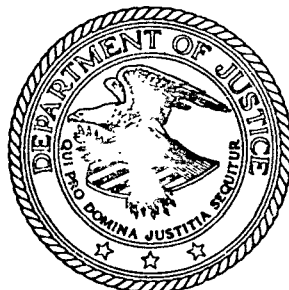


Handbook

HB 1330.2

FILES MAINTENANCE & RECORDS DISPOSITION



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

Distribution: To Section Level in
Central and Regional Offices

Initiated By: Records Management Staff
Office of Operations Support

FOREWORD

1. PURPOSE. This handbook establishes a system for the organization, maintenance, and disposal of records of the Law Enforcement Assistance Administration (LEAA).
2. SCOPE. The provisions of this handbook apply to all LEAA organizational units which maintain files. Every employee involved in the creation, maintenance, or disposition of file material should become familiar with this system.
3. CANCELLATION. HB 1333.1 of 7/12/71, Law Enforcement Assistance Administration Files System, is cancelled.
4. EXPLANATION OF CHANGES. The files system established by the cancelled HB 1333.1 was limited to procedures for maintaining files and did not provide for their ultimate disposition. LEAA is required to establish and maintain a records scheduling program in accordance with 44 U.S.C. 3102, 3301, and 3303 to control the creation and disposal of records accumulated. Records disposition standards were developed for each type or series of records in LEAA custody. The standards describe the various series of records and provide instructions for their cutoff, retirement to a Federal records center, destruction, or permanent retention. The system established by this handbook is an integrated system designed to provide procedures for the management of LEAA records from their creation through their disposition.
5. FORMS. Use of the following forms is prescribed by this handbook:
 - a. Annual Summary - Records Management Activity (LEAA Form 1337/3).
 - b. Continuity Reference (Optional Form 22).
 - c. Cross Reference (Optional Form 21).
 - d. File Charge-Out Record (Optional Form 23).
 - e. Files Maintenance and Disposition Plan (LEAA Form 1337/1).
6. AUTHORITY TO APPROVE CHANGES. The Assistant Administrator, Office of Operations Support, is authorized to approve changes, including additional chapters, to this handbook.

DONALD E. SANTARELLI
Administrator

TABLE OF CONTENTS

	<u>Page No.</u>
CHAPTER 1. POLICY AND PROCEDURES	1
SECTION 1. INTRODUCTION	1
1. Objectives	1
2. Definitions	1
3. Responsibilities	2
4. Government Ownership of Records	4
5. Donation of Personal Papers to Presidential Libraries	4
6-10. <u>RESERVED.</u>	
SECTION 2. PLANNING AND ARRANGING FILES	4
11. Official File Stations	4
12. Centralization vs. Decentralization	5
13. Basic Types of Files	5
14. General Correspondence (Subject) Files	5
15. Transitory Correspondence Files	5
16. Case or Project Files	6
17. Case Working Papers	6
18. Technical Reference Files	7
19. Convenience Files	7
20. Nonstandard Size Files	8
21. Benefits of Separating File Series Into Basic Types	8
22. Basic Filing Arrangements	8
23. Files Maintenance and Disposition Plan (LEAA Form 1337/1)	9
24-26. <u>RESERVED.</u>	
Figure 1-1. Sample Files Maintenance and Disposition Plan (LEAA Form 1337/1)	11
Figure 1-2. Sample File Drawer	12
SECTION 3. MAINTENANCE PROCEDURES	13
27. Avoid Unnecessary Filing	13
28. Arranging Folders, Guides, and Labels	13
Figure 1-3. Sample Folder Labels - Case Files	14
29. Preparing File Copies	15
30. Classifying Papers for Filing	15
31. Cross References	16
32. Placing Material in the Files	17
33. Filing Classified Records	17
Figure 1-4. Cross Reference	18
Figure 1-5. Continuity Reference	19
34. Finding Papers in the Files	20
35. Charging Material From the Files	20

