initate service to ADP/Telecommunications systems, equipment and support service excluding those systems identified in the ADP master files (1220 series) in Volume II of the Administrative Manual e.g., NADDIS, STRIDE, CSA etc.

Disposition: Destroy 1 year after project is completed.**

** Addition

ADP PROCESSING FILES

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

File No. 1210-01 (NC1-170-77-1)

ADP Work Files. Temporary computer sensible[1] media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges.

Disposition: New media, or media not included in a library control system, or files whose retention dates have expired: Available for immediate use or reuse.

File No. 1210-02 (NC1-170-77-1)

ADP Test Files. Computer sensible[1] media used in testing a proposed program.

Disposition: a. Media used by programmers for individual run testing and not under library control: Destroy after system has been accepted or discontinued. b. System debugging test data: Destroy when related program is discontinued. c. System acceptance test data: Destroy when related program is discontinued.

File No. 1210-03

Initial Data Abstract Files. Computer sensible[1] media containing data abstracted from source documents or other media and entered into the system for the first time.

Disposition: a. Data used for updating and required to support reconstruction of master file: Destroy after third update cycle.[2] b. Data not required to support reconstruction of master file and/or used as input for a one-time study, survey or experiment: Destroy in accordance with DEA computer systems documentation. c. Media officially designated to replace or

serve as the basic source data in lieu of the hard copy or other input source document: Destroy in accordance with instructions documenting the same process, transaction, or case.

File No. 1210-04 (NC1-170-77-1)

Initial Data Reference Files. Computer sensible[1] media files created by another agency.

Disposition: Media not a record of the receiving agency:[3] Destroy as reference material.

File No. 1210-05 (NC1-170-77-1)

Initial Data Card/Tape Abstract Files. Punched cards or paper tape containing data abstracted from source documents and used for conversion to magnetic media or processing on electric accounting machine equipment created after January 1, 1970.

Disposition: a. Data retained by ADP operational elements as backup to magnetic media: Destroy after third update of related magnetic file. b. Electric accounting machine output listings and reports: Destroy after 180 days if used in processing without being converted to magnetic media. c. Data converted to magnetic media: Destroy after verification of data on related magnetic media.

File No. 1210-06 (NC1-170-77-1)

Initial Data Source Files. Punched cards that contain original entry data with film or written inserts.

Disposition: Source documents: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transactions, or case.

File No. 1210-07 (NC1-170-77-1)

Intermediate Data Input/Output Files. Computer sensible[1] media containing output within or from one run to a subsequent run that manipulates, sorts, and or moves data through the system, includes checkpoint, edit, correction, reject list, unmatched data eliminating error, and rerun files.

Disposition: a. Media used in an updated system: Destroy after subsequent data files that contain the accepted detail data have been created and proven satisfactory. b. Media used in a one-time study or survey: Destroy after master data file has been proven satisfactory.

File No. 1210-08

Valid Transaction Files. Computer sensible[1] media containing valid file of items used with a master data input file for creation of a master data output file.

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

File No. 1210-09

Information Retrieval System Master Reference Files. Computer sensible[1] media containing data created by the merging of prior ~~master file~~ file with valid transactions data to create a new master file.

Disposition: Cumulative index to scientific and technical publications, and bibliographic and other nonrecord material: Destroy after third update cycle.[2]

File No. 1210-10 (NC1-170-77-1)

Security Backup Files. Computer sensible[1] media that is identical in format to the master file and retained as security in case the master file is damaged or inadvertently erased.

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

ADP MASTER FILES

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

File No. 1220-01 (NC1-170-77-1)

Housekeeping System Master Files. Computer sensible[1] media containing data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration.

Disposition: a. Media not required for GAO site audit: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case. b. Media required for GAO site audit. Destroy in accordance with functional guidelines provided by GAO.

File No. 1220-02 (NC1-170-77-1)

Statistical Master Files. Computer sensible[1] media containing data created by the merging of a prior master file with valid transaction data to create a new master file.

Disposition: Media used to prepare reports covering a limited period of time; recurring periodic surveys and censuses: Destroy one year after no longer required.

File No. 1220-03

Re-Formatted Files. Computer sensible[1] media containing essentially duplicate data from the master data file but, which is created for use with other computer hardware.

