

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-170-94-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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

NOTE: If the manual number does not appear in the lists below, then it was not scheduled on N1-170-94-001

ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
<p>These items, unless subsequently superseded, may be used by the agency to disposition records.</p> <p>It is the responsibility of the user to verify the items are still active.</p>	<p>The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.</p>
<p>060-04 Committee Files 060-09 Program Liaison Files 060-10 Program Briefing Files 140-07 Value Engineering Program Files 170-05 Integrity Assurance Program Files 201-05 Integrity Investigation Program Management Files 220-09 Security Compromise Files 301-01 Legal Opinion Precedent Files 301-02 Legal Assistance Case Files 301-03 Legal Topic Files 330-02 Judicial Information Release Files 330-03 Appearance as Counsel in Civil Court Files 330-05 Vehicle Seizure Files 330-07 Show Cause Case Files 330-09 Asset Civil Seizure and Forfeiture Program Files 370-16 Communication Services Program Management Files 370-21 Statistical Services Programs Files</p>	<p><b>Current authority approved on N1-170-77-001 for the following:</b></p> <p>020-01 Office General Personnel Files 020-02 Employee Record Card Files 060-01 Policy and Precedent Files 060-02 Reading (Chron) Files 060-03 Agreement Files 060-05 Staff Visit Files 060-06 Reference Paper Files 060-07 Reference Publication Files 060-08 Technical Material Reference Files 140-01 Management Improvement Project Files 140-02 Management Improvement Project Background Files 140-03 Work Simplification Proposal Files 150-01 Management Survey Case File 150-02 Management Survey Background Files 220-14 Security Container Information Files 310-04 Claim Investigation Reporting Files 310-05 Personal Property Claim Files</p>

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<p>370-25 Public Affairs Program Management Files</p> <p>370-26 Voting Information Files</p> <p>560-15 Special Agent Promotion Process Files</p> <p>601-09 Cooperating Individual Files</p> <p>601-13 Suppression/Eradication of Illegal Drugs Program Files</p> <p>601-14 Drug Desk Investigations Case Support Files</p> <p>601-15 Special Enforcement Programs (SEP) Management Files</p> <p>601-16 Special Enforcement Operations (SEO) Management Files</p> <p>601-17 Prisoner Transfer Requests (Foreign) Files</p> <p>601-18 Cooperating Individual System (CIS) Files</p> <p>601-19 DEA Marine Program Management Files</p> <p>601-20 Drug Trafficking Immobilization Liaison Program Files</p> <p>601-21 Transportation Enforcement Program Files</p> <p>601-22 Witness Security Program (DOJ) Files</p> <p>601-23 Authorization for Foreign Travel/Undercover Operations (FBI) Files</p> <p>601-24 Authorization for Foreign Travel/Referral (Customs) Files</p> <p>601-25 Authorization for Utilization of Prisoner Files</p> <p>601-26 Authorization for Issuance of Green Card Files</p> <p>601-27 Authorization for Paroles and Visas Program Files</p> <p>601-28 Pardon Inquiry Files</p> <p>601-29 Fugitive Post-Arrestment Files</p> <p>601-30 Authorization for Utilization of Undercover Documents Files</p> <p>601-31 Prisoner Transfer and Exchange Coordination Files</p> <p>601-32 Targeted Kingpin Operations (TKO) Management Files</p> <p>601-33 Linear Counternarcotics Coordination Files</p>	<p>310-06 Tort Claim Files</p> <p>310-07 Contract Adjustment and Claim Determination Files</p> <p>310-08 Foreign Claim Files (later known as "Innocent Third Party Claims Files")</p> <p>310-09 Local Foreign Claim Files</p> <p>310-10 DEA Property Damage Claim Files</p> <p>330-01 Litigation Case Files</p> <p>330-04 Witness Appearance Files</p> <p>370-04 Feature Story Review Files</p> <p>370-05 Research Clearance Files</p> <p>370-06 Contractor Information Release Files</p> <p>370-07 DEA Authored Information Clearance Files</p> <p>370-08 Public Inquiry Files</p> <p>370-09 DEA Community Relations Files</p> <p>370-10 Information Publication Distribution Files</p> <p>370-11 Commercial Authorship Approval Files</p> <p>370-12 Charity Contribution Files</p> <p>370-14 Statistics Reporting Files</p> <p>550-02 Expert and Consultant Data Files</p> <p>570-01 Hours of Work Files</p> <p>570-02 Employee Service Case Files</p> <p>590-04 Employee Suggestion Control and Subject Index Files</p> <p>601-01 Jurisdictional Responsibility Files</p> <p>601-02 Investigative Technique Files</p> <p>601-03 Enforcement Confidential Fund Files</p> <p>601-04 Enforcement Program Files</p> <p>601-05 Criminal Investigator Cross-Designation Files</p> <p>601-06 Enforcement Activities Reporting Files</p> <p>601-10 Enforcement Journal Files</p> <p>601-11 Foreign Country Files</p> <p>630-02 Controlled Substances Theft/Loss Report</p> <p>630-04 Controlled Substances Reporting Files</p> <p>630-07 Controlled Substances Order Form Files</p> <p>801-01 Training Facility Requirement Files</p> <p>801-05 School Reporting Files</p> <p>801-08 Instructor Information Files</p> <p>810-01 Individual Training Record Files</p>

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<p>630-15 Drug Control Program Management Files</p> <p>701-10 National Drug Intelligence Center Program (NDIC) Files</p> <p>701-11 Target (AIG) Files</p> <p>701-12 Technical Intelligence Product (AIG) Files</p> <p>701-13 Country Background Files</p> <p>920-04 Hazardous Waste Technical Assistance Files</p> <p>920-05 Hazardous Waste Liaison Files</p> <p>920-06 Hazardous Waste Grant Program Files</p> <p>920-07 Hazardous Waste Reporting Files</p> <p>930-08 Science and Engineering Program Management Files</p> <p>1101-12 Forfeited Property Placed into Official Use Files</p> <p>1101-13 Receipt for Property Purchased During Proprietary Investigations Files</p> <p>1101-14 Receipt for Property Purchased with Trafficker Furnished Funds Files</p> <p>1120-06 DEA/FBI Conveyance Maintenance Program Files</p> <p>1120-07 Conveyance Special Use/Purpose Files</p> <p>1120-08 Conveyance Auctioneering Files</p> <p>1120-09 Conveyance Home-to-Work Policy Files</p> <p>1120-10 Conveyance Armoring Files</p> <p>1120-11 Forfeited Conveyances Not Placed into Official Use Files</p> <p>1120-12 Conveyance Retrofitting Files</p> <p>1120-13 Conveyance Rental/Lease Files</p> <p>1120-14 Receipts for Conveyances Purchased During Proprietary Investigations Files</p> <p>1120-15 Receipts for Conveyances Purchased with Traffickers Furnished Funds Files</p> <p>1120-16 Conveyance Program Management Files</p> <p>1120-17 Conveyance Management Files</p> <p>1140-05 Tour Renewal, and Rest and Recuperation Travel Files</p> <p>1140-06 Personnel Movement and Travel</p>	<p>810-02 Proficiency Test Files</p> <p>820-01 Foreign Training Program Files</p> <p>820-02 Foreign Training Program Control Files</p> <p>820-03 Training Assistance Files</p> <p>820-04 Foreign National Personnel Files</p> <p>820-05 Foreign Training Reporting Files</p> <p>830-01 Training Aids Program Files</p> <p>830-03 Training Aid Work Order Files</p> <p>860-04 Training Reporting Files</p> <p>860-07 Record of Training Files</p> <p>901-01 Laboratory Case Files</p> <p>901-02 Index Book Files</p> <p>901-04 Laboratory Reporting Files</p> <p>930-01 R&amp;D Planning Files</p> <p>930-02 DEA Scientific Advisory Committee Files</p> <p>930-03 Scientific Research Schedule Files</p> <p>930-04 Unfunded Study Files</p> <p>930-05 Problem Statement Files</p> <p>930-06 Information-to-Industry Briefing Files</p> <p>930-07 Unsolicited Proposal Files</p> <p>940-01 Foreign Scientific Information Files</p> <p>940-02 Project Control Files</p> <p>940-03 Project Register Files</p> <p>940-04 Project Reporting Files</p> <p>940-07 Scientific and Raw Data Files</p> <p>980-02 Telephone Toll Call Reporting Files</p> <p>980-03 Communications Equipment Record Files</p> <p>1001-01 Medical Review Files</p> <p>1040-02 Accident Experience Files</p> <p>1220-08 Ballistics Intelligence Tables System</p> <p>1220-11 Narcotics and Dangerous Drugs Information System (NADDIS)</p> <p>1320-03 Congressional Authorization Files</p> <p>1320-06 Microfilming Job Files</p> <p>1330-01 Publication Record Set Files</p> <p>1330-02 Publication Reference Set Files</p> <p>1330-03 Publication Manuscript Files</p> <p>1330-04 Publication Deviation Files</p> <p>1330-05 Publication Approval Files</p>

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ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
<p>Program Management Files</p> <p>1150-07 Non-Mission Still Photography Files</p> <p>1150-08 Reproduction Services Program Management Files</p> <p>1220-07 Drug Abusers Reporting System</p> <p>1220-50 Trafficker Files</p> <p>1330-07 Directive Management Program Files</p>	<p><b>Current authority approved on N1-170-86-001 for the following:</b></p> <p>570-06 Fitness for Duty Files</p> <p>570-08 Death Claim Files</p> <p>1170-07 Mail Survey Files</p> <p><b>Current authority approved on N1-170-87-001 for the following:</b></p> <p>860-05 Training Program Files</p> <p><b>Current authority approved on N1-170-88-001 for the following:</b></p> <p>560-08 Special Agent Career Management Files</p> <p><b>Current authority approved on N1-170-89-001 for the following:</b></p> <p>20-06 Employee Travel Summary Files</p> <p>201-01 Inspection Coordination Files/Unassigned</p> <p>201-02 Integrity Control Files/Unassigned</p> <p>220-10 Security Inspection and Survey Files</p> <p>220-11 Security Equipment Files</p> <p>220-12 Physical Security Survey Files</p> <p>220-13 Security Container Record Files</p> <p>220-18 Information Security Program Files</p> <p>310-01 Claim Operating Policy Files</p> <p>310-02 Claim Journal and Index Files</p> <p>310-03 Claim Reporting Files</p> <p>330-06 Civil Seizure and Forfeiture Files</p> <p>330-08 Drug Scheduling Files</p> <p>370-01 Public Appearance Schedule Reporting Files</p> <p>370-02 Public Information Reporting Files</p> <p>370-03 News Media and Release Files</p> <p>370-13 Statistical Material Clearance Files</p> <p>370-15 (GRS 16-2a) DEA Publications Files</p>

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ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	<p>370-17 Information Services Background Files 370-18 Executive Precise Files 370-22 Statistical Product Files 401-23 (GRS 6-1a) Accounts Receivable Files 401-24 Delinquent Travel Advance Files 401-25 Obligation Control (Log) Register Files 520-01 Position Number Log Files 530-03 Special Deferment Files 560-03 Employee Evaluation Record Files 560-06 Career Referral Files 560-09 Non-1811 Career Management Files 560-10 Home Leave Files 560-11 Student Assistance and Employment Files 560-12 Orientation Files 601-12 Other Regional or District Investigative Files 610-01 Federal Assistance Program Files 610-02 Federal Assistance Program Reporting Files 620-01 Demand Reduction Program Management Files 620-02 Demand Reduction Project Files 701-02 Country Narcotic Profile Files 701-03 Narcotic Trafficking Group Files 701-04 Strategic Intelligence Product Files 701-05 Drug Situation Report Files 701-06 Intelligence Presentation Files 701-07 Special Field Intelligence Program Files 701-08 Financial and Special Intelligence Program Activities Files 701-09 Audiovisual Records 790-01 EPIC Lookout Files 790-02 EPIC Watch Inquiry Sheet Files 790-03 EPIC Teletype Files 790-04 Satellite Communication Program Files 790-05 Satellite Tracking Program Files 790-06 Special Operations Files 790-07 Operation TIGRE Files 790-08 Operation COCHINO Files 790-09 Lookout Notice Worksheet Files 790-10 Photographs</p>