	<u>Page No.</u>
36. Maintaining the Files	20
Figure 1-6. File Charge-Out Record	21
37-39. <u>RESERVED.</u>	
SECTION 4. FILING EQUIPMENT AND SUPPLIES	22
40. Standardization	22
41. File Folders	22
42. Folder Labels	23
43. Guide Cards	23
44. Forms	23
45. Standard Filing Cabinets	24
46. Shelf Filing Equipment and Supplies	24
47. Sorting Devices	24
48. Requests for Filing Supplies and Equipment	24
49-50. <u>RESERVED.</u>	
APPENDIX 1-1. RULES FOR ALPHABETIZING	25
APPENDIX 1-2. DIVISIONS OF THE ALPHABET	29
CHAPTER 2. SUBJECT FILE CLASSIFICATION SYSTEM	31
SECTION 1. SYSTEM CONCEPTS	31
51. Definition and Purpose	31
52. Applicability	31
53. Distinction Between Subject Correspondence and Other File Groups	31
54. Type of System	31
55. Master Outline	31
Figure 2-1. Illustration of Subject File Classification System	32
56. Subject File Codes	32
57. <u>RESERVED.</u>	
SECTION 2. ESTABLISHING THE SUBJECT FILE	32
58. General	32
59. Master Outline Used as Basis for Establishing the Subject File	33
60. Selection of Topics	33
61. Addition of Topics	33
62. Numbering of Topics	33
63. Preparation of Files Outline	33
Figure 2-2. Arrangement of Subject File Folders, Guides, and Labels	34
64-65. <u>RESERVED.</u>	

	<u>Page No.</u>
SECTION 3. ARRANGING THE SUBJECT FILES	35
66. Folders and Guides	35
67. Folders and Labels	35
Figure 2-3. Examples of Folder Labels	35
68. <u>RESERVED.</u>	
SECTION 4. CLASSIFYING SUBJECT FILE PAPERS	36
69. Basic Steps in Classifying	36
70. Techniques in Classifying	36
71-72. <u>RESERVED.</u>	
APPENDIX 2-1. SUBJECT OUTLINE	39
CHAPTER 3. RECORDS DISPOSITION POLICY AND PROCEDURES	89
SECTION 1. GENERAL	89
73. Objectives	89
74. Disposition Explained	89
75. <u>RESERVED.</u>	
SECTION 2. DISPOSITION STANDARDS	90
76. Authority	90
77. Arrangement of Disposition Standards	90
78. Numbering	90
79. Application and Review of Standards	91
SECTION 3. FILES CUTOFF PROCEDURES	92
80. Definition and Objectives	92
81. Cutoff Standards	92
SECTION 4. RETIREMENT PROCEDURES	93
82. Records Retirement (General)	93
83. Retirement Deviations	93
84. Transfer of Records to Federal Archives and Records Centers	94
Figure 3-1. Federal Archives and Records Centers	95
85. Preparing the Transmittal Forms	96
Figure 3-2. Sample Standard Form 135	97
86. Shipping the Records	98
87. Referrals to Stored Records	99
88. Disposal of Records by Federal Archives and Records Centers	99
89. Transfers to National Personnel Records Center	99
Figure 3-3. Sample Standard Form 127	100

	<u>Page No.</u>
SECTION 5. SAMPLING PROCEDURES FOR GRANT AND CONTRACT RECORDS	101
90. Purpose of Sampling	101
91. Applicability	101
92. Responsibility	101
93. Selection Criteria	102
94. Procedures	102
95. <u>RESERVED.</u>	
SECTION 6. ANNUAL REPORT ON RECORDS HOLDINGS	102
96. Reporting Requirements	102
97-99. <u>RESERVED.</u>	
Figure 3-4. Sample LEAA Form 1337/3	104
APPENDIX 3-1. RECORDS DISPOSITION STANDARDS	105
APPENDIX 3-2. INDEX TO DISPOSITION STANDARDS	181