Disposition: a. Media created for the specific purpose of information interchange: Destroy as provided for related master data file. b. Data of specific application for agency computer hardware systems: Destroy when determination is made that such format is unnecessary.

File No. 1220-04

Reserved.

File No. 1220-05 (NC1-170-77-1)

Samples, Subsamples, and Special Studies Files. Computer sensible[1] media containing data selected from a larger census or survey files.

Disposition: Media which is disclosure free or useful in statistical analysis or policy formulation models and simulation studies: Destroy one year after no longer required.

File No. 1220-06

Defendant Data (Statistics) System Files. The defendants statistical system is part of the M204 DBMS System and provides information on all persons arrested and prosecuted on drug related charges. Information extracted from the defendants statistical system is used:

**1. As source data for the generation of statistical reports (arrest and prosecution oriented); and
2. As input to the Offender Based Transaction System (OBTS), which ~~with additional input from the Bureau of Prisons~~ tracks the persons arrested and prosecuted through their years in prison.**

Disposition: Data sets and related documentation: PERMANENT. Transfer annually to the National Archives, in accordance with 36 CFR 1228.

File No. 1220-07 (NC1-170-77-1)

Drug Abusers Reporting System Files. Machine-readable records used to provide a data base for furnishing information for research into drug abuse and for law enforcement purposes. Contains data relating to persons arrested for any crime whom the arresting officer suspects as being addicted to narcotics or chronically abusing narcotics. Covers 1970 to the present.

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-08 (NC1-170-77-1)

Ballistics Intelligence Tables System Files. Machine-readable records which provide drug intelligence for law enforcement purposes. Contains records of tool mark and chemical analysis of licitly and illicitly made drug tablets. Covers 1970 to the present.

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-09 (NC1-170-77-1)

Controlled Substances Act Registration Records (CSA) Files. Machine-readable records containing data on individuals by name, physicians and related practitioners, dentists, veterinarians, persons conducting research with controlled substances; distributors, manufacturers, exporters, and importers of

* Revision
** Addition

controlled substances, and pharmacies. Provides a data base of handlers required to register under the Comprehensive Drug Abuse Prevention and Control Act of 1970. Covers 1971 to the present.

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-10

*Automated Reports of Consumated Orders System (ARCOS) Files. ARCOS provides an audit of drug inventory transaction by manufacturers and distributors of controlled substances, maintains a current inventory of controlled substances, provides an inventory history of narcotic transactions that assists in estimating the medical and scientific needs of the US, legal narcotic exports, and maintenance of narcotic reserves, and provides annualnstatistics to the International Narcotic Control Board.

Disposition: Data will be deleted 2 years following the date it was added to the file and placed in a historical file from which it will be deleted 4 years from the date added.*

File No. 1220-11

Narcotics and Dangerous Drugs Information System (NADDIS) Files. *NADDIS is designed to provide information to Special Agents and other DEA personnel on people, business, ships, vessels and selected aircraft identified through the DEA investigative reporting system. DEA Headquarters, all field divisions and most district and resident offices are linked by the telecommunications network.*

Disposition: Destroy 10 years after system is discounted.

File No. 1220-12

System to Retrieve Information from Drug Evidence (STRIDE) Files. *STRIDE consists of four subsystems that provide information on time utilization by laboratory professionals to laboratory managers, (laboratory manpower), provides indicators of drugs currently being abused (STRIDE Analytical)n characteristic information on tablets and capsules (Ballistics Subsystem), and provides tracking information on the present location of the drugs, (Evidence Inventory Subsystem).

Disposition: Data will be deleted from the active file 15 years from date the case is closed and added to a historical file from which it will be deleted 15 years from date added.*

* Revision

**File No. 1220-13

Data Base Management System Files. Documents relating to the selection, acquisition, management and utilization of data base management systems utilized by DEA. These documents do not relate to the content of the individual computer application such as NADDIS or CSA, but to the development and operation of the system in terms of policy, problems, solutions, etc.

Disposition: Destroy documents 5 years after a data base management system has been completely removed from service by DEA.

File No. 1220-14

Computerized Asset Program (CAP) Files. CAP is part of the M204 Data Base Management System and is used to report removal of all non-drug, forfeitable property seized as a result of drug investigation and arrests.

Disposition: Data records will be deleted 2 years following the date of disposition of the asset and added to a historical file from which it will be deleted 5 years from the date added.