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ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	<p>790-11 EPIC Publications</p> <p>830-02a1 Training Aids Files</p> <p>860-09 Physical Fitness Program Files</p> <p>920-01 Hazardous Waste Program Files</p> <p>920-02 Hazardous Waste Compliance Investigation Files</p> <p>940-05 Project Case Files</p> <p>1130-01 Library Voucher Files</p> <p>1150-03 Reproduction Equipment Information Files</p> <p>1220-05 Samples, Subsampling, and Special Studies Files</p> <p>1220-06 Defendant Data (Statistics) System</p> <p>1220-10 Automated Records and Consummated Orders System/Diversion Analysis and Detection System (ARCOS/DADS)</p> <p>1220-12 System to Retrieve Information from Drug Evidence (STRIDE)</p> <p>1220-13 Data Base Management System Files</p> <p>1220-14 Computerized Asset Program (CAP) Files</p> <p>1220-15 DEA Accounting System (DEAAS) Files</p> <p>1220-17 Property Management System (PMS) Files</p> <p>1220-18 File Room Automation System (FRAS) Files</p> <p>1220-19 Enforcement Management and Information System (EMIS I) Files</p> <p>1220-20 Career Development Program Files</p> <p>1220-21 Enforcement Management Information System (EMIS II) Files A. Manpower Utilization Subsystem</p> <p>1220-21 Enforcement Management Information System (EMIS II) Files B. Confidential Informant Subsystem</p> <p>1220-22 Ceiling Control System Files</p> <p>1220-23 Agents Application System Files</p> <p>1220-24 Disciplinary Records System Files</p> <p>1220-25 Personnel Locator System (PLS) Files</p> <p>1220-29 Activity Files</p> <p>1220-30 Aircraft Files</p> <p>1220-31 Airdrop System Files</p> <p>1220-32 Alien Smugglers Enforcement System</p>

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ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	<p>(ASSET) Files</p> <p>1220-33 Commercial Air (CAF) System Files</p> <p>1220-34 Computer Inventory System Files</p> <p>1220-35 General Aviation Smuggling Indicator (GAS) Files</p> <p>1220-36 Maritime Intelligence Seizure and Intelligence Lookout Systems (MIS/MIL) Files</p> <p>1220-37 Private Aircraft Reporting System (PAIRS) Files</p> <p>1220-38 Vessels Files</p> <p>1220-39 Vessel Crew Members Files</p> <p>1220-40 Vessels Electronic (ELECTRO) Files</p> <p>1220-41 Vessel U.S. Coast Guard 408 File</p> <p>1220-42 Watch Access System (WATCH) Files</p> <p>1220-43 Workload Extraction and Evaluation System (WEEP) Files</p> <p>1220-47 Drug Theft System Files</p> <p>1220-48 Internal Security System Files</p> <p>1220-49 Offender Based Transaction System (OBTS) Files</p> <p>1220-51 Toll/Pen Register Files</p> <p>1220-53 Event Files</p> <p>1220-54 Telephone Subscriber System (BINGO)</p> <p>1320-12 Information Collection Budget Files</p> <p>1330-06 Directives Development and Editing Files</p> <p>1330-08 DOJ Order Review Files</p> <p><b>Current authority approved on N1-170-01-001 for the following:</b></p> <p>901-03 Evidence Accountability Files</p> <p>940-06 Technical Report Reference Files</p> <p><b>Current authority approved on N1-170-03-008 for the following:</b></p> <p>630-12 Import/Export Declaration of Precursor and Essential Chemicals Files</p>

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	<p><b>Current authority approved on N1-170-04-002 for the following:</b></p> <p>170-02 Internal Review Files</p> <p><b>Current authority approved on DAA-0170-2013-0004 for the following:</b></p> <p>601-07 Numbered Investigative Case Files 601-08 General Investigative Files</p> <p><b>Current authority approved on DAA-0170-2014-0001 for the following:</b></p> <p>701-01 Intelligence Case Support Files</p> <p><b>Current authority approved on DAA-0170-2014-0004 for the following:</b></p> <p>630-05 Registration Application Files 1220-09 Controlled Substances Act Registration Records 1220-44 Controlled Substances Act System (CSA) Files 1220-45 Diversion Analysis and Detection System (DADS) Files 1220-46 Project Label Files</p> <p><b>Current authority approved on DAA-0170-2015-0001 for the following:</b></p> <p>801-07 Training Media Files</p> <p><b>Current authority approved on DAA-0170-2015-0003 for the following:</b></p> <p>170-01 GAO Audit Reporting Files</p>
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**Current authority approved on  
DAA-0170-2017-0001 for the following:**

970-01 Communication Representation Files  
970-02 Telecommunication Facility Project Files  
970-03 Communication Facility Lease Request  
Files  
970-04 Radio Frequency Files  
970-05 Communication Operation Instruction Files  
980-01 Telephone Service Work Order Files  
990-01 Communications Center Operation Files

**Current authority approved on  
DAA-0170-2017-0002 for the following:**

990-02 Communications Center Message Files  
1180-01 DEA Aircraft Mission Report Files

**Current authority approved on  
DAA-0170-2017-0003 for the following:**

990-03 Monitor Reel Tape Files

**Current authority approved on  
DAA-0170-2017-0004 for the following:**

990-04 Service Message Files

**Current authority approved on  
DAA-0170-2017-0005 for the following:**

990-05 Operator's Number Sheet Files

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

630-01 Drug Evaluation Files  
630-03 Drug Schedule Files  
630-06 Import/Export Permit Files  
630-08a1 Manufacture and Purchase Quota Files

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ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	<p>630-08a2  630-08b  630-09 Registration Journal Voucher Files  630-10 Drug Identification Label Files  630-11 Precursor and Essential Chemical Program Files  990-06 Multiple Address and Book Message Processing Files  1220-52 Precursor Chemical Information System (PCIS) Files</p> <p><b>Current authority approved on DAA-0170-2017-0007 for the following:</b></p> <p>170-03 Inspection and Audit Support Files  170-04 Shooting Incident Files  170-06 Integrity Assurance Program Review Files  170-07 Integrity Assurance Program Review Support Files  201-03 Internal Security Investigative Case Files/Integrity Case Files  201-04 Internal Security Investigative General Files/Integrity General Files  510-02 Personnel Inspection Files  140-04 A-76 Program Files</p> <p><b>Current authority approved on DAA-0060-2017-0009 for the following:</b></p> <p>801-02 Training Operation Files  801-03 Training Evaluation Files  801-04 School Planned Input Files  801-06 Target Practice Files  801-09 Student Training Evaluation Files  801-10 Practical Exercise Training Files  801-11 Tactical Course Training Files  801-13 Language Proficiency Files  860-01 Training and Promotion Agreement Files  860-02 School Planning Files  860-03 School Admission Files</p>

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ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	<p>860-06 Contract Training Files 860-08 Training Material Files 860-10 Course Announcement Files 1220-16 Training Information Management System (TIMS) Files</p> <p><b>Consult the General Records Schedule for the following:</b></p> <p>020-03 Office Personnel Information Files 020-04 Standard of Conduct File 020-05 Time and Attendance Report Files 220-15 Classified Document Inventory Files 220-16 (GRS 18-3) Destruction Certificate Files 220-17 (GRS 18-2) Document Receipt Files 401-01 Paid Vendor Invoice Files 401-02 Paid Government Obligation Files 401-03 Paid Travel Voucher Files 401-04 Paid Purchase Order Files 401-05 Unpaid Purchase Order Files 401-06 Paid Government Travel Request Card Files 401-07 Unpaid Government Travel Request Card Files 401-08 Paid Transportation Schedule Files 401-09 Paid Government Bill of Lading Files 401-10 Unpaid Government Bill of Lading Files 401-11 Reimbursable Moving Expenses and Taxes Withheld 401-12 Travel Advance Card Files 401-13 Imprest Fund Account Files 401-14 Imprest Fund Shortage Files 401-15 Travel Accountability Files 401-16 Monthly Disbursement and Collection Document Files 401-17 Certification of Deposit Files 401-18 Mechanized Accounting Document Files 401-19 Mechanized Accounting Transaction Report Files 401-20 (GRS 6-1a) Paid (Closed) Obligation Account Files</p>

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	<p>401-26 Detail Accounting Management Files</p> <p>401-27 Credit Card Files</p> <p>410-01 Accounting Journal Files</p> <p>410-02 General Ledger Files</p> <p>410-03 Subsidiary Ledger Files</p> <p>410-04 Trial Balance Files</p> <p>410-05 Subsidiary Monthly Payment Files</p> <p>410-06 Biweekly Accounting Station List Files</p> <p>410-07 Summary Accounting Reporting Files</p> <p>410-08 Summary Accounting Management Files</p> <p>510-01 Personnel Program Reporting Files</p> <p>510-03 JUNIPER Printout Files</p> <p>510-04 JUNIPER Microfiche Files</p> <p>510-05 Payroll Systems Printout Files</p> <p>510-06 Personnel Correspondence Files</p> <p>510-07 Delegation of Authority Files</p> <p>520-02 Master Position Description Files</p> <p>520-03 Organization Files</p> <p>520-04 Position Standard Files</p> <p>520-05 Position Standard Development Files</p> <p>520-06 Differential and Allowance Files</p> <p>520-07 Wage Rate Files</p> <p>520-08 Payroll Correspondence Files</p> <p>520-09 Attendance and Leave Files</p> <p>520-10 Position Classification Survey Report Files</p> <p>520-11 Position Classification Inspection, Audit, and Survey Files</p> <p>520-12 Position Classification Appeals Files</p> <p>520-13 Premium Pay</p> <p>520-14 Donated Leave Program Case Files</p> <p>520-15 Personnel Position and Pay Program Management Files</p> <p>530-01 Civil Service Certificate Files</p> <p>530-02 Re-employment Files</p> <p>530-04 Employee Processing Files</p> <p>530-05 Employee Services Program Management Files</p> <p>540-01 Qualification Standard Files</p> <p>540-02 Active Employment Application Files</p> <p>540-03 Inactive Employment Application Files</p> <p>540-04 Announcement, Notification, and Publicity</p>

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	<p>Files</p> <p>540-05 Requests for Information Files</p> <p>540-06 Employment Application Program Management Files</p> <p>550-01 Official Personnel Folder Files</p> <p>550-03 Employment and Financial Interest Statement Files</p> <p>550-04 Notification of Personnel Action Files</p> <p>550-05 Individual Employee Service Program Management Files</p> <p>560-01 Referral and Selection Files</p> <p>560-02 Placement Consideration Files</p> <p>560-04 Career Management Files</p> <p>560-05 Occupational Inventory Files</p> <p>560-07 Career Trainee Input Requirement Files</p> <p>560-13 Acting Personnel Designation Files</p> <p>560-14 Promotion, Placement, and Career Program Management Files</p> <p>570-03 Misconduct Appeal and Grievance Case Files</p> <p>570-04 Performance-Based Action Files</p> <p>570-05 Retirement Files</p> <p>570-07 Health/Life Insurance Files</p> <p>570-09 Personal Injury Files</p> <p>570-10 Disciplinary/Adverse Action Files</p> <p>570-11 Personnel Counseling Records</p> <p>570-12 Personnel Welfare and Grievance Program Management Files</p> <p>570-13 (GRS 1-23a) Performance Appraisal Program Files</p> <p>570-14 SAC/CA Rating Input Files</p> <p>580-01 Reduction-in-Force Data Files</p> <p>580-02 Competitive Level Files</p> <p>580-03 Retention Register Files</p> <p>580-04 Personnel Reduction-in-Force Program Management Files</p> <p>585-01 Drug Test Plans and Procedures Files</p> <p>585-02 Employee Acknowledgement of Notice Forms (Drug Test) Files</p> <p>585-03 Selection/Scheduling Records (Drug Test) Files</p> <p>585-04 Permanent Record Books (Drug Test) Files</p>

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	<p>585-05 Chain of Custody Records (Drug Test) Files</p> <p>585-06 Drug Test Results Files</p> <p>585-07 Drug Testing Program Management Files</p> <p>590-01 Incentive Awards Committee Meeting Records</p> <p>590-02 Incentive Awards Reporting Files</p> <p>590-03 Incentive Award Case Files</p> <p>980-04 Telephone Toll Tickets</p> <p>1001-02 Health Record Files [Later changed to Employee Medical Folder (EMF) Files]</p> <p>1001-03 Health Unit Control Files</p> <p>1001-04 Health Services Program Management Files</p> <p>1001-05 Employee Assistance Program Files</p> <p>1030-01 Safety Program Files</p> <p>1030-02 Safety Hazard Files</p> <p>1030-03 Safety Program Reporting Files</p> <p>1030-04 Safety Program Management Files</p> <p>1040-01 Accident Case Files</p> <p>1040-03 Accident Program Management Files</p> <p>1101-01 Property Receipt Files</p> <p>1101-02 Equipment Record Files</p> <p>1101-03 Property Accountability Transfer Files</p> <p>1101-04 Equipment Loan Files</p> <p>1101-05 Report of Survey Files</p> <p>1101-06 Reports of Survey Register Files</p> <p>1101-07 Property Officer Designation Files</p> <p>1101-08 Packaging and Handling Deficiency Reporting Files</p> <p>1101-09 Excess Property Reporting Files</p> <p>1101-10 Equipment and Supply Requisition Files</p> <p>1101-11 Property Program Management Files</p> <p>1101-15 Property Inventory Files</p> <p>1110-01 Facilities Utilization Files</p> <p>1110-02 Floor Plan Files</p> <p>1110-03 Facilities Services Files</p> <p>1110-04 Building Lease Management Files</p> <p>1110-05 Facilities Program Management Files</p> <p>1110-06 Building Management Program Files</p> <p>1120-01 Vehicle Authorization Files</p>