CHAPTER 1. POLICY AND PROCEDURES

SECTION 1. INTRODUCTION

1. OBJECTIVES. The basic objective of the LEAA Files Maintenance and Records Disposition System is to promote economy and efficiency in the organization, maintenance, use, and ultimate disposition of records. These objectives are achieved through the application of records management standards and techniques designed to:
 - a. Assure uniformity and simplicity in maintaining and using records;
 - b. Provide adequate controls over the creation of file materials and prevent accumulation of unnecessary files;
 - c. Facilitate the classification, filing, retrieval, charging out, and refiling of records;
 - d. Assure the preservation of those relatively few records having sufficient continuing value to warrant their permanent retention; and
 - e. Provide for the systematic cutoff and periodic destruction or retirement of records in accordance with approved records disposition schedules as contained in this handbook.
2. DEFINITIONS.
 - a. Official Files. Official files of the Law Enforcement Assistance Administration are papers, photographs, maps, or other documentary materials, regardless of physical form or characteristics, which have documentary or evidential value. Such papers, created or received in connection with the transaction of the agency's business, are preserved as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities because of their informational value. Official files, also referred to as record material, can be destroyed only according to the provisions of authorized disposal schedules.
 - b. Non-Record Material. Papers having no documentary or evidential value are considered non-record material. These include stocks of publications, library material, duplicate copies of record material such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as drafts, worksheets, informal notes, and routing slips. Non-record materials will be destroyed when their purpose is served.
 - c. Official File Stations. An official file station is an organizational unit where official record copies of correspondence and other documents are maintained.

- d. Cutoff. The termination of files at regular intervals to permit their transfer, retirement, or destruction in complete file blocks. Under this process, a file is terminated regularly at the end of a specified time or an event, and a new file established.
- e. Disposition. A broad term which may refer to any of the following:
 - (1) Destruction of records;
 - (2) Retirements of records to the National Archives or a records storage center; or
 - (3) Transfer of records from one office or agency to another.
- f. Disposition Standards. A comprehensive listing and description of records created or accumulated which shows all legally authorized action to be taken in relation to their retention and disposition. Records disposition standards provide for the periodic retirement of records to records centers as well as provisions for their final disposal or retention. Records disposition standards are also referred to as records disposition schedules.
- g. Federal Archives and Records Center (FARC). A storage facility established for the receipt, maintenance, servicing, and disposition of files which are retired in accordance with standards established by this handbook. The General Services Administration operates a system of Federal Archives and Records Centers which LEAA offices are authorized to use.
- h. Records Officer. The official in the LEAA Central Office delegated responsibility for the overall direction and staff supervision of the agency-wide records management program. This responsibility has been delegated to the Chief, Records Management Staff, OOS. Specific responsibilities are outlined in paragraph 3a below.
- i. Records Liaison Officer. The appointed representative of an organization who is responsible for monitoring, coordinating, and reporting the results of the records management program within his area of jurisdiction. A records liaison officer is appointed for each LEAA Central and Regional Office.
- j. Files Custodian. The individual responsible for the establishment, maintenance, and operation of official files. Also referred to as "recordkeeper."

3. RESPONSIBILITIES.

- a. LEAA Records Officer. The LEAA Records Officer has overall responsibility for LEAA wide files program direction, guidance,

and technical assistance. This responsibility includes the following functions:

- (1) Planning, formulating, and prescribing basic files management and records disposition policies, systems, standards, and procedures.
 - (2) Coordinating the overall files management and records disposition program and evaluating program effectiveness.
 - (3) Providing advice and assistance to all organizational levels.
 - (4) Analyzing, developing, coordinating, and installing files maintenance and records disposition procedures, including those prescribed by this handbook, to meet the operating needs of the LEAA.
 - (5) Inspecting and surveying the system at all organizational levels for conformance with the prescribed procedures and advising the appropriate officials of findings and recommendations for improvement.
 - (6) Reviewing and approving requests for all filing equipment and recommending the appropriate supply action.
 - (7) Serving as liaison with the Federal Archives and Records Centers, the National Archives and Records Service, and other agencies on matters relating to records management. This function includes preparing reports required by GSA regarding records holdings and records disposition activities.
- b. Heads of Central and Regional Offices. The head of each Central and Regional Office is responsible for implementation and operation of an effective files maintenance and records disposition program in accordance with the provisions of this handbook within his area of responsibility. The heads of Central and Regional Offices will designate records liaison officers to coordinate operation of the system and will inform the Records Officer of the designated individuals.
- c. Records Liaison Officer. Records liaison officers are responsible for administering all phases of files management and for providing a coordinating point to ensure efficient files operations within their offices. They are also designated liaison between their offices and the Records Management Branch. This responsibility includes the application of appropriate records retention and disposition schedules and preparing and submitting reports on the status of the files management and records disposition program.