File No. 1220-15

DEA Accounting System (DEAAS) Files. DEAAS provides a financial management information system for accounting procedures and the management of funds. The system includes on-line/edit update capabilities, on-line review of current status of allowances, obligations, expenditures and travel advances, budgetary controls by allowance and report creation capabilities.

Disposition: Data will be deleted 4 years following the year accumulated, and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-16

Training Information Management System Files (TIMS). TIMS operates under the M204 Data Base Management System and is an on-line system that records information on each training course attended by Special Agents.

Disposition: Data will be deleted 10 years after date of termination of service of employee and placed in a historical file from which it will be deleted 5 years from date added.

File No. 1220-17

Property Management System (PMS) Files. PMS is an on-line system that operates under the M204 Data Base Management System and retains the capability to track capitalized personal property and

** Addition

all DEA-owned technical and investigative equipment, radio communications equipment, motor vehicles, boats, aircraft, badges, credentials and firearms.

Disposition: Data will be deleted 1 year after the date of final disposition of an item of equipment. Deleted records will not be placed in a historical file.

File No. 1220-18

File Room Automation System (FRAS) Files. Machine readable records used to validate investigative file access authorizations, determine the circulation status of a specific file, identify the borrower of a file which has been checked out, and maintain circulation status. A FRAS record is created on an investigative file when establishing a Headquarters file on investigative activities.

Disposition: Data will be deleted 10 years following the year created. Deleted records will not be placed in a historical file.

File No. 1220-19

Enforcement Management and Information System (EMIS I) Files. EMIS I is composed of a money list Subsystem and Case Status (CAST) Subsystem. The money list is designed to provide an audit trail of expenditures for purchase of information and evidence. CAST is designed to track activities of an individual case under investigation.

Disposition: a. Data contained in the money list file will be deleted 2 years following the year the record was added and will be retained in a DOJ historical file 1 additional year. b. Data records in the CAST file will destroyed 10 years after the system is discounted.

File No. 1220-20

Career Development Program Files. The Career Development Program is an on-line system that contains records of the career histories of all DEA agents, intelligence analysts and chemists.

Disposition: Data will be deleted 10 years after year of termination of employee and added to a historical file from which the records will be deleted 5 years from date added.

File No. 1220-21

Enforcement Management Information System (EMIS II) Files. EMIS II is an on-line computerized information system that operates under the CCA 204 DBMS and is composed of two subsystems.

A. Manpower Utilization Subsystem. Provides statistical information on expenditure of time by Special Agents, Intelligence Analysts and Diversion Investigators from DEA bi-weekly activity reports, DEA forms 351, 352 and 421.

Disposition: Data in the manpower utilization file will be deleted 3 years following the year in which it was created and placed in a historical file from which it will be deleted 2 years from the date added.

B. Confidential Informant Subsystem. Supports management information requirements in a DEA Headquarters and field office. Information is maintained on the utilization of DEA's confidential informants.

Disposition: CI data will be deleted 3 years following the date on which it was last updated and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-22

Ceiling Control System Files. Machine readable records that provide DEA with a current account of all personnel actions including promotions, vacancies and transfers.

Disposition: Data will be deleted 6 months after the month in which the data was collected. Deleted records will not be placed in a historical file.

File No. 1220-23

Agents Application System Files. Machine readable records designed to maintain information on agent applicants.

Disposition: Data will be deleted 3 years after the date created and placed in a historical file from which it will be deleted 3 years after the date added.

File No. 1220-24

Disciplinary Records System Files. Machine readable records designed to provide a profile regarding precedent disciplinary/adverse actions relative to type(s) of charge(s) and type of action proposed and subsequently taken in order to decide appropriate penalty for current cases.

Disposition: Data will be maintained for a period of 4 years from the date of last update. Data on agents only will then be placed in a historical file for a period of 5 years following the conclusion of the Segar-Bell Court Case.

File No. 1220-25

Personnel Locator System (PLS) Files. Machine readable records designed to maintain representative data on all DEA employees pertaining to special skills, geographic work locations and functional work areas.

Disposition: Data will be deleted 2 months following the date the employee leaves DEA. Deleted records will not be placed in a historical file.