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# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	1120-02 Vehicle Control Files 1120-03 Vehicle Identification Plate Files 1120-04 Vehicle Operating Cost and Performance Reporting Files 1120-05 Vehicle Disposition Files 1130-02 Shelf List Card Files 1130-03 Library Catalog Files 1130-04 Library Program Management Files 1140-01 Travel Request Files 1140-02 Conference Travel Files 1140-03 Passport Files 1140-04 International Shipment Files 1150-01 Printing Equipment Control Files 1150-02 Printing Report File 1150-04 Printing Job Jacket File 1150-05 Illustration and Drawing Files 1150-06 Photographic Negative Files 1160-01 Publication Requisition Files 1160-02 Status of Publication Files 1160-03 Initial Distribution Files 1160-04 Accountable Form Receipt and Issue Files 1160-05 Accountable Form Authorization Files 1160-06 Publication Stock Record Card Files 1160-07 Publication History and Stock Usage Files 1160-08 Publications Supply Program Management Files 1170-01 Mail Loss and Shortage Files 1170-02 Mail Routing Guide Files 1170-03 Accountable Mail Receipt Files 1170-04 Mail Control Files 1170-05 Mail Hours of Collecting Files 1170-06 Mail Production Files 1170-8 Mail Program Management Files 1180-02 Aircraft Maintenance Instruction Files 1180-03 Aircraft Historical Files 1180-04 Aircraft Log Book Files 1180-05 Engine and Propeller Historical Files 1180-06 Aircraft Services Files 1180-07 Aircraft Status Files

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	1180-08 Regional Aircraft Management Files 1180-09 Aircraft Program Management Files 1180-10 Aircraft Maintenance Management Contractor Files 1201-01 Data Systems Specifications Files 1201-02 System Test Documentation Files 1201-03 File Specifications Files 1201-04 User Guide Files 1201-05 Output Specifications Files 1201-06 ADP Report Files 1201-07 Information Retrieval Routine Files 1201-08 ADP/Telecommunication Service Files 1210-01 ADP Work Files 1210-02 ADP Test Files 1210-03 Initial Data Abstract Files 1210-04 Initial Data Reference Files 1210-05 Initial Data Card/Tape Abstract Files 1210-06 Initial Data Source Files 1210-07 Intermediate Data Input/Output Files 1210-08 Valid Transaction Files 1210-09 Information Retrieval System Master Reference Files 1210-10 Security Backup Files 1220-01 Housekeeping System Master Files 1220-02 Statistical Master Files 1220-03 Re-formatted Files 1220-26 Workmen's Compensation System Files 1220-27 Freedom of Information (FOI) Files 1220-28 Vehicle Management System (PVS) Files 1301-01 Forms Management Reporting Files 1301-02 Forms Numerical Files (Internal) 1301-03 Forms Numerical Files (External) 1301-04 Forms Functional Files 1301-05 Forms Number Registration Files 1301-06 Forms Program Management Files 1310-01 Reports Control Files 1310-02 Reports Control and Output Register Files 1310-03 Reports Program Management Files 1320-01 Records Management Survey Files 1320-02 Records Management Survey Background Files

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

ACTIVE ITEMS	SUPERSEDED AND OBSOLETE ITEMS
	<p>1320-04 Records Disposition Standard Files 1320-05 Records Locator and Disposition Files 1320-07 Records Holding Files 1320-08 Correspondence Management Files 1320-09 Files Program Management Files 1320-10 Microform Program Management Files</p> <p><b>Obsolete. Deleted from GRS. No longer done.</b> 1320-11 IRM Triennial Review Files</p>

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-170-94-1	
1. FROM (Agency or establishment) DRUG ENFORCEMENT ADMINISTRATION		DATE RECEIVED 9.15.94	
2. MAJOR SUBDIVISION		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER  JAMES L. GREENE	5. TELEPHONE  202-307-7712	DATE 9-11-96	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>117</u> 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE SEP 14, 1994	SIGNATURE OF AGENCY REPRESENTATIVE <i>James L. Greene</i>	TITLE RECORDS OFFICER	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	REVISIONS TO DEA RECORDS SCHEDULE, ADMINISTRATIVE MANUAL; VOLUME II.  116 PAGES OF REVISIONS 1 PAGE OF ADDENDUM  SEE ATTACHED PAGES FOR DESCRIPTION AND DISPOSITION INSTRUCTION OF EACH FILE SERIES.  RECORDS ARE CREATED BY THE DRUG ENFORCEMENT ADMINISTRATION.	FILE NO. 330-03 AND 330-05 ARE SUPERSEDED;	
SEP 12 1996 <i>copy to: Agency, NCF, NNT</i>			



INSTRUCTIONS TO UPDATE  
ADMINISTRATIVE MANUAL VOLUME II, APPENDIX 0750A,  
DEA FUNCTIONAL, FILE SYSTEM

REMOVE  
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150.3  
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### 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 (NCI-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 Government medical 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 (NCI-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 1 year after separation or transfer.

<sup>27</sup>  
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 conduct.

Disposition: Destroy when ~~obsolete~~ or superseded.

File No. 020-05 (GRS No. 2-<sup>8</sup>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 \*6\* years old, whichever is sooner.

File No. 020-06 (NI-170-89-1)

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).

### 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 (NCI-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 \*Headquarters and field\* offices: Destroy when superseded or obsolete. Earlier disposal of portions of the file or the entire file is authorized.

#### File No. 060-02 (NCI-170-77-1)

Reading (Chron) Files. \*Copies of communications of all types, arranged chronologically without regard to subject. The communications in these files are copies of those filed elsewhere.\*

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

#### File No. 060-03 (NCI-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.

\* Revision

~~Disposition: a. Office performing DEA-wide staff responsibility:~~

~~(1) Record copy of agreement and amendments and substantive inter-agency 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 \*Headquarters and field\* offices: Destroy 3 years after the agreement is superseded, cancelled, or terminated.~~

File No. 060-04 (NCI-170-77-1)

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: (GRS No. 16-8b(1)). 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: (GRS No. 16-8b(1)). Destroy when 3 years old or when no longer needed for reference.~~

File No. 060-05 (NCI-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 (NCI-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 (NCI-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 (NCI-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.

\*\*File No. 060-09

Program Liaison Files. Documents resulting from staff coordination of specific actions with other agencies as a routine matter of occurrence, which are not described in programmatic files elsewhere in this appendix. Includes activities of personnel designated as liaison officers. Specialized events such as official conferences or committees are reported under FFS: 060-04.

Disposition: Destroy when no longer needed for current operations.

\*\* Addition

**\*\* File No. 060-10**

Program Briefing Files. Documents related to periodic or ad hoc presentations regarding proposed/approved programs and actions/events, trends, results, etc., pertaining to such programs. Includes presentation materials such as charts, vugraphs, maps, photographs, and other aids; written text; memoranda of actions directed; records of questions and answers; attendance rosters; and similar or related material.

Disposition: a. Office charged with responsibility for programmatic action that significantly impacts on the agency: Permanent. Transfer to Federal records center after 5 years. ~~Transfer~~ ~~Offer~~ to NARA when 15 years old. b. Office conducting information briefing: Destroy when no longer needed for current references.\*\*

\*\* 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 (NCI-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 \*Headquarters and field\* offices: Destroy 5 years after completion of project.

#### File No. 140-02 (NCI-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 (NCI-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.

\* Revision

**\*\*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 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. Office performing DEA-wide staff responsibility. (1) Record copies of studies and reports: *Temporary.* Permanent. ~~Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old.~~ <sup>Destroy</sup> \* Other documents: Destroy 5 years after completion of the project. b. Other Headquarters and field offices: Destroy 5 years after completion of the project. \* *Prior to destruction, program official must review documents to determine subsequent value for retention. Destroy selected documents when no longer needed for reference.*

**File No. 140-05**

Performance Measurement Files. Documents relating to the measurement and reporting of program outcomes and outputs as required under the Chief Financial Officers Act of 1990. Files are primarily cost-benefit analysis in nature, and directed toward measuring the results of budget dollar input. Included are statements of desired performance output/outcomes and how performance is measured.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copies of measurement standards, measurements, and reports: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. Other documents: Destroy 5 years after completion of measurement and reporting actions. b. Other Headquarters and field offices: Destroy 5 years after completion of measurement and reporting actions.

*Withdrawn:  
Records have not yet  
been created.*

**File No. 140-06**

Cost Incentives Files. Documents include memoranda of instructions, special studies, surveys, cost estimates, cost analyses, potential improvements for cost savings, time-phased schedules for accomplishments, and related measures of actions for reducing program costs.

**\*\* Addition**

Disposition: a. Headquarters office performing DEA-wide staff responsibility: (1) Record copy of special studies, significant cost reductions/savings, agency-wide improvements, and reports of accomplishments: Permanent. ~~Transfer to~~ Federal records center when 5 years old. ~~Offer to NARA when 15 years old.~~ (2) Other material: Destroy when 5 years old.  
b. Other Headquarters and field offices: Destroy when 5 years old or sooner if no longer needed for current operations.

Withdrawn: Records have not  
yet been created.

File No. 140-07

Value Engineering Program Files. Documents relating to implementation and monitoring of the Value Engineering Program (VE), including VE Coordinator appointments; evaluation of contractor-incentive VE change proposals; identification of programs and projects appropriate for VE studies; VE studies; and investments, cost savings and other statistical data required to meet DOJ reporting requirements.

Disposition: Destroy 6 years and 3 months after close of fiscal year.\*\*

\*\* Addition

### 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 (NCI-170-77-1)

Management Survey Case Files. 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. ~~Transfer~~ 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 (NCI-170-77-1)

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.

### 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 (NCI-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, reports 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 than 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. <sup>Transfer</sup> 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 (NCI-170-77-1)

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. <sup>Transfer</sup> Offer to NARA when 15 years old. (2) (GRS No. 22-2). Destroy other documents \*8\* years after accomplishment of internal review. b. (GRS No. 22-2). Other \*Headquarters and field\* offices: Destroy 8 years after completion of internal review actions.

File No. 170-03 ~~(GRS 22-2)~~

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 \*10\* years after inspection or audit.

\*\*File No. 170-04

Shooting Incident Files. General correspondence, guidelines, procedures, analyses, reports, related background and supporting documentation, and remedial training requirements regarding individuals involved in shooting incidents, including DEA and task force personnel.

Disposition: a. Office of Inspections: Destroy ~~after~~ 10 years <sup>after</sup> completion of the investigation.  
b. Other Headquarters and field offices: Destroy after 6 years. Earlier destruction is authorized if procedures, etc., are superseded, obsolete, or no longer needed for references.

\*\* File No. 170-05

Integrity Assurance Program Files. Documents concerning policies and guidelines relative to implementing and administering DEA's integrity assurance program for ensuring the highest level of integrity and awareness in highly vulnerable, programmatic areas throughout DEA.

~~Disposition:~~ a. Office of Inspections: (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. ~~Offer to NARA when 15 years old.~~ (2) Remaining documents:

\* Revision  
\*\* Addition

TEMPORARY: Destroy when no longer needed for administrative purposes.

Destroy when obsolete or superseded. b. Other Headquarters and field offices: Destroy when obsolete or superseded. Note: Reports resulting from the inspection-by-function process are filed under FFS: No. 170-06.

File No. 170-06

Integrity Assurance Program Review Files. Documents relating to reviewing and examining DEA's operating activities to ascertain compliance with the policies and guidelines of the integrity assurance program (IAP). Included are reports and related correspondence.

Disposition: a. Office of Inspections: (1) Record copy of final report and replies thereto: Permanent. Transfer to Federal records center when 5 years old. ~~Offer~~ <sup>Transfer</sup> to NARA when 15 years old. (2) Destroy other documents 8 years after review. b. Other Headquarters and field offices: Destroy 8 years after completion of review.