- d. File Custodians. File custodians are responsible for the establishment, maintenance, and operation of file stations within their organizational units in accordance with the prescribed standards and procedures.
4. GOVERNMENT OWNERSHIP OF RECORDS. All information received, created, or compiled by the officers and employees of the Federal Government for the use of the Government is official Government record material and is, therefore, the property of the United States. No Federal official or employee has, by virtue of his position, any personal or property right to official records even though he may have helped develop or compile them. The unlawful destruction, removal from files, and use of official records is prohibited by the U. S. Criminal Code (Title 18, Supp. V, Sec. 2071, USC).
5. DONATION OF PERSONAL PAPERS TO PRESIDENTIAL LIBRARIES. Preservation of the papers of the President of the United States and the personal papers of his associates and contemporaries is authorized by the Presidential Libraries Act of 1955. Personal papers of a Government official are the files he has organized and maintained for his own personal use as distinguished from official records as described in paragraph 2a. Personal papers will ordinarily include correspondence of the official that does not directly concern the work of his office and that is not intended to be a part of the official records of the office. The correspondence may be with friends, family members, professional or business associates, or other administration officials. LEAA officials who are asked to donate their personal papers to a Presidential Library shall ensure that the papers are, in fact, personal papers and not official LEAA records. LEAA officials may, however, make extra copies of official agency records for donation to a Presidential Library provided:
 - a. Such papers are eligible for disposition under Federal law as extra copies (44 USC 3301); and
 - b. Such copies do not consist of materials classified under Executive Order 11652 and/or those defined as "Restricted Data" under the Atomic Energy Act of 1954, both of which require special handling.
- 6-10. RESERVED.

SECTION 2. PLANNING AND ARRANGING FILES

11. OFFICIAL FILE STATIONS. Official file stations are specifically designated organizational units of the LEAA where official record copies of documents are maintained. They may be established at any organizational level. Official file stations are established as necessary to provide a network of record keeping locations within an office or division to:
 - a. Provide technical control and supervision of official records:

- b. Facilitate coordination between and among file stations; and
- c. Assure uniformity in filing and reference procedures.

12. CENTRALIZATION vs. DECENTRALIZATION OF FILE STATIONS.

- a. Centralized Files. In centralized files, the records of a unit are maintained in one location. Consider locating records in a centralized file when:
 - (1) More than one work unit has need for the same record.
 - (2) Units are sufficiently near the central file for prompt service.
 - (3) Security of classified material requires central filing.
- b. Decentralized Files. Consider locating records in a decentralized file when:
 - (1) Records are of interest to only one work unit.
 - (2) Centralized filing is too distant for efficient service.
 - (3) Information must be immediately available to the creator.
 - (4) Constant reference is made to the records by a particular organizational unit.

- 13. BASIC TYPES (GROUPS) OF FILES. The files collection will normally consist of more than one basic type of record. A file group consists of a collection of papers which have similar characteristics and which should be kept apart from other groups of records in the office. This separation of records into readily discernible groups makes it easier to file and find papers and assists in the disposal of records with different retention periods. The file groups described in paragraphs 14-20 should generally be maintained separately.
- 14. GENERAL CORRESPONDENCE (SUBJECT) FILES. Often known as the "general file" or the "subject correspondence file," this file consists of originals or copies of letters, memorandums, telegrams, reports, and miscellaneous materials. Each official file station will normally have a separate correspondence file. Because this file invariably involves a wide variety of subjects, it can best be identified and used when arranged by subject. The Subject Classification System will be utilized in the arrangement of correspondence files (see chapter 2).
- 15. TRANSITORY CORRESPONDENCE FILES. These files consist of correspondence and other papers of short term interest which should not be filed in subject correspondence files. These records involve routine transactions or do not contain information of continuing reference value. They

consist of transmittal letters or forms; requests for routine information or publications; communications correcting reports or records; or other documents not requiring action by the receiving office. The recognition and separate maintenance of transitory material is important. Transitory material that has served its purpose should be destroyed immediately. Transitory correspondence that is temporarily needed for reference is normally filed by date so that the papers may be easily destroyed after a short retention period, usually no more than 90 days.