File No. 1220-26

Workmen's Compensation System Files. Machine readable records designed to provide information on the nature of personnel injuries, cause of injuries, days lost, deaths and monetary compensation for medical disability and death.

Disposition: Data will be deleted 2 years following the year in which data was collected and placed in a historical file for 5 additional years.

File No. 1220-27

Freedom of Information (FOI) Files. The Freedom of Information/Privacy Act System is designed to provide information on the current status and types of requests to DEA for information under the Freedom of Information and Privacy Acts.

Disposition: Data will be deleted 6 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-28

Vehicle Management System (PVS) Files. Machine readable records designed to track maintenance of all Government owned and Government rented vehicles in DEA.

Disposition: Data will be deleted 1 year following year of date of maintenance. Deleted records will not be placed in a historical file.

File No. 1220-29

Activity Files. As part of the M204 Data Base Management System, the activity file is designed to store information concerning a particular activity or event with information about the people involved, names of organizations/establishments known or suspected of involvement with the illegal activity, and intelligence summary information. An activity or event may involve drugs, aliens, weapons, counterfeit documents/currency, aircraft vessels or vehicles such as a pharmacist selling scheduled drugs without a prescription or a corporation suspected of illegal drug activity.

Disposition: Data will be deleted 8 years following the date of last update and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-30

Aircraft Files. As part of the M204 Data Base Management System, the aircraft file is designed to store information concerning general use of

international aircraft suspected of illegal activity and contains information about aircraft owners, users, registration data, and home airfield of the aircraft.

Disposition: Data will be deleted 8 years following the date of the last update and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-31

Airdrop System Files. Machine readable records that collect, correlate and analyze data related to aircraft drops of illicit contraband into the United States and other areas.

Disposition: Data will be deleted 5 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-32

Alien Smugglers Enforcement System (ASSET) Files. The EPIC ASSET is an Immigration and Naturalization Service (INS) system that collects and correlates information provided on the INS Smuggler Index Form.

Disposition: Data will be deleted 5 years following the date of last update. Data then will be placed in a historical file and deleted 8 years from the date added.

File No. 1220-33

Commercial Air (CAF) System Files. CAF collects data on the use of commercial airlines in transporting contraband into the U.S. CAF is comprised of three subsystems: 1) the CAF Entry System, 2) the CAF Seizures System, and 3) the CAF Lookout System.

Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 5 years from the date added.

File No. 1220-34

Computer Inventory Systems Files. Machine readable records used to collect and store all pertinent data related to computer and communications equipment at EPIC.

Disposition: Data will be deleted 6 months following the date of last payment or item is disposed of. Deleted records will not be placed in a historical file.

File No. 1220-35

General Aviation Smuggling Indicator (GAS) Files. GAS collects and correlates data relating to the use of private aircraft in the transport of illicit merchandise into and within the U.S.

Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 5 years from the date added.

File No. 1220-36

Maritime Intelligence Seizure and Intelligence Lookout Systems (MIS/MIL) Files. MIS and MIL systems collect and correlate statistical information regarding seizures and lookouts relevant to maritime smuggling into the U.S.

Disposition: Data will be deleted 5 years following the date of last update. The data will then be placed in a historical file from which it will be deleted 8 years from the date added.

File No. 1220-37

Private Aircraft Reporting System (PAIRS) Files. The PAIRS System provides on-line retrieval of information on private aircraft suspected of illegal drug trafficking entering the U.S. from foreign airports. Information input will be via INS Form 192A and U.S. Customs Form CF-178.

Disposition: Data will be deleted 4 years following date of last update.

File No. 1220-38

Vessels Files. As part of the M204 DBMS, the vessel file stores information concerning general international marine vessels. This file also provides a source for evaluating smuggling threats involving private vessels. It contains names of vessel owners, users, registration and home port information, and intelligence summary data.

Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 10 years after the date added.

File No. 1220-39

Vessel Crew Members Files. The crew members system collects and correlates data related to commercial ships and their foreign crew members transporting illicit merchandise into the U.S.

Disposition: Data will be deleted 8 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-40

Vessels Electronic (ELECTRO) Files. The ELECTRO System collects and correlates information regarding electronic equipment discovered aboard vessels carrying illicit merchandise into the U.S.

Disposition: Data will be deleted 8 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-41

Vessel U.S. Coast Guard 408 File. The USCC 408 file provides descriptionsn, documentation data and owner information on vessels registered with the U.S. Coast Guard.