File No. 170-07

Integrity Assurance Program Review Support Files. Documents used to collect information for an IAP review 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.

Disposition: Destroy 8 years after the IAP review.\*\*

\*\* Addition

### 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 (N1-170-89-1)

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: \*a. Cases pertaining to GS/GM 1811 personnel: Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with paragraph b.\* b. Cases pertaining to non-GS/GM 1811 personnel: Destroy 10 years from date case was opened if closed for at least 1 year. Cases not closed after 10 years will be retained for 1 year after closing before disposition.

File No. 201-04 (N1-170-89-1)

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: \*a. Cases pertaining to GS/GM 1811 personnel: Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with paragraph b.\* b. Destroy 10 years after report of investigation is approved or all required actions are completed. Files not closed after 10 years will be retained for 1 year after closing before disposition.

\* Revision



\*\*File No. 201-05

Integrity Investigation Program Management Files.

Correspondence, instructions, studies, messages, interpretations, and coordinating actions, etc., related to the administration and operation of the integrity investigative program.

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

\*\* Addition

File No. 220-09 (NI-170-89-1)

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 2 years after completion of final corrective or disciplinary action.

File No. 220-10

Facilities Survey and Inspection 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. (GRS No. 18-9). Reports regarding government owned facilities: Destroy 3 years after date of report, or upon discontinuance of facility, whichever, is sooner: b. (GRS No. 18-10). Reports regarding privately owned facilities: Destroy 4 years after date of report or upon discontinuance of facility, whichever is sooner.

File No. 220-11 (NCI-170-77-1)

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 (NCI-170-77-1)

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.

File No. 220-14 (NCI-170-77-1)

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 18-4)

Classified Document Inventory Files. Forms, ledgers or registers used to show identity, routing and final disposition made of classified documents, but exclusive 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 18-3)

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

Disposition: Destroy when 2 years old.

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

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

Disposition: Destroy 2 years \*after<sup>classified</sup> document is destroyed or  
accountability is transferred to another office.\*

File No. 220-18 (NI-170-89-1)

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

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

### LEGAL OPINION FILES

\*These files relate to legal opinions rendered by the Office of Chief Counsel.\*

#### File No. 301-01 (N1-170-89-1)

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. \*Headquarters Office of Chief Counsel: Permanent. Transfer to Federal records center ~~10 years after date of most recent document in folder.~~ <sup>when</sup> ~~offer to NARA when 20 years old.~~ <sup>transfer</sup> b. Other Headquarters and field offices: Destroy when obsolete or superseded.\*  
L is 10 years old.

#### File No. 301-02 (NC 1-170-77-1)

Legal Assistance Case Files. Documents pertaining to personal legal matters of DEA personnel. Included are correspondence, memoranda, \*court orders and interrogatories regarding garnishment and legal opinions.\*

Disposition: Destroy 1 year after completion of the case \*or expiration of the court order, except that selected documents\* withdrawn for use as precedents may be held until no longer required for reference.

#### File No. 301-03

\*Legal Topic Files. Documents relating to various subjects of recurring interest to DEA and the Office of Chief Counsel. Included are copies of legal research, documents providing information on the subject, legal precedents, opinions issued by the Office of Chief Counsel and legal opinions from other Government agencies.

Disposition: ~~Permanent. Transfer to Federal records center 10 years after the date of the most recent document in the folder. Offer to NARA when 20 years old.\*~~

~~Transfer~~

- \* Revision
- a. DEA legal opinions - see item 301-01.
  - b. working papers and reference materials: Disposition - Temporary. Destroy when no longer needed for reference, or when obsolete or superseded.

### CLAIM INVESTIGATIVE 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 (NCI-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, NCI-170-77-1

Personal Property Claim Files. Case files relating to claims against the Government \*presented\* by DEA employees \*to the Office of the Controller under the Military Personnel and Civilian Employees' Claims Act\* for damage, loss, or destruction of personal property incident to their service.

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

\* Revision

File No. 310-06 (NCI-170-77-1)

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 (NCI-170-77-1)

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 of 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

\*\*Innocent Third Party Claims Files. Claims submitted, pursuant to 31 U.S.C. Section 3724, by innocent third parties who have suffered damage as a result of DEA enforcement operations, where the claim is not cognizable under the Federal Tort Claims Act.

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

\*\* Addition

File No. 310-09 (NCI-170-77-1)

Foreign Claims Files. Documents relating to claims against the United States, pursuant to 21 U.S.C. Section 904, for damage, injury or death resulting from DEA operations abroad, and claims arising in foreign countries under DEA contractors, leases and other instruments.

Disposition: Destroy 10 years after final action on the claim.\*\*

~~File No. 310-10 (NCI-170-77-1)~~

~~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.~~

\*\* Addition



### 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.

#### File No. 330-01 (NC1-170-77-1)

Civil Litigation Files. \*Documents relating to civil judicial and administrative proceedings in which DEA and/or DEA employees are parties. Included are copies of pleadings; discovery materials; orders; communications with the other components of the Department of Justice, including the Offices of the United States Attorneys, opposing counsel, and other organizations and individuals; and related papers.

Disposition: a. Headquarters Office of Chief Counsel: Destroy 15 years after completion of litigation. b. Other Headquarters and field offices: Destroy when no longer needed.\*

#### File No. 330-02 (NC1-170-77-1)

Judicial Information Release Files. \*Documents relating to demands for disclosure of official information in civil actions to which the United States is not a party. Included are copies of subpoenas and other demands; pleadings; orders; and communications with the Department of Justice, including the Offices of the United States Attorneys, private counsel, and other organizations and individuals; and related papers.

Disposition: Destroy 2 years after resolution of demand.\*

#### File No. 330-03

Deleted.

#### File No. 330-04 (NC1-190-77-1)

Witness Appearance Files. Documents relating to requests for DEA employees to appear as witnesses \*before various courts, administrative tribunals and regulatory bodies. Included are requests for information required to be disclosed under

\* Revision

~~United States v. Henthorn; \* requests for information, correspondence, electronically transmitted messages, personnel action forms supporting documents and legal determinations.~~

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

File No. 330-05

Deleted.

File No. 330-06 (N1-170-89-1)

~~\*Asset Civil Seizure and Forfeiture Files. Documents relating to the seizure and administrative or judicial forfeiture of assets (vehicular conveyances, boats, aircraft, monies, securities, etc.) under the Controlled Substances Act, 21 U.S.C. Section 801, 881. Included are DEA Form 453, and other forms; correspondence relating to the seizure, forfeiture, mitigation, and/or remission (release) of seized assets; logs, receipts and related documents.\*~~

~~Disposition: Cut-off on close of case. Destroy 6 years after \*disposal,\* transfer or return of property.~~

File No. 330-07 (N1-170-89-1)

~~Show Cause Case Files. Documents relating to legal proceedings initiated by DEA under the provisions of the Controlled Substances Act (1970), PL 91-513, and its subsequent amendments; 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, 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: a. \*Headquarters Office of Chief Counsel. Destroy 15 years after completion of show cause hearing process.  
b. Other Headquarters and field offices: Destroy when no longer needed.\*~~

\* Revision

File No. 330-08 (N1-170-89-1)

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 dissertation papers, drug abuse statistical 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.

\*\*File No. 330-09

Asset Civil Seizure and Forfeiture Program Files.

Correspondence, instructions, studies, messages, interpretations and coordinating actions related to the administration and operation of the civil seizure and forfeiture program.

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

\*\* 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 (NI-170-89-1)

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 their 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 cut off. Transfer to the National Archives 15 years after cut off. b. Other textual documentation: Destroy 5 years after public release.

\*~~Revision~~

- c. Other textual documentation held by other offices: Destroy 5 years after public release.
- d. Posters, slides and transparencies: PERMANENT. Transfer to the National Archives in 5-year blocks when the most recent record is 10 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 5 years old.\*

File No. 370-04 (NCI-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 to 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 (NCI-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 (NCI-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.

\* Revision

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 (NCI-170-77-1)

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 (NCI-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 (NCI-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 (NCI-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 (NCI-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 (NCI-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 (NCI-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 records center when 5 years old. <sup>transfer</sup> Offer to NARA when 15 years old. (2) Other material: Destroy 8 years after date of publication. b. Other \*Headquarters and field\* offices: Destroy 5 years after date of publication.

File No. 370-15 (GRS 16-2a) NCI-170-77-1

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 document.

\* Revision

~~\*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 5 years old. b. Copies held by other \*Headquarters and field\* offices: Destroy when 3 years old.\*~~

File No. 370-16 (NI-170-89-1)

Communications Services Program Management Files. Documents related to administering the communication services program in DEA. Included are coordinating actions, instructions, reports, interpretations, messages, correspondence, and similar or related documents.

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

~~File No. 370-17 (NI-170-89-1)~~

~~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 (NI-170-89-1)~~

~~Executive Precip 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 transferring to another agency, resigning, or retiring. Earlier destruction authorized.~~

\* Revision



File No. 370-19 and 370-20

Unassigned.

File No. 370-21 (NI-170-89-1)

Statistical Services Program Management Files. Documents related 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. \*Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.\*

File No. 370-22 (NI-170-89-1)

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.~~  
Transfer

(b). Reference copies: Destroy when no longer needed for reference.

File No. 370-23 and 370-24

Unassigned.

File No. 370-25 (NI-170-89-1)

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

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

\*\*File No. 370-26

Voting Information Files. Documents received or prepared by an office pertaining to voter information, including absentee ballots, election schedules, items for bulletins, correspondence, and related matters.

Disposition: Destroy 1 year after election to which files relate.\*\*

\*\* Addition

### 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 (NCI-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 (NCI-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 (NCI-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), Cashier Reimbursement Voucher and/or Accountability Report (OF-1129), 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 (NCI-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 Deposit Ticket (SF-215) 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 (NCI-170-77-1)

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 registers 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 (NCI-170-77-1)

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 (NI-170-86-1)

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 (NI-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 (NI-170-89-1)

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

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

\*\*File No. 401-27

Credit Card Files. Documents relating to applications for issuance of credit cards including approvals of applications, monthly reports of card usage, the amount of funds obligated per card and verifications of expenditures.

Disposition: a. Destroy copies of credit card applications and monthly reports 6 years, 3 months after period of account.  
b. Destroy instructional manuals when superseded or obsolete.\*\*

\* Revision  
\*\* 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 (NCI-170-77-1)

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 (NCI-170-77-1)

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 (NCI-170-77-1)

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 (NCI-170-77-1)

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 (NCI-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 (NI-170-89-1)

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

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

\* Revision

## 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 (NCI-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. 510-02 (NCI-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 (NCI-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 (NCI-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 (NCI-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 (GRS No. 1-3)

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.

\*\*File No. 510-07

Delegation of Authority Files. Documents relating to written authorization for designated individuals to accomplish specified programmatic functions or actions on a permanent or temporary basis.

Disposition: Destroy 5 years after expiration of authority.\*\*

\*\* Addition

### 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 (NCI-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 (NCI-170-77-1)

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

Disposition: Destroy when superseded or obsolete.

File No. 520-04 (NCI-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 (NCI-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 (NCI-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 Forms 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 (NCI-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 (GRS 2-24)

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 2 years old.



File No. 520-09 (NI-170-89-1)

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 1-70<sup>C</sup> (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.

File No. 520-11 (GRS 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 1-7d<sup>(1)</sup>)

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 (NI-170-89-1)

Premium Pay Files. 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.

\*\*File No. 520-14 (GRS 1-37)

Donated Leave Program Case Files. Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certification, leave donation records or OF 630-A supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Disposition: Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.

File No. 520-15

Personnel Position and Pay Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the personnel position and pay management program.

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

\*\*Addition

### EMPLOYMENT SERVICES FILES

These files relate to selecting and retaining employees for DEA.

File No. 530-01 (NCI-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 (NCI-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 (NI-170-89-1)

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.

**\*\*File No. 530-05**

Employee Services Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the employee services program.

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

\*\* Addition

### EMPLOYMENT APPLICATION FILES

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

#### File No. 540-01 (NCI-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 (GRS 1-15)

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

Disposition: Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.

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

#### File No. 540-03 (GRS 1-15)

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 whom employment determinations preclude selection. Included are applications and related documents.

Disposition: Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.

File No. 540-04 (NI-170-89-1)

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 (GRS 1-15)

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 upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.

\*\*File No. 540-06

Employment Application Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the employment application program.