16. CASE OR PROJECT FILES. Case files contain material relating to a specific action, event, person, organization, location, product, or thing. The papers may cover one or many subjects concerning a case or project but will always be filed by a name or number. This practice aids in distinguishing them from general correspondence, which is filed by subject. A case file documents a transaction or relationship from beginning to end. For example, a grant application may begin a case folder and a final grantee fiscal report may close it. A project file is a case file on a specific project or study that is more voluminous than the normal case file. This file will contain documents and material relating to various phases of the project such as proposals, authorizations, financing, reports, etc. Where possible, contents of case files should be standardized by each LEAA Central and Regional Office. A list or inventory of standard contents may be prepared for case related papers. Records commonly case filed include:
 - a. Purchase orders.
 - b. Contracts.
 - c. Investigations.
 - d. Audits.
 - e. Loans.
 - f. Grants.
 - g. Research projects.
 - h. Personnel transactions.
17. CASE WORKING PAPERS. These are short-lived correspondence and working papers accumulated in connection with specific case and project files. They include background and working materials such as reference materials and data obtained for the case or project, data analyses and summaries, drafts and other preliminary papers leading to final results or findings. The most common type of working papers are routine requests for case reports or data, routine correspondence concerning the administration of

a case or project, extra copies of documents or reference material, etc. Case working papers should be segregated from the important case documents for ease of disposal and to prevent cluttering of more important papers. They may be filed in the same folder but kept separate by fastening on the opposite side from the essential papers or by filing in separate folders placed one behind the other in the file drawer.

18. TECHNICAL REFERENCE FILES. Sometimes called "reference material" or "reference publications," this file group consists of printed or processed material which is of non-record value, but which has a direct relationship to the work of the office and is needed for future reference. It includes such materials as technical reports, periodicals, catalogues, handbooks, equipment manuals, pamphlets, internal instructional and informational manuals, etc. Unless the volume is very small, technical reference materials should always be maintained separately from correspondence files. Mixing correspondence files and technical reference papers hampers disposal of both types and overloads the correspondence files.
19. CONVENIENCE FILES. These consist of extra non-record copies of correspondence, forms, and other papers kept solely to satisfy a particular need. Extra copy files should be established only when fully justified. Improperly used, they waste filing equipment, supplies, office space, reproduction costs, and valuable employee time. Examples of convenience files are:
 - a. Reading Files. Contain extra copies of outgoing material arranged in date sequence and maintained or circulated for informational purposes.
 - b. Suspense Files (also known as tickler, pending, or follow-up files). Consist of copies of correspondence or other papers which require action or attention on subsequent dates. Papers are arranged by date and serve as a reminder to prepare needed reports, replies, etc.
 - c. Policy Reference Files. These are extra copies of selected documents reflecting policies, precedents, procedures, and instructions governing the performance of the mission and operations of the office. They are used as a ready reference in conducting daily business and as a means of indoctrinating new personnel. The file is kept current on a continuing basis by replacing superseded documents, removing obsolete documents, and adding new documents.
 - d. Alphabetical Name Index File. Consists of extra copies of correspondence or name cross-reference sheets arranged alphabetically by the names of the individuals or organizations to whom correspondence is addressed or whom it concerns. It provides an additional source of reference to the subject files. This file is useful when papers are requested by the names of individuals or organizations. The

alphabetical name index is not practical unless the subject file is large, perhaps more than one file cabinet a year.