Disposition: Data will be replaced as required.

File No. 1220-42

Watch Access System (WATCH) Files. The WATCH System maintains the names, passwords and identifying information on all personnel currently qualified to access the El Paso Intelligence Center.

Disposition: Data will be deleted following notification by a state official and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-43

Workload Extraction and Evaluation System (WEEP) Files. The WEEP System measures workloads within the Air Analysis Unit of EPIC and provides information on sources requesting information from EPIC.

Disposition: Data will be deleted 3 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-44

Controlled Substances Act System (CSA) Files. Machine readable records containing data on the registration of all individuals and organizations who manufacture, distribute, prescribe or dispense controlled substances.

Disposition: Data will be deleted 6 months following the date registration expires and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-45

Diversion Analysis and Detection System (DADS) Files. DADS is a subsystem of the ARCOS system and contains statistics on only those drugs purchased from or sold to associate registrants i.e., doctors, clinics, hospitals, pharmacies.

Disposition: Data will be deleted a 2 years following the date added to the file and placed in a historical file from which it will be deleted 4 years from date added.

File No. 1220-46

Project Label Files. Project label system maintains a memory bank of information as contained on labels on packages of controlled substances.

Disposition: Data will be deleted 1 year following the date on which the National Drug Code is rescinded and placed in a historical file. The data will be deleted from the historical file 2 years from the date added.

File No. 1220-47

Drug Theft System Files. Machine readable records that provide information on the theft or loss of drugs from Control Substances Act (CSA) registrants.

Disposition: Data will be deleted 3 years following the year in which the record was created and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-48

Internal Security System Files. The Internal Security System functions under the M204 Data Base Management System and consists of these separate files: 1) Subject File, 2) Assault File, and 3) Case File of Internal Security Information.

Disposition: Data will be deleted 5 years following the date the employee is terminated with DEA and placed in a historical file from which it will be deleted 30 years from the date added.

File No. 1220-49

Offender Based Transaction System (OBTS) Files. OBTS is designed to track persons who have been incarcerated on a drug related charge. It provides batch queries and report capabilities from which statistical reports may be generated.

Disposition: Data to be deleted 1 year after year of last update and added to a historical file from which records will be deleted 10 years from the date added.

File No. 1220-50

Trafficker Files. Trafficker file operates under the M204 DBMS and records information concerning seizures and traffickers worldwide. Trafficker file creates statistical reports depicting trends in trafficking. NOTE. This file is currently inactive.

Disposition: Data will be deleted 1 year after last update and added to a historical file from which it will be deleted 20 years from the date added.

File No. 1220-51

Toll/Pen Register Files. The Toll/Pen Register files under the M204 DBMS contain information on the telephone numbers used by suspects in an active drug investigation.

Disposition: Data will be deleted 5 years after case is closed and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-52

Precursor Chemical Information System (PCIS) Files. PCIS is an on-line computerized information system on the sale of precursor chemicals used for the illicit production of dangerous drugs and other controlled substances.

Disposition: Data will be deleted 3 years following the date the record was added to the file and placed in a historical file from which the record will be deleted 2 years from the date added.

File No. 1220-53

Event Files. The Events file in the M204 DBMS contains information related to drug investigations in the form of events or overt acts of suspects within the investigations, for example names, addresses, telephone numbers, businesses, banks, aircraft and vessels. Intelligence analysts and Special Agents primarily input data into the system.

Disposition: Data will be deleted 5 years from year information was added to the investigative file and placed in a historical file from which it will be deleted 4 years from the date added.

File No. 1220-54

Telephone Subscriber System (BINGO). The Telephone Subscriber System (BINGO) is a vehicle for the collection and the correlation of telephone numbers and telephone subscribers contained in information received by EPIC.

Disposition: Data records will be automatically deleted 5 years following the date year the record was added to the file. Deleted records will not be placed in a historical file.**

** Addition

NOTES

1. The term "computer sensible" is used to include media which are not magnet storage devices. Computer cards, for instance, are still widely used. Technological advances forecast computer sensible nonmagnetic storage devices likely not be be erasable and reusable.

2. "Dispose of after third update cycle" indicates that the first generation data may be disposed of after the fourth successful update.