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

\*\* Addition

### INDIVIDUAL EMPLOYEE FILES

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

#### File No. 550-01 (GRS 1-1)

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, 30 days after separation. <sup>63130-5100</sup> 9700 Page Blvd. NPRC will destroy 65 years after separation from federal service. **NOTE:** Maintain and dispose of temporary records on left side of OPF in accordance with FPM Chapter 293 and Supplement 293-31.

#### File No. 550-02 (NCI-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 (GRS 1-24)

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: a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521): (1) Records including SF-278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate. Destroy 1 year after nominee

ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (2) All other records including SF-278: Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation. b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222. Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.

File No. 550-04 (NI-170-89-1)

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 documents: Destroy 2 years after the effective date of the nature of action.

\*\*File No. 550-05

Individual Employee Service Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the individual employee, service program.

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

\*\* Addition



## PROMOTION, PLACEMENT, AND CAREER MANAGEMENT FILES

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

### File No. 560-01 (GRS No. 1-32)

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 OPM audit or 2 years after the personnel action is completed whichever is sooner.\*

### 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.

\* Revision

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.

\*\* Addition

File No. 560-09 (NI-170-89-1)

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 (NI-170-89-1)

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 (NI-170-89-1)

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 (NI-170-89-1)

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.

**\*\*File No. 560-13**

Acting Personnel Designations Files. Documents that reflect authorization for an individual to perform certain duties during the temporary absence of an official.

Disposition: Destroy 1 year after end of designated period.

**File No. 560-14**

Promotion, Placement, and Career Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the promotion, placement, and career management program.

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

**File No. 560-15**

Special Agent Promotion Process Files. Documents relate to test materials (confidential in nature), videotapes and printed materials, used in assessing Criminal Investigators (GM/GS 1811) for promotion/assignment to supervisory and managerial positions.

Disposition: The test materials are covered by a court order and are to be retained indefinitely.\*\*

\*\* Addition

## PERSONNEL WELFARE AND GRIEVANCE FILES

These files pertain to employee work schedules, 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 (GRS No. 1-30a)

\*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 (GRS No. 1-30a)

Performance-Based Action Files. Documents reflecting the results of performance-based actions such as appeals, grievances, removals, demotions, within grade increases, etc. Included are

\* Revision

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. Forms, reports, correspondence 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 Employee Medical Folder and copies submitted to the Department of Labor.

\* Revision

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 (GRS No. 1-30b)

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 (NC1-170-77-1)

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 (GRS No. 1-23a(3)(b))

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.

\* Revision

### PERSONNEL REDUCTION-IN-FORCE FILES

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

#### File No. 580-01 (GRS No. 1-17b)

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 (GRS No. 1-17b)

Retention Register Files. Documents reflecting retention groups of employees according to tenure, length of service, performance ratings, and veterans performance. Included are registers and similar or related documents.

Disposition: Destroy when 2 years old, unless appeals are pending.



\*\*File No. 580-04

Personnel Reduction-in-Force Program Management Files.

Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the personnel reduction-in-force program.

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

\*\* Addition

**\*\*FEDERAL WORKPLACE DRUG TESTING PROGRAM FILES**

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f), and statistical reports, as required by FPM Letter 792-19, 12/27/89, Section 6.

File No. 585-01 (GRS 1-36a)

Drug Test Plans and Procedures Files. Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions. Excludes documents that are filed in records sets of formal issuances (directives, procedures handbooks, operating manual and the like.)

Disposition: Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. See Note 2.

File No. 585-02 (GRS 1-36b)

Employee Acknowledgment of Notice Forms (Drug Test) Files. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging that they have received notice that they may be tested.

Disposition: Destroy when employee separates from testing designated position. See Note 2.

<sup>c</sup>  
File No. 585-03 (GRS 1-36b)

Selection/Scheduling Records (Drug Test) Files. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Disposition: Destroy when 3 years old. See Note 2.

**\*\* Addition**

File No. 585-04 (GRS 1-36d(1))

Permanent Record Books (Drug Test) Files. These records relate to the collection and handling of specimens. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Disposition: Destroy 3 years after date of last entry.  
See Note 2.

File No. 585-05 (GRS 1-36d(2))

Chain of Custody Records (Drug Test) Files. These records relate to the collection and handling of specimens. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen. Includes Trouble Reports.

Disposition: Destroy when 3 years old. See Note 2.

File No. 585-06 (GRS 1-36d<sup>e(2)</sup> and e<sup>(1)</sup>)

Drug Test Results Files. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

Negative Results:

Disposition: Destroy when 3 years old. See Note 2.

Positive Results: Disposition not authorized

NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by FFS No. 570-10 which provides for the destruction of records 4 years after the case is closed. (2) Any records covered by FFS No. 585-01 to 585-06 that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

File No. 585-07

Drug Testing Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the drug testing program.

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

\*\* Addition

INCENTIVE AWARDS COMMITTEE FILES

\*These files relate to approving, disapproving, and reporting incentive awards.\*

File No. 590-01 (NI-170-89-1)

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 (NCI-170-77-1)

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 (NCI-170-77-1)

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 (GRS 1-12d)

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.

\* Revision

Disposition: ~~Transfer from control file to subject index file upon final disposition of suggestion. Destroy when superseded or obsolete.~~

\*\*File No. 590-05 (GRS 1-12) C

Letter of Appreciation/Commendation Files. Documents accumulated as a result of recommendations for, presentations of, comments, and approvals regarding letters of appreciation and commendation. EXCLUDED are copies filed in the employee's Official Personnel Folder (OPF).

Disposition: Destroy after 2 years.\*\*

\*\* Addition

## 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 (NC1-170-77-1)

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 documents: 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 techniques, methods, and procedures to be used in investigating and reporting drug/narcotic criminal and regulatory activities and offenses. Included are written guidelines pertaining to using specialized equipment in support of investigations.

Disposition: a. Offices responsible for directing or developing techniques, methods, and procedures: Destroy 5 years after termination of functional requirement. b. Other offices: Destroy 3 years after termination of functional requirement.

### 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 offices: Destroy 5 years after vouchered expenditure.

File No. 601-04 (NC1-170-77-1)

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

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

File No. 601-05 (N1-170-89-1)

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.\*\*

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

File No. 601-06 (NC1-170-77-1)

Enforcement Activities Reporting Files. Reports containing statistical and narrative data relating to drug/narcotic cases, 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 programs, 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 \*Headquarters and field\* offices: Destroy 3 years after preparing report.

File No. 601-07 (NCI-170-77-1)

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 \*6\* years old, in 1 year groups, to Federal records center. Case files opened longer than \*6\* 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.~~

\* Revision

~~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 (NCI-170-77-1)

General Investigative Files. DEA reports of investigation that are limited on 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 \*6\* years from the date the file was opened. Files still active after \*6\* 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 (i.e., 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.~~

\* Revision

File No. 601-09 (NCI-170-77-1)

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

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) \*6\* 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 \*6\* 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".

\* Revision

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 (NCI-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 (NCI-170-77-1)

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. <sup>Permanent</sup> Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. b. Other \*Headquarters and field\* offices: Destroy 5 years after approval of program material.

File No. 601-12 (NI-170-89-1)

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.

\*\*File No. 601-13

Suppression/Eradication of Illegal Drugs Program Files.

Documents created in the planning and executing programs designed to suppress/eradicate illegally produced drugs and narcotics.

Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: Offices responsible for directing or developing suppression/eradication programs: (1) Record copy of substantive documentations relating to suppression/eradication programs: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 5 years after termination of functional requirement. b. Other offices: Destroy 5 years after termination of operation.

File No. 601-14

Drug Desk Investigations Case Support Files. Copies of field requests for funds to support drug investigations activities, including domestic and foreign travel, flash rolls, CI payments, use of trafficker funds and other investigative support activities. Note: Original copies are filed in Numbered Investigative Case Files (FFS: 601-07).

Disposition: Destroy after 1 year or when no longer needed for reference, whichever is sooner.

\*\* Addition

File No. 601-15

Special Enforcement Programs (SEP) Management Files. Documents relative to directing the expenditure of resources to support high-level enforcement projects that focus DEA's investigative, intelligence and logistical resources on drug trafficking problems. These projects may be regional, hemispheric or international in scope. These programs are initiated at either the field or Headquarters level, but are established and managed by the appropriate Headquarters Sections. Examples are Operation Snowcap, BAT, CHEMCON, HIDTA and Pipe Line. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office of official record: Record copy of written proposal, quarterly and summary reports relating to SEP: Permanent. Transfer to <sup>Transfer</sup> Federal records center 5 years after receipt of summary report. ~~Offer~~ to NARA when 15 years old. b. Appropriate Headquarters Sections or comparable staff activity: Destroy 5 years after establishment of SEP. c. Field offices: Destroy 3 years after establishment of SEP.

File No. 601-16

Special Enforcement Operations (SEO) Management Files. Documents relative to directing the expenditure of resources to support long-term enforcement projects focusing DEA's investigative, intelligence and logistical resources on a trafficking organization with international or national implications. These operations are initiated at either the field or Headquarters level, but are established and managed by the appropriate Headquarters Sections. Examples are Operations Columbus and Sea Horse. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office of official record: Record copy of written proposals, quarterly and summary reports relating to SEO: Permanent. Transfer to <sup>Transfer</sup> Federal records center 5 years after receipt of summary report. ~~Offer~~ to NARA when 15 years old. b. Appropriate Headquarters Sections or comparable staff activity: Destroy 5 years after establishment of SEO. c. Field Offices: Destroy 3 years after establishment of SEO.

File No. 601-17

Prisoner Transfer Requests (Foreign) Files. Requests and responses for prisoners to be transferred to their country of origin.



Disposition: Destroy 3 years after response.

File No. 601-18

Cooperating Individual System (CIS) Files. Documents consisting of copies of DEA policies and guidelines regarding the operations and functions of the CIS including cables received and generated relative to changes within the system. Names of employees authorized access to the system are maintained.

Disposition: Destroy when superseded or obsolete.

File No. 601-19

DEA Marine Program Management Files. Documents relating to the management and disposal of seized vessels, including a declaration of seizure, specifications and identification, cost analyses and evaluations for boat acquisitions, angle photographs of boats, maintenance and equipment costs, i.e., authorizations and expenditures, vessel activity history, DEA Form 463 and training certificates of vessel operators.

Disposition: Destroy when vessel is no longer assigned to DEA.

File No. 601-20

Drug Trafficking Immobilization Liaison Program Files. Documents relating to cooperative efforts between DEA, DOD, other Federal agencies, state and local enforcement groups and foreign countries directed toward the immobilization of illegal drug trafficking. Included are memoranda of understanding, operational plans, requests for and provision of technical assistance, authorizations by DEA for travel by other Federal agencies, and documents concerning interaction of specific illegal drug programs.

Disposition: Destroy when agreements and associated documents are superseded, cancelled or terminated.

File No. 601-21

Transportation Enforcement Program Files. Documents containing statistical and narrative data relating to searches conducted at airports, bus stations and train stations relating to the transport of illegal drugs. Included is general guidance regarding airport searches.

Disposition: a. Destroy statistical and narrative reports 3 years after date of report. b. Destroy feeder reports and similar data 1 year after date of report.

File No. 601-22

Witness Security Program (DOJ) Files. Documents related to the Witness Security Program, i.e., application for acceptance into the program, threat and risk assessment reports, recommendations by DEA and final decisions by DOJ. Other documents relate to utilization of prisoners as informants, and transfer of prisoners to and from foreign countries as witnesses.

Disposition: Record copy of documents relating to eligibility of an individual for inclusion in the Witness Security Program: Transfer to Federal records center 5 years from date of approval for acceptance into the program. Destroy 75 years after date of individual's acceptance into the program.

File No. 601-23

Authorization for Foreign Travel/Undercover Operations (FBI) Files. Documents relating to approval by DEA of foreign travel by FBI officers in the undercover investigations of illegal drug trafficking and furnishing drugs for undercover investigations.

Disposition: Destroy 2 years after date of approval.

File No. 601-24

Authorization for Foreign Travel/Referral (Customs) Files. Documents relating to approval by DEA of foreign travel by U.S. Customs officers in undercover investigations of illegal drug trafficking.

Disposition: Destroy 2 years from date of approval.

File No. 601-25

Authorization for Utilization of Prisoner Files. Documents consisting of requests from DEA and approvals by DOJ for the use of prisoners as cooperating individuals. Note: Appropriate copies are filed according to Chapter 62 of the Agents Manual.

Disposition: Destroy 5 years after date of DOJ approval.



File No. 601-26

Authorization for Issuance of Green Card Files. Documents consisting of alien status requests submitted by DEA to DOJ (Drug and Narcotic Section) for approval of issuance of green cards to aliens by the Immigration and Naturalization Service.