- e. Duplicate Working Files. Contain identical extra copies of papers found in the official files. Authority to maintain a duplicate working file must be obtained from the Records Officer.
- 20. NONSTANDARD SIZE FILES. These records are kept in a separate group because of size or physical characteristics and include films, tape records, cartographic materials and drawings, computer printouts, punched cards, and photographs, etc.
- 21. BENEFITS OF SEPARATING FILE SERIES INTO BASIC TYPES. The benefits derived from separating files into the basic types are numerous and discount most arguments against separate maintenance. Breaking a file collection down into separate groups facilitates:
 - a. Finding records by reducing the area of search. The recordkeeper need not look through a mass of unrelated material to find the desired document. He will not be confused by a variety of different filing arrangements often encountered when the basic types are combined in one file.
 - b. Filing records because materials can be broken down into small, similar groups which can then be sorted into one particular filing sequence.
 - c. Disposing of records by keeping folders with different retention periods separated. Essential documents are segregated from those of only temporary value, and official records are not intermingled with non-record material. Separation of files into the basic groups permits the retirement or destruction of records in blocks since all papers within any one group have the same retention period.
- 22. BASIC FILING ARRANGEMENTS. Once the basic file groups have been identified and separated within a files collection, the best method of arranging each type of file must be determined. The arrangement should permit ease of filing and finding and make the use of special indexing systems unnecessary. Frequently, filing procedures for a series of records, e.g., personnel folder files, are provided in the prescribing directive. This handbook prescribes the arrangement of official general correspondence files and also suggests the name or number arrangement of many case file series. When other types of records are maintained, or when records are accumulated for which specific filing instructions are not prescribed, one of the arrangements described in this paragraph should be selected. Within the basic arrangement selected for the group, one or more additional arrangements can be used for further breakdown or subdivision of the records. For example, records geographically arranged may be further arranged by organization; records filed by subject can be further arranged chronologically. Following are six basic filing arrangements:

- a. Numerical Arrangement. This system is used to arrange records identified and referred to by number, such as contracts, grants, purchase orders, etc. Numbers will not be assigned to documents for the sole purpose of arrangement for filing because this practice requires the establishment of additional indexes to locate the documents.
 - b. Chronological Arrangement. This system is used to arrange files in date sequence when the date is the primary means of reference. It is the most useful method for keeping documents in small, manageable groups, usually by year, month, and day. Chronological arrangement is frequently used in conjunction with other arrangements. Transitory, reading, and suspense files are usually arranged chronologically.
 - c. Geographical Arrangement. Papers can be arranged by geographical location such as region, state, county, etc. It is used when the geographical location is the primary means of reference. Files are arranged in alphabetical sequence first by the name of the main geographical division, such as a state, then by the next most important subdivision required for reference such as counties, cities, or units of local government.
 - d. Organizational Arrangement. This arrangement will be used when the grouping of documents by the name of the pertinent organization is the primary means of reference. Organizational arrangement is fundamentally an alphabetical arrangement of organizations as they relate to each other.
 - e. Alphabetical Arrangement. This arrangement is used to file documents by name of persons, companies, agencies, etc., in alphabetical sequence. It is very important to follow standard rules to achieve uniformity. Appendix 1-1 includes rules for alphabetic filing. The number of alphabetical subdivisions used in a file depends upon the number of names in the file and whether the materials to be filed are papers, index cards, case files, etc. As a general rule, an alphabetical subdivision guide for each 10 to 20 name folders, or for each 25 to 50 name cards, should be provided. Appendix 1-2 shows breakdowns from 15 to 150 subdivisions; each is based on the national averages of the incidence of people's names.
 - f. Subject Arrangement. This arrangement will be used when the grouping of documents by subject is the primary means of reference. The subject arrangement of general correspondence files has been standardized and is known as the Subject Classification System (see chapter 2).
23. FILES MAINTENANCE AND DISPOSITION PLAN (LEAA FORM 1337/1). Each official file station will prepare a Files Maintenance and Disposition Plan, LEAA Form 1337/1, covering its records. This plan identifies all

records for which an office has responsibility. Figure 1-1 illustrates a typical files plan and may be used as a guideline. Figure 1-2 shows a collection of files arranged in the same sequence as a typical files plan.

- a. Preparation. LEAA Form 1337/1 will be prepared in duplicate, using both sides if necessary.
 - (1) Items 1 through 4 are self-explanatory.
 - (2) Column 5A. Start with number "1" and consecutively number each series of records on the "Plan."
 - (3) Column 5B. Enter a brief, precise description of each series of records, using the title of the applicable standard from the Records Disposition Standards (appendix 3-1), when appropriate. If necessary for series identification, list various documents in the series. Any subgroup of the records series may be assigned letters for ease of identification, coding, and filing. When records are maintained apart from the majority of files of an official file station, enter their location in the series description. The filing arrangement of each series should also be a part of the description.
 - (4) Column 5C. Enter the specific disposition standard number from appendix 3-1 of this handbook and the complete disposition instructions for each record series. Cutoff and destruction or retention criteria are included in each standard in appendix 3-1. If a standard covering disposition cannot be determined, enter "none" in Column 5C and advise the Records Officer.
- b. Distribution. The official file station will forward the original and the duplicate to the appropriate records liaison officer for review and approval.
- c. Review and Approval. The records liaison officer shall review the files plan for accuracy, adequacy, completeness, evidence of maintenance of unnecessary duplicate files, etc., and give final approval. After signature, the records liaison officer shall keep the duplicate and return the original to the official file station.
- d. Updating the Files Plan. The Files Maintenance and Disposition Plan will be reviewed annually and amended if necessary to insure that all files are accounted for and that cited disposition authorities are appropriate. A new "Plan" should be prepared when the old one is substantially changed or further corrections or additions cannot be made. Revised plans should be prepared and approved in the same manner as original files plans.