3. Records received from another agency become the records of the receiving agency under either of two conditions:

a) when the data are merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; or

b) when the data are provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

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

FORMS MANAGEMENT FILES

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

File No. 1301-01 (NC1-170-77-1)

Forms Management Reporting Files. Documents relating to reports on progress in forms management. Included are reports, worksheets, and correspondence directly related to the reports.

Disposition: Destroy 5 years after completion of requirement.

File No. 1301-02 (NC1-170-77-1)

Forms Numerical Files (Internal). Documents accumulating in offices having authority to approve forms and resulting from the consideration, approval, control during existence, and revision or rescission of specific forms. Included are requests for approval of forms, justifications, coordination papers, instructions governing use of the form, and a copy of each edition of the form.

Disposition: Destroy 5 years after discontinuing the form.

File No. 1301-03 (NC1-170-77-1)

Forms Numerical Files (External). Documents relating to forms used within the jurisdictional area of the forms management office but approved by other agencies or offices. Included are copies of forms, instructions for use, and coordination papers.

Disposition: Destroy 1 year after discontinuing the form.

File No. 1301-04 (NC1-170-77-1)

Forms Functional Files. A collection of forms arranged by functional classification, used to assist in taking forms management actions, such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the Forms Management Officer.

Disposition: Destroy when form is discontinued, superseded, or obsolete.

File No. 1301-05

Form Number Register Files. Documents used to record and control the assignment of a form number, consisting of an entry in the register for each assigned form number.

Disposition: Destroy when all forms entered in the register are discontinued or obsolete.

REPORTS MANAGEMENT AND CONTROL FILES

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

File No. 1310-01

Reports Control Files. Documents reflecting action taken in evaluating the requirement for approving and controlling specific reports, including public use reports. Included are applications for approving reports; copies of pertinent forms or descriptions of format; copies of the requiring directive; preparation instructions; documents relating to continuation, revision, or other change to the report or output; memorandums reflecting results of periodic and special evaluations; documents identifying the relationship of the output to any controlled report to be prepared in whole or in part from the output; and similar or related papers.

Disposition: Destroy 10 years after discontinuing the report or output.

File No. 1310-02 (NC1-170-77-1)

Reports Control and Output Register Files. Documents used to control the assignment of reports control symbols and ADP outputs. Included are registers, ledgers, or comparable documents.

Disposition: Destroy when no longer needed for control purposes.

**File No. 1310-03

Reports Program Management Files. Documents relating to policy and procedures in administering the reports management program. Included are memoranda, implementing directives, Headquarters and field office reports, followup reports, coordinating actions, annual summaries of reports, statistical data bases, and related documents.

Disposition: Destroy 7 years after close out of the report or documentation.**

** Addition

RECORDS MANAGEMENT FILES

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

File No. 1320-01

Records Management Survey Files. Documents relating to staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.

Disposition: Destroy 5 years after survey; **or 3 years after next comparable NARA or GSA survey.**

File No. 1320-02

Records Management Survey Background Files. Documents used in preparing for records management surveys. Included are organizational charts, statements of function, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes, drafts, and similar or related documents.

Disposition: Destroy 3 years after next comparable survey. Earlier destruction is authorized.

File No. 1320-03 (NC1-170-77-1)

Congressional Authorization Files. Documents relating to congressional authorization to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, approvals or disapprovals.

Disposition: Destroy previous schedule when succeeding schedule is approved by NARA.

File No. 1320-04 (NC1-170-77-1)

Records Disposition Standard Files. Communications with the National Archives and Records *Administration (NARA)* concerning authority for disposition of specific files, including special studies of specific files to establish or revise disposition standards.

* Revision
** Addition

Disposition: Destroy 2 years after publication of disposition of standard or on disposition of all files covered in the standard.

File No. 1320-05

Records Locator and Disposition Files. Documents reflecting files that have been transferred or retired. Included are records shipment lists, records transfer lists, and copies of Records Transmittal and Receipt (SF-135).

Disposition: Destroy 2 years after all records listed thereon have been destroyed.

File No. 1320-06

Microform Job Files. Documents relating to appraisal of proposed microform projects and control of approved projects. Included are records analysis sheets for proposed microform projects, cost summary sheets, studies, justifications, and related material.