Disposition: Record copy of request and approval: Destroy 75 years after DOJ approval.

↑  
cut off files upon DOJ approval  
Transfer to Federal Records Center 2 years after cut off.

File No. 601-27

Authorization for Paroles and Visas Program Files. Documents received from DEA field offices, directed to the Immigration and Nationalization Service (INS), requesting temporary authorization for prisoners' paroles and visas into the United States for their use as cooperating individuals, witnesses or as part of an undercover operation.

Disposition: Destroy 2 years after date request.

File No. 601-28

Pardon Inquiry Files. Documents received from DOJ requesting DEA's review of files relative to pardoning of prisoners.

Disposition: Destroy 1 year after date of DEA response.

File No. 601-29

Fugitive Post-Arrestment Files. Documents received from DEA field offices consisting of copies of notices of fugitive declarations or cancellations.

Disposition: a. Headquarters office of record: Destroy when case is completed, closed, or dismissed. b. Other offices: Destroy 1 year after date of notice.

File No. 601-30

Authorization for Utilization of Undercover Documents Files. Documents consisting of DEA Form 457, Undercover Document Request, and approvals for use of undercover passports and social security cards in undercover operations.

Disposition: Destroy 15 years from date of document.

File No. 601-31

Prisoner Transfer and Exchange Coordination Files. Documents related to the transfer of prisoners to testify as witnesses and the exchange of prisoners with foreign countries, by mutual agreement between the United States and other governmental entities.

Disposition: Documents relating to the transfer and return of prisoners from/to foreign countries: Destroy 1 year after prisoner leaves or returns to jurisdiction of the United States.

File No. 601-32

Targeted Kingpin Operations (TKO) Management Files. Documents relative to directing the expenditure of resource to support long-term enforcement operations focusing DEA's investigative, intelligence, and logistical resources on a specific head of an international drug trafficking organization or part of a drug trafficking consortium, in a source country; that is responsible for directing all phases of unlawful production, transportation, and wholesale of bulk quantities of cocaine hydrochloride, or coca products, and/or directing the financial operations thereof. These operations are initiated at either the Headquarters or field level, but are established and managed by the appropriate Headquarters Sections. The term 'KINGPIN' is used interchangeably to refer to either/both the individual or the organization. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office of official record: (1) Record copy of written proposals, quarterly and summary reports relating to TKO: Permanent. Transfer to Federal records center 5 years after receipt of summary report. <sup>Transfer</sup> ~~Offer~~ to NARA when 15 years old. b. Appropriate Headquarters Sections or comparable staff activity: Destroy 5 years after establishment of specific TKO. c. Field offices: Destroy 3 years after establishment of a specific TKO.

File No. 601-33

Linear Counternarcotics Coordination Files. Documents relating to action plans to disrupt the cocaine operations of a Kingpin drug trafficking organization and their selected group of closely related organizations. These files concern DEA's counternarcotics efforts in coordination with U.S. and Host Nation authorities, both domestic and international, to combat cocaine trafficking.

a. Monthly meetings for updating the status of counternarcotics effort; b. Conferences for developing strategies, policies and sharing information; c. Briefings on all aspects of the program for interested key officials; d. Issues that require review and resolution; e. Correspondence concerning coordination of intelligence and enforcement activities; and f. Country working files of copied DEA material and other agency material. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office performing DEA-wide staff responsibility: (1). Record copy of documents described in paragraphs a to e, above. Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 20 years old. (2). Other material: Destroy after 5 years. b. Other Headquarters and field offices: Destroy after 5 years.\*\*

\*\* Addition

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. \*The goal of these activities is to provide leadership, coordination and facilitation for the involvement of law enforcement in drug prevention and education programs, including: user accountability; programs involving law enforcement (demand reduction training, development of community-based coalitions, and Drug Abuse Resistance Education - DARE); steroids/Sports Drug Awareness Program, including training professional sports teams; workplace programs; minority/high-risk programs; and international assistance programs.\*

File No. 620-01 (NI-170-89-1)

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 (NI-170-89-1)

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 5 years after end of functional requirement. d. Other offices: Destroy 3 years after end of functional requirement.\*

\* Revision  
\*\* Addition

### DRUG CONTROL FILES

These files relate to the control of legally manufactured drugs.

File No. 630-01 (NCI-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 (NCI-170-77-1)

Controlled Substances Theft/Loss Report Files. 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 (NCI-170-77-1)

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 (NCI-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 (NI-170-89-1)

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

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 \*6\* years after approval to issue the permit.

File No. 630-07 (NCI-170-77-1)

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 alternating order forms.

Disposition: Destroy 3 years after issuing the order form.

\* Revision

File No. 630-08 (NCI-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 Division 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. <sup>Transfer</sup> Offer to NARA when 15 years old. (2) Other documents: Destroy 8 years after fiscal year in which quota was established. b. Other \*Headquarters and field\* offices: Destroy 3 years after fiscal year in which quota was established.

File No. 630-09 (NCI-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 (NCI-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.

\* Revision



\*\*File No. 630-11

Precursor and Essential Chemical Program Files. Documents relating to chemical diversion seizures, copies of domestic field surveys, information regarding precursor chemicals, including essential and nonregulated chemicals, clandestine laboratory activities and transshipments and sales of tabulating encapsulating machines.

Disposition: Destroy 5 years after resolving regulatory violations.

File No. 630-12

Import/Export Declaration of Precursor and Essential Chemicals Files. Documents pertaining to the review and approval of declarations for importing/exporting precursor and essential chemicals. Included are copies of DEA Form 486, Import/Export Declaration of Precursor and Essential Chemicals.

Disposition: Destroy 5 years after date of declaration.

File No. 630-13

International Precursor and Essential Chemical Coordination Files. Documents relating to clandestinely produced precursors and essential chemicals in a foreign country. These files include: a. Correspondence with foreign governments concerning international cooperation in enforcement activities. b. Documents concerning methods used to control international trafficking of chemicals and clandestinely produced drugs. c. Agenda, minutes and reports of meetings and conferences on chemical control including documents concerning DEA's participation in negotiations and position papers.

Disposition: a. Headquarters office performing DEA-wide staff responsibility: (1) Record copy of documents described in paragraphs a., b., and c., above. Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other material: Destroy 5 years after approval of program and field material. b. Other Headquarters and field offices: Destroy 5 years after approval of program and field material.

Withdrawn  
4/3/96  
Records have not yet been  
created,  
\*\* Addition

File No. 630-14

Precursor And Essential Chemicals Activities Reporting Files. Reports containing statistical and narrative data regarding drug cases that relate to chemicals and clandestinely produced drugs. Additional reports relate to compliance violations, seizures, intelligence operations and other enforcement activities.

Disposition: a. Headquarters 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. b. Other Headquarters and field offices: Destroy 3 years after preparing report.

*Records have not yet  
been created.*

*Withdrawn  
4/3/96*

File No. 630-15

Drug Control Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the drug control program.

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

\*\* Addition

## 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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 superseded or obsolete.

File No. 701-06 (N1-170-89-1)

Intelligence Presentation Files. Narcotic information presenta-  
tions (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 (N1-170-89-1)

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/out-  
going 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 (N1-170-89-1)

Financial and Special Intelligence Program Activities Files.  
Documents created in planning and developing systematic intelli-  
gence programs designed to provide guidance and support and opera-  
tional 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.\*\*

\* Revision  
\*\* Addition

File No. 701-08 (NI-170-89-1)

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 targeted at drug traffickers. Included are documents regarding asset removal teams and asset removal statistics, memoranda 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.

File No. 701-09 (NI-170-89-1)

Audiovisual Records Files. Videotapes, maps, and photographic slides prepared respectively for briefings and program documentation.

Disposition: 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 5 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.

\*\*File No. 701-10

National Drug Intelligence Center Program (NDIC) Files.

Documents related to the establishment, administration, and operation of the NDIC program. Included are memoranda, studies, messages, staff position papers, interpretations, minutes of meetings, coordinating actions, and similar papers.

Disposition: a. DEA office of record: Permanent. Retire to Federal records center when 5 years old. Transfer to NARA when 15 years old. b. Other Headquarters and field offices: Destroy after 8 years.

\*\* Addition

File No. 701-11

Target (AIG) Files. Documents pertaining to the procurement and selection of intelligence information. Included are intelligence collection plans, the scheduling of collection requirements, the monitoring and evaluation of collection priorities, audiovisual products, interrogation reports, and intelligence reference documents. Documents are maintained by the Air Intelligence Group (AIG).

Disposition: Destroy after 3 years. Earlier destruction is authorized.

File No. 701-12

Technical Intelligence Product (AIG) Files. Documents consist of one copy of each confirmed Air Intelligence Group (AIG) product including photographs, trend analysis, study, report, handbook, and comparable productions. Documents are maintained by the AIG.

Disposition: Permanent. Transfer record copy to Federal records center when 5 years old. ~~Offer~~ to the National Archives when 30 years old.  
Transfer

File No. 701-13

Country Background Files. Documents used for familiarizing DEA personnel with the urban environment of cities within specific countries. Included are publications, reports, maps, photographs, and related material.

Disposition: Destroy when superseded or obsolete.\*\*

## 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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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.



\*\*File No. 790-10 (N1-170-89-1)

Photograph Files. 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.

Disposition: a. Maritime Unit. Destroy 5 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.

File No. 790-11 (N1-170-89-1)

EPIC Publication Files. 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 1980's.

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.\*\*

\*\* Addition

### ENFORCEMENT PROGRAM TRAINING FILES

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

File No. 801-01 (NCI-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 (NCI-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 (~~NCI-170-77-1~~) NCI-170-77-1

Training \*Course\* Evaluation Files. \*Documents include written critiques, oral discussions, student and supervisory post training feedback evaluations, summary evaluation reports, and related documents.

Disposition: Destroy 5 years after the evaluation.\*

File No. 801-04 (NCI-170-77-1)

School Planned Input Files. Documents related to the planning, execution and revision of personnel inputs for school courses.

\* Revision

~~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 (NCI-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 (NCI-170-77-1)~~

~~Firearms Training Files. Documents related to planning, scheduling, administering, and conducting firearms training such as letters of instructions, announcements of scheduled firings, reports of completed firings, instructor observations and critiques, class rosters, resource requirements (ammunition, score cards, etc.), safety measures, and related documents. Included are studies, weapons evaluations, weapon firing samples, impact tests, authorizing directives and similar documents.~~

~~Disposition: a. Destroy documents associated with individual firearms firing exercises 3 years after conduct of firing.  
b. Destroy studies, weapon evaluations, etc., when no longer needed for reference.\*~~

~~File No. 801-07 (NCI-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.~~

\* Revision

File No. 801-08 (NCI-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.

\*\*File No. 801-09

Student Training Evaluation Files. Documents relating to evaluations of students' performance by instructors, self-assessment evaluations by students, committee reviews, summary evaluation reports, recorded observations, and recommendations for corrective action.

Disposition: Destroy 3 years after end of course.

File No. 801-10

Practical Exercise Training Files. Documents include exercise directive, announcements of practical exercises to be conducted, instructions to students and instructors, staffing assignments, resources and costs required for support of the exercise, critique sheets, final exercise reports, and related information.

Disposition: Destroy 3 years after revision or discontinuance of practical exercise.

File No. 801-11

Tactical Course Training Files. Documents include course schedule of training activities, course announcements, instructor observations of students, deficiency memoranda, class roster of attendees, course resource requirements, and related information.

Disposition: Destroy 3 years after revision or discontinuance of course.\*\*

\*\* Addition

File No. 801-12

Reserved.

File No. 801-13

Language Proficiency Files. Documents related to the administration and operation of the DEA Foreign Language Bonus Program (FLBP). Included are results of language proficiency tests, language certifications (DEA Form 496 series), compliance results of the Foreign Language Bonus and Award Committee, and support documentation such as instructions, guidelines, studies, reports, statistics, and coordinating actions related to the program.

Disposition: a. Destroy documents related to individual employee, language proficiency after 3 years. Note: Award documents will be filed in the employee's Official Personnel Folder (OPF). b. Destroy support documentation when no longer needed for references.\*\*

\*\* Addition

## 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 (NC1-170-77-1)

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 (NC1-170-77-1)

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 (N1-170-89-1)

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 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 aid illustrating unique enforcement methods: \*(a) Audiovisual material: PERMANENT. Transfer annually when records are 5 years old. (b) Lesson plans and other textual documentation: PERMANENT. Retire to WNRC when 5 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.\*

\* Revision

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

f

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (NC1-170-77-1)

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 (NC1-170-77-1)

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 , NI - 170-89-1

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 , NI - 170-89-1

Hazardous Waste On-Site Investigation Files. Documents consist of reports of investigations to determine compliance by contractors with applicable regulations regarding the maintenance and control of treatment, storage and disposal facilities. Includes reports of analyses, correspondence, and related documents.