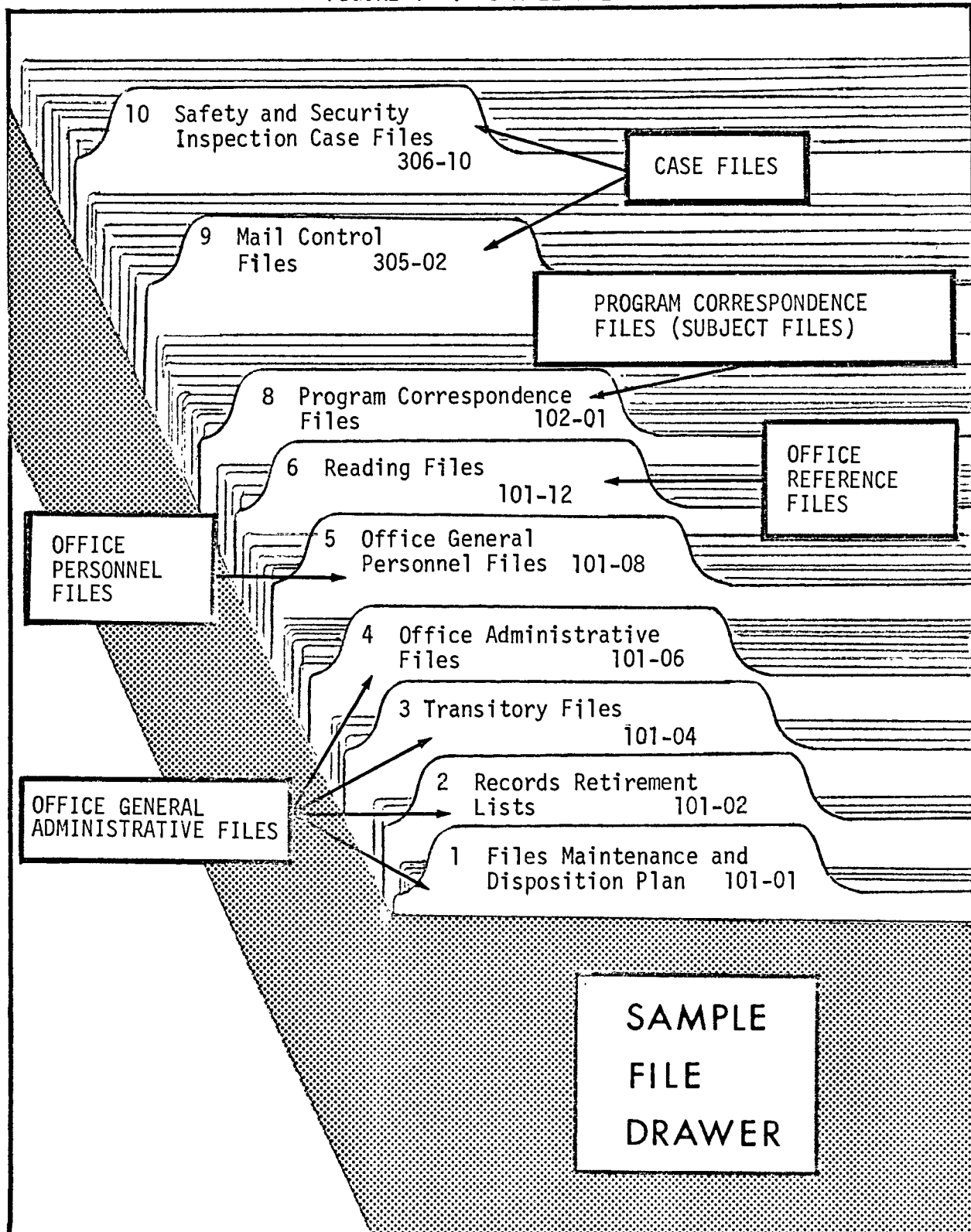
24-26. RESERVED.