Disposition: Destroy 5 years after completion of project, except that disapproved project files will be destroyed 1 year after disapproval.

File No. 1320-07

Records Holdings Files. Statistical reports of Annual Summary of Records Holdings (DEA-454).

Disposition: Destroy 3 years after submission of report.

File No. 1320-08

Correspondence Management Files. Instructions relative to preparation, format, control, and clearance of correspondence.

Disposition: Destroy when 6 years old. Earlier destruction is authorized if instructions are superseded, obsolete, or no longer needed for reference.

**File No. 1320-09

Files Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the files program.

* Revision
** Addition

Disposition: Destroy when 6 years old.** *Earlier destruction is authorized if instructions etc., are superseded, obsolete, or no longer needed for references.*

File No. 1320-10

**Microform Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the microform reduction program.

Disposition: Destroy when 6 years old.** *Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for reference.*

**File No. 1320-11

IRM Triennial Review Files. Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, feeder reports, and monitoring surveys and reports.

Disposition: Destroy when 7 years old.

File No. 1320-12

Information Collection Budget Files. Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfulling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, and statistical compilations.

Disposition: Destroy when 7 years old.**

* Revision
** Addition

PUBLICATION MANAGEMENT FILES

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

File No. 1330-01

Publication Record Set Files. These will consist of one copy of each publication or change issued, within the categories specified below. Publications within this set will be filed numerically. Each folder or binder of the record set will be distinctly marked "Record Set."

a. The DEA Records Management Section will maintain a record set of DEA manual issuances (Agents, Administrative, Personnel, Planning and Inspection, Laboratory Operations, Training, Diversion Investigator, and Scientific Support Manuals; Headquarters Notices; and Laboratory and field Division Orders and Notices).

b. Functional procedures manuals, legal guidelines, program bulletins, and other official procedural documents will be maintained by originating office.

Disposition: Office performing DEA-wide staff responsibility: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old.

File No. 1330-02 (NC1-170-77-1)

Publication Reference Set Files. Offices responsible for issuing publications will maintain one set for reference purposes when needed or when required by other directives. This set will include a copy of those publications included in the "Record Set"

and copies of other publications issued by them for which a "Record Set" is not required. Each folder or binder in this set will be distinctly marked "Reference Set" and will be currently posted.

Disposition: Destroy when superseded or obsolete.

File No. 1330-03 (NC1-170-77-1)

Publication Manuscript Files. Manuscript copies of publications, printer copies of galley or page proofs or publications, drafts of publications, and other working or control data used in preparing publications.

Disposition: Destroy on printing of publication.

File No. 1330-04 (NC1-170-77-1)

Publication Deviation Files. Documents related to approved deviations or exceptions to standard publication procedures. Included are requests and approvals to distribute local publications outside the jurisdiction of the DEA, authorizations to print in more than one color, authorizations to include emblems on envelopes, and similar deviations or special authorizations.

Disposition: Destroy 2 years after expiration or supersession of the authorization.

File No. 1330-05 (NC1-170-77-1)

Publication Approval Files. Documents related to approving the initation of new publications, changes to existing publications, limitations in previous approvals, and renewal after expiration of the previous approval. Included are requests for approval, notification of approval, and related papers.

Disposition: Destroy on expiration or supersession or on discontinuance of the publication.

File No. 1330-06

Directives Development and Editing Files. Documents relating to the impovement and development of DEA directives through editing, changing, and rewriting of first drafts. Included are copies of

first and final draft manuscripts, notes and memorandums pertaining to conferences with the author, coordination, and research, copies of related correspondence, and a printed copy of the basic directive and each change thereto.

Disposition: a. Office responsible for editing, development, and improvement. Destroy on revision or obsolescence of the directive. **b. Other offices: Destroy when no longer needed for control purposes.**

File No. 1330-07

Directives Management Program Files. Documents related to establishing and administering the directives program in DEA. Included are coordinating actions, studies, instructions, authorizing directives, reports, interpretations, messages, and similar or related documents.

Disposition: Destroy when 6 years old. **Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for reference.**

**File No. 1330-08

DOJ Order Review Files. Documents relating to reviewing draft DOJ orders. Included are routing slips, memorandas, responses, proposed changes, the draft order, the coordination sheet, the Summary Sheet, and any other related papers.

Disposition: Destroy when 6 years old.**

** Addition