Disposition: Destroy when 5 years old.

\*\* File No. 920-03

Hazardous Waste Task Management Files. Documents relating to plans and decisions by DEA and the contractors concerning the cleanup of hazardous waste sites for which DEA assumes responsibility. Included are correspondence between DEA Headquarters, DEA field offices, and other federal agencies; instructions to the contractors; contractor produced documents such as invoices, manifests, packing lists, and quarterly reports; field office produced documents such as delivery orders, teletypes, required reports, and supporting documentation.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. <sup>Donets</sup> Offer to NARA when 20 years old. (2) Other material: Destroy when 8 years old. b. Other Headquarters and field offices: Destroy when 5 years old.\*

\* Revision

Withdrawn  
4/3/96

**\*\*File No. 920-04**

Hazardous Waste Technical Assistance Files. Documents consist of correspondence with DEA activities for technical assistance and information regarding the cleanup and disposal of hazardous waste produced by illegal drug laboratories.

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, state and local environmental or law enforcement agencies, and private industry regarding hazardous waste treatment, clean-up, storage and/or disposal.

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 proposals, and reports.

Disposition: Destroy 6 years after completion of project.

**File No. 920-07**

Hazardous Waste Reporting Files. Documents include monthly, quarterly, semiannual and annual reports prepared by the Hazardous Waste Disposal Unit regarding hazardous waste related issues.

Disposition: ~~Destroy when 10 years old.\*\*~~ Please see attached

\*\* Addition



File No. 920-07

Hazardous Waste Reporting Files. Documents include monthly, quarterly, and biennial reports prepared by the Hazardous Waste Disposal Unit regarding hazardous waste related issues.

Disposition: a. Office performing DEA-wide responsibility:

- (1) Biennial reports: Permanent . <sup>Retire</sup> ~~Transfer~~ to Federal records center when 10 years old. <sup>Transfer</sup> ~~Offer~~ to NARA when 20 years old.
- (2) Monthly and quarterly reports: 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 requirements.

File No. 930-01 (NCI-170-77-1)

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 purposes, and similar matters. Included are research and technological long range plans or forecasts and documents contributing to the development of the plans or forecasts.

Disposition: Destroy 5 years after fiscal year in which plan was implemented.

File No. 930-02 (NCI-170-77-1)

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 panel, such as agenda of meetings, minutes of meetings, 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. <sup>Transfer</sup> 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 (NCI-170-77-1)

Scientific Research Schedule Files. 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 (NCI-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 (NCI-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 (NCI-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 (NCI-170-77-1)

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 (NI-170-89-1)

Science and Engineering Program Management Files. Documents related to administering the programs in this functional area. Included are coordinating actions, instructions, correspondence, interpretations, reports and similar or related documents.

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

\* Revision

## 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 (NC1-170-77-1)

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 (NC1-170-77-1)

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 (N1-170-89-1)

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 (NC1-170-77-1)

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 (NC1-170-77-1)

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 (NC1-170-77-1)

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 (NC1 170-77-1)

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 (GRS No. 6-8)

Telephone Toll Ticket Files. 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 (NC1-170-77-1)

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.

Disposition: 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 year after 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 (NC1-170-77-1)

Health Services Program Management Files. Documents related to administering the programs in this functional area.

\* Revision

Included are coordinating actions, studies, instructions, 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. 1001-05 (N1-170-89-1)

Employee Assistance Program Files. Documents related to administering this program. Included are coordinating actions, 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.

### 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 (NCI-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 (NCI-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 (NI-170-89-1)

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

Safety Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the safety program.

\*\* Addition

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

\*\* 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 (NI-170-89-1)

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 (NCI-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.

### \*\*File No. 1040-03

Accident Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the accident program.

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

\*\* Addition



## 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 (N1-170-89-1)

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. \*Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for reference.\*

\*\*File No. 1101-12

Forfeited Property Placed into Official Use Files. Documents attesting to the seizure, forfeiture and required justifications, concurrences and related documents for property subsequently placed into official use by DEA.

Disposition: Destroy 2 years after the date of excess report.

File No. 1101-13

Receipt for Property Purchased During Proprietary Investigations Files. Receipts, DEA Form 16s or comparable documents, identifying accountable property under DEA control.

Disposition: Destroy 2 years after date of sale documentation.

\* Revision  
\*\* Addition

File No. 1101-14

Receipt for Property Purchased with Trafficker Furnished Funds Files. Receipts, DEA Form 16s, or comparable documents identifying accountable property under control of DEA while undergoing forfeiture proceedings pending conclusion of the investigation.

Disposition: Destroy 2 years after the date of excess documentation.

File No. 1101-15

Property Inventory Files. Documents related to inventories (annual, change of property officers, cyclic) of equipment and supplies. Included are letters of instructions, reports, replies, and related information.

Disposition: Destroy after 3 years.\*\*

\*\* Addition

### FACILITIES MANAGEMENT FILES

These files result from control, occupation, and use of facilities by DEA activities.

File No. 1110-01 (GRS 11-2a)

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: Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.

File No. 1110-02 (GRS 11-2a)

Floor Plan Files. Reference copies of floor plans for DEA activities.

Disposition: Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.

File No. 1110-03 (NCI-170-77-1)

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 (NI-170-89-1)

\*Delegated\* Building Lease Management Files. Documents include copies of building lease, Contracting Officer Representative (COR) and Assistant Contracting Officer Representative (ACOR)

\* Revision

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.

**\*\*File No. 1110-05**

Facilities Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the facilities management program.

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

**File No. 1110-06**

Buildings Management Program Files. Contract cleaning and inspection reports, operating plans correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the operation and management of DEA-owned buildings and facilities.

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

**\*\* Addition**

**\*CONVEYANCE\* MANAGEMENT FILES**

These files relate to controlling and managing DEA conveyances (motorized vehicles).

File No. 1120-01 (NC1-170-77-1)

\*Conveyance\* Authorization Files. Requests for procurement or distribution of conveyances indicating requirements, justifications, and approvals or disapprovals thereof.

Disposition: Destroy 2 years after procuring or distributing conveyances.

File No. 1120-02 (NC1-170-77-1) - GRS 10-6

\*Conveyance\* Control Files. Documents used to control the location, custody, assignment, seizure status and other data relative to conveyances.

Disposition: Destroy <sup>4</sup>/<sub>2</sub> years after the conveyance leaves DEA custody.

File No. 1120-03 (NC1-170-77-1)

\*Conveyance\* 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 conveyance plates.

File No. 1120-04 (N1-170-89-1)

\*Conveyance\* Operating Cost and Performance Reporting Files. Feeder and summary reports prepared therefrom reflecting cost and performance data relative to conveyances data, conveyance deficiency reports, requests for mileage expense and conveyance status, etc.

\* Revision

Disposition: a. Summary reports: Destroy 5 years after compiling data. b. Other reports: Destroy 3 years after compiling data.

File No. 1120-05 (GRS 10-6)

\*Conveyance\* Disposition Files. Requests submitted to Department of Justice or General Services Administration for transfer of excess conveyances or disposal of conveyances that meet or exceed the conveyance replacement standards.

Disposition: Destroy 4 years after the conveyance leaves custody of DEA.

\*\*File No. 1120-06

DEA/FBI Conveyance Maintenance Program Files. Documents relating to the management, administration, and coordination of actions involving the joint DEA/FBI Maintenance Program.

Disposition: Destroy when agreement is cancelled, or when no longer needed for reference.

Files No. 1120-07

Conveyance Special Use/Purpose Files. Documentation and concurrences relative to the designation and conversion of conveyances for special uses/purposes.

Disposition: Destroy 4 years after conveyance leaves custody of DEA.

File No. 1120-08

Conveyance Auctioneering Files. Documents relating to auctioneering services and related studies.

Disposition: Destroy when no longer needed for reference.

\* Revision  
\*\* Addition



File No. 1120-09

Conveyance Home-to-Work Policy Files. Documents, authorizations, studies, related papers, DEA Form 349b and DEA Form 349c concerning home-to-work utilization of official government conveyances.

Disposition: a. Destroy documents, studies and related papers when no longer needed for reference. b. Destroy DEA Form 349b annually upon resubmission. c. Destroy DEA Form 349c 2 years after initiation.

File No. 1120-10

Conveyance Armoring Files. Requests, concurrences and all related documents supporting the armoring of conveyances for safety reasons.

Disposition: Destroy 4 years after the conveyance leaves custody of DEA.

File No. 1120-11

Forfeited Conveyances Not Placed into Official Use Files. Documents, receipts and related forms concerning the disposition of forfeited conveyances not placed into official use.

Disposition: Destroy 2 years after the conveyance leaves custody of DEA.

File No. 1120-12

Conveyance Retrofitting Files. Requests, concurrences, receipts and other related documents concerning the retrofitting of DEA conveyances.

Disposition: Destroy 4 years after the conveyance leaves custody of DEA.

File No. 1120-13

Conveyance Rental/Lease Files. Requests, concurrences, documents, studies and related receipts concerning the rental/lease of conveyances.

Disposition: Destroy 2 years after the conveyance leaves custody of DEA or when documents are no longer needed for reference, whichever is later.

File No. 1120-14

Receipts for Conveyances Purchased During Proprietary Investigations Files. Receipts, DEA Form 87's or comparable documents, identifying accountable conveyances under DEA control.

Disposition: Destroy 4 years after the date of sale documentation.

File No. 1120-15

Receipts for Conveyances Purchased with Trafficker Furnished Funds Files. Receipts, DEA Form-87s, or comparable documents, identifying accountable conveyances under DEA control while undergoing forfeiture proceedings pending conclusion of the investigation.

Disposition: Destroy 4 years after the date of excess documentation.

File No. 1120-16

Conveyance Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the conveyance management program.

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

File No. 1120-17

Conveyance Management Files. Documents include copies of the Motor Vehicle Assignment Record (DEA Form 87) and all supporting papers, papers related to the vehicle's registration/licensing/inspection, copies of the Vehicle Repair Request/Authorization (DEA Form 349a), copies of all

repair/maintenance invoices, copies of all Monthly Motor Vehicle reports/investigations (or a document cross referencing to a separate file).

Disposition: Destroy 4 years after the vehicle leaves custody of DEA.\*\*

\*\* Addition

### LIBRARY FILES

These files relate to the operation of the DEA Library \*and Information Center\*

File No. 1130-01

Reserved.

File No. 1130-02 (NCI-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 (NCI-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.

\*\*File No. 1130-04

Library Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the library program.

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

\* Revision  
\*\* Addition

### 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 (GRS 9-1<sup>c</sup>~~b~~)

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 <sup>6</sup>~~3~~ years after fiscal year in which travel was performed.

File No. 1140-02 (GRS 9-1<sup>c</sup>~~b~~)

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 <sup>6</sup>~~3~~ years after fiscal year in which travel was performed.

~~File No. 1140-03 (NCI 170-77-1) GRS 9-5a~~

~~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 (GRS 9-1a(3)) GRS 9-1a~~

~~International Shipment Files. Documents concerning international shipments of household goods.~~

~~Disposition: Destroy 6 years after the period of the account.~~

File No. 1140-05 (GRS 9-1<sup>a</sup>~~b~~)

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~~<sup>6</sup> years ~~after~~ period of account.

\*\*File No. 1140-06

Personnel Movement and Travel Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the personnel movement and travel program.

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

\*\* Addition

## REPRODUCTION SERVICES FILES

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

### File No. 1150-01 (NCI-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 (GRS 13-5a)

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 when 3 years old.

### File No. 1150-03

Reserved.

### File No. 1150-04 (NCI-170-77-1)

Printing Job Jacket Files. 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 (GRS 21-6)

Illustration and Drawing Files. Blueprints, drawings, specifications, and artwork used in preparing illustrations for publications.

Disposition: Destroy 1 year after final publication or when 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 audiovisual records in accordance with the standards of General Records Schedule 21.

\*\*File No. 1150-07

Non-Mission Still Photography Files. Photographs of activities not related to the mission of DEA, for example crash site photographs of DEA aircraft which are prepared at the request of the Federal Aviation Administration.

Disposition: Destroy when 1 year old or when no longer needed for reference whichever is sooner.

File No. 1150-08

Reproduction Services Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the reproduction services program.

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

\*\* Addition



### PUBLICATIONS SUPPLY FILES

These files are maintained at activities engaged in receiving, storing, and issuing publications or blank forms.