FIGURE 1-1. SAMPLE FILES MAINTENANCE AND DISPOSITION PLAN (LEAA FORM 1337/1)

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION FILES MAINTENANCE AND DISPOSITION PLAN		DATE PREPARED
1. NAME OF ORGANIZATIONAL UNIT Office of Operations Support, Procurement & Materiel Division, Administrative Services Branch		2. PREPARED BY (Name of Files Custodian) Sharon White
3. TYPED NAME AND POSITION TITLE OF RECORDS LIAISON OFFICER Wright Record, Chief, Administrative Services Branch		4. SIGNATURE OF RECORDS LIAISON OFFICER <i>Wright Record</i>
FILES PLAN		
ITEM NO. A	TITLE OR DESCRIPTION OF RECORDS SERIES B	DISPOSITION (Insert number of applicable records disposition standard from HB 1330.2, and complete disposition instructions including cut off retirement, or destruction actions. If standard cannot be found, enter "NONE".)
1.	Files Maintenance and Disposition Plan	101-01. Destroy when revised, discontinued, or superseded.
2.	Records Retirement Lists	101-02. Destroy on discontinuance or after all records listed thereon have been destroyed.
3.	Transitory Files	101-04. Cutoff monthly, destroy after 90 days.
4.	Office Administrative Files (includes folder on office general management, office facilities, office supply, and office finance)	101-06. Cutoff at close of fiscal year. Destroy after one year.
5.	Office General Personnel Files	101-08. Cutoff at close of fiscal year. Destroy after one year.
6.	Reading Files	101-12. Cutoff monthly; destroy after six months.
7.	Reference Directives Set (Bookcase unit in Mr. Adams' office)	101-15. Destroy when superseded, obsolete, or no longer needed.
8.	Program Correspondence Files COM Communications COM 1 Mail Facilities and Services COM 1-1 Addresses - Mailing Lists COM 1-2 Messenger Services OAM Organization and Management OAM 1 Manpower Control & Utilization OAM 1-1 Manpower Requirements PAP Paperwork Management PAP 1 Directives Management PAP 2 Forms Management PAP 3 Records Disposition PAP 3-1 Disposal Schedules	102-01b. Subject files maintained in LEAA Central Office below the Division level. Cutoff at close of fiscal year. Hold two years and retire to FARC. Destroy six years after cutoff.
9.	Mail Control Files	305-02. Cutoff quarterly. Destroy after 1 year.
10.	Safety and Security Inspection Case Files	306-10. Cutoff at close of fiscal year. Destroy after 2 years.

LEAA FORM 1337/1 (4-73)

FIGURE 1-2. SAMPLE FILE DRAWER



SECTION 3. MAINTENANCE PROCEDURES

27. AVOID UNNECESSARY FILING. Filing unnecessary papers is a waste of manpower and equipment. Following are some ways of avoiding unnecessary filing:
- a. Limit the creation of formal communications for routine matters where a memo or routing slip may be substituted or a reply may be made on the incoming communication and then returned.
 - b. Limit the number of copies prepared to those which are specifically required or requested or which serve a valid purpose.
 - c. Eliminate the copies of routine communications which require no record, such as:
 - (1) Routine requests for publications. (Return the requesting letter with the material sent. An alternative is to reply by form letter. In neither case is a file copy needed.)
 - (2) Outgoing form letters. (A notation on the incoming letter showing the form letter identification number will suffice.)
 - (3) Routine transmittals.
 - (4) Copies of letters furnished solely for information, unless it is known they will be subsequently referred to.
 - d. Limit "extra copy" files to those offices having justification for their maintenance.
 - e. Limit the quantity of technical reference documents received, and file only those which will be of significant reference value.
28. ARRANGING FOLDERS, GUIDES, AND