File No. 1160-01 (NCI-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 (NCI-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 (NCI-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 (NCI-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 (NCI-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 (NCI-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 (NCI-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.

\*\*File No. 1160-08

Publications Supply Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the publication supply program.

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

\*\* Addition

### MAIL SERVICES FILES

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

File No. 1170-01 (GRS No. 12-8)

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 (NCI-170-77-1)

Mail Routing Guide Files. 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 (GRS 12-5a)

Accountable Mail Receipt Files. Documents reflecting the receipt and dispatch of registered, certified, and numbered insured mail.

Disposition: Destroy when 1 year old.

File No. 1170-04 (GRS 12-6a)

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 (NCI-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 (GRS 12-6d)~~

~~Mail Production Files. Production reports of mail handled and work performed.~~

~~Disposition: Destroy when 1 year old.~~

~~File No. 1170-07 (NI-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. 1170-08 (NI-170-89-1)

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 \*after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.\*

\* Revision

**\*\*AIRCRAFT MAINTENANCE FILES**

These files relate to controlling and maintaining DEA aircraft.

**File No. 1180-01**

DEA Aircraft Mission Report Files. Documents, including but not limited to DEA Form 379 (Aircraft Mission Report), providing records of passengers carried onboard DEA aircraft, including request, justification and purpose of the flight.

Disposition: Destroy when 3 years old.

**File No. 1180-02**

Aircraft Maintenance Instruction Files. Manuals, circulars, memoranda, change orders, aircraft electronic equipment modifications, field maintenance bulletins, safety circulars, avionic test equipment modifications, and related aircraft and avionics maintenance directives.

Disposition: Destroy when superseded or canceled.

**File No. 1180-03**

Aircraft Historical Files. Documents maintained for the purpose of reflecting a complete record of the condition and serviceability of DEA aircraft, including aircraft log books, inspection and maintenance records, malfunction and defect reports, airworthiness applications, and supporting papers, and related aircraft card records.

Disposition: a. When aircraft is transferred or sold as surplus: Transfer related file with aircraft. b. When aircraft is scrapped: Destroy related file when 1 year old. c. When aircraft is destroyed in an accident: Destroy related file when 2 years old.

**File No. 1180-04**

Aircraft Log Book Files. Home-base copies of aircraft log books which remain in the original binder after the permanent and aircraft service base copies have been withdrawn. Maintained chronologically by the last date of entry.

**\*\* Addition**

Disposition: Destroy 6 months after date of last recorded entry.

File No. 1180-05

Engine and Propeller Historical Files. Documents maintained to provide a complete record of the condition and serviceability of DEA aircraft engines and propellers, including log books, repair and maintenance records, and related items.

Disposition: a. When engine or propeller is transferred or sold as surplus: Transfer related file with engine or propeller.  
b. When engine or propeller is scrapped or otherwise destroyed: Destroy related file when 1 year old.

File No. 1180-06

Aircraft Services Files. Forms, bulletins, card records, and other documents (maintained by aircraft tail number), which are used in the DEA Airwing maintenance facility. These documents makeup one complete file for each aircraft.

Disposition: a. Aircraft cost record indicating parts used in aircraft maintenance: Destroy when 1 year old. b. Aircraft, man-hour costs record indicating number of man-hours utilized to repair aircraft: Destroy when 1 year old. c. Aircraft gas and oil cost record: Destroy when 1 year old. d. Aircraft service bulletin: Destroy when no longer needed for current operations. e. Manufacturer's aircraft and components blueprints: Destroy when no longer needed for current operations. f. Aircraft stock control and locator cards: Destroy when part to which card applies is discontinued as a stock item. g. Log book of incoming invoices: Destroy 10 years after log is closed. h. Aircraft maintenance and modification work projects, consisting of authorizations, status reports, estimated, schedule, changes, man-hours expended and related correspondence: Destroy 2 years after project is completed.

File No. 1180-07

Aircraft Status Files. Documents indicating the authorized allowances and operating conditions (availability) of aircraft for mission assignments.

Disposition: a. Aircraft daily status reports: Destroy after 1 year. b. Monthly aircraft status reports: Destroy after 2 years. c. Aircraft master lists: Destroy after 1 year.

File No. 1180-08

Regional Aircraft Management Files. Correspondence, reports and other documents maintained by the DEA office responsible for managing regional aircraft programs.

Disposition: a. Assignments and issues of DEA aircraft: Destroy 2 years after being superseded or after conclusion of assignments, whichever is earlier. b. Work orders, work load reports, and other data which reflect work hours and utilization and maintain costs: Destroy when 2 years old. c. Correspondence and reports pertaining to the use of DEA owned and rental aircraft: Destroy when 2 years old.

File No. 1180-09

Aircraft Program Management Files. Correspondence, instructions, studies, interpretations, and coordinating actions related to the administration and management of the aircraft program.

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

File No. 1180-10

Aircraft Maintenance Management Contractor Files. Work orders, work load reports, and other data which reflect work assignments (tasks to be performed) and other data related to the work hours and utilization and maintenance costs.

Disposition: a. Assignments and issues of DEA aircraft: Destroy 2 years after being superseded or after conclusion of assignment, whichever is earlier. b. Work orders, work load reports, and other data which reflect work hours and utilization and maintenance costs: Destroy when 2 years old. c. Correspondence and reports pertaining to the use of DEA owned and rental aircraft: Destroy when 2 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 (GRS No. 20-11)

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.

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

### File No. 1201-02 (GRS No. 20-1a)

System Test Documentation Files. Documents consisting of test plans, test data, and test analysis reports.

Disposition: \*Delete/destroy when no longer needed.\*

### File No. 1201-03 (GRS No. 20-11)

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

\* Revision



File No. 1201-04 (GRS No. 20-11)

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

File No. 1201-05 (GRS No. 20-11)

Output Specifications Files. Documents consisting of detailed descriptions of products of the system that are to be used outside the computer center.

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

File No. 1201-06 (GRS No. 20-11)

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

File No. 1201-07 (GRS No. 20-10)

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.

\* Revision

\*\*File No. 1201-08 (N1-170-89-1)

ADP/Telecommunication Service Files. Documents, DEA Form 195, used to initiate 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 (GRS No. 20-1b)

ADP Work Files. \*Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.\*

Disposition: \*Delete after information has been transferred to the master file and verified.\*

### File No. 1210-02 (GRS No. 20-1a)

ADP Test Files. \*Electronic files or records created solely to test system performance, such as test records, as well as related documentation for the electronic files/records.\*

Disposition: \*Destroy/delete when no longer needed.\*

### File No. 1210-03 (GRS No. 20-2b)

Initial Data Abstract Files. \*Electronic records, except as noted in File No. 1210-04, entered into the system during an update process, and not required for audit and legal purposes.\*

Disposition: \*Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.\*

\* Revision

File No. 1210-04 (GRS No. 20-2c)

Initial Data Reference Files. \*Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.\*

Disposition: \*Delete when data have been entered into the master file or data base and verified, or when no longer needed to support reconstruction, or serve as back up to, the master file or data base, whichever is later.\*

File No. 1210-05 (GRS No. 20-2a)

Initial Data \*Non-Electronic\* Abstract Files. \*Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.\*

Disposition: \*Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of or serve as the backup to, the master file, whichever is later.\*

File No. 1210-06 (GRS No. 20-2a)

Initial Data Source Files. \*Non-Electronic\* documents or forms that contain original entry data.

Disposition: \*Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.\*

File No. 1210-07 (GRS No. 20-1b)

Intermediate Data Input/Output Files. Computer sensible<sup>1</sup> 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. \*Delete after information has been transferred to the master file and verified.\*

File No. 1210-08 (GRS No. 20-1b)

Valid Transaction Files. Computer sensible<sup>1</sup> media containing valid file of items used with a master data input file for creation of a master data output file.

Disposition: \*Delete after information has been transferred to the master file and verified.\*

File No. 1210-09 (GRS No. 20-3)

Information Retrieval System Master Reference Files. Computer sensible<sup>1</sup> media containing data created by the merging of prior master file with valid transactions data to create a new master file.

Disposition: \*Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed whichever is later.\*

File No. 1210-10 (GRS No. 20-8b)

Security Backup Files. \*Electronic file consisting of data identical in physical format to a master file or data base and retained in case the master file or data base is damaged or inadvertently erased.\*

Disposition: \*File identical to records authorized for disposal in a NARA-approved records schedule: Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.\*

\* Revision

### 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 (GRS No. 20-3)

Housekeeping System Master Files. Computer sensible<sup>1</sup> media containing data for \*master files not identified in this schedule.\*

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 (GRS No. 20-3)

Statistical Master Files. Computer sensible<sup>1</sup> 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 \*reports prepared for local use; and statistical files not identified in this schedule. Destroy one year after no longer required.\*

#### File No. 1220-03 (GRS No. 20-7)

Re-Formatted Files. \*Electronic file consisting of data copied from a master file or data base for the specific purpose of information interchange specifications, EXCLUDING files created for transfer to the National Archives.

Disposition: Delete when no longer needed.\*

#### File No. 1220-04 (N1-170-89-1)

Reserved.

#### File No. 1220-05 (NC1-170-77-1)

Samples, Subsamples, and Special Studies Files. Computer sensible<sup>1</sup> media containing data selected from a larger census or survey files.

\* Revision

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 (N1-170-89-1)

\*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 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

Title, Text and Disposition deleted.

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 (NC1-170-77-1)

\*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 annual statistics 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 (NC1-170-77-1)

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 (NC1-170-77-1)

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), 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 (NC1-170-77-1)

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 (NI-170-89-1)

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 (NC1-170-77-1)

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 (NI-170-89-1)

Training Information Management System (TIMS) Files. 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 (NI-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (GRS No. 1-34)

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 and subsequently deleted after 5 years.\*

File No. 1220-27 (GRS No. 14-13)

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 (GRS No. 10-2b)

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 (N1-170-89-1)

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 (N1-170-89-1)

Aircraft Files. As part of the M204 Data Base Management System, the aircraft file is designed to store information concerning

\* Revision

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

Vessel U.S. Coast Guard 408 File. The USCC 408 file provides descriptions, 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 (GRS No. 18-6)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 \*6\* years 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 (N1-170-89-1)

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 \*6\* years after last update and added to a historical file from which it will be deleted \*10\* years from the date added.

\* Revision



File No. 1220-51 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 (N1-170-89-1)

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 data 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 (GRS 16-3a)

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 related form is discontinued, superseded, or cancelled.

File No. 1301-02 (GRS 16-3a)

Forms Numerical (External) Files. 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 related form is discontinued, superseded, or cancelled.

File No. 1301-03 (GRS 16-3a)

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 5 years after related form is discontinued, superseded, or cancelled.

File No. 1301-04 (GRS 16-3b)

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 (GRS 23-8)

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 no longer needed.

\*\*File No. 1301-06

Forms Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the forms management program.

Disposition: Destroy after 6 years. Earlier destruction is authorized of instructions, etc., are superseded, obsolete, or no longer needed for references.\*\*

\*\* Addition

## 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 (N1-170-89-1)

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 (N1-170-77-1)

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 (N1-170-77-1)

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 (GRS No. 16-7)

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 when \*6\* years old or 3 years after next comparable NARA or GSA survey.

### File No. 1320-02 (GRS No. 16-7)

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 \*when 6 years old. Earlier destruction is authorized if records are superseded, obsolete, or no longer needed for reference.\*

### 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 (GRS No. 16-2a)

Records Disposition Standard Files. \*\*Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.\*\* 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 when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.\*

File No. 1320-05 (GRS No. 16-2a)

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 when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.\*

File No. 1320-06 (N1-170-89-1)

\*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 (GRS No. 16-4a)

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 (NC1-170-77-1)

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 (GRS No. 16-7)

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 (GRS No. 16-7)

\*\*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 (GRS No. 16-11)

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 (GRS No. 16-12)

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 fulfilling 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 (NC1-170-77-1)

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 initiation of new publications, changes to existing publications, limitations in previous approvals, and renewal after expiration of the previous approval. Included are requests for approval, notification of approval, and related papers.

Disposition: Destroy on expiration or supersession or on discontinuance of the publication.

File No. 1330-06 (NC1-170-77-1)

Directives Development and Editing Files. Documents relating to the improvement and development of DEA directives through editing, changing, and rewriting of first drafts. Included are copies of

first and final draft manuscripts; notes and memorandums pertaining to conferences with the author, coordination, and research, copies of related correspondence; and a printed copy of the basic directive and each change thereto.

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

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 (NC1-170-89-1)

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.

File No. 1330-08 (NC1-170-89-1)

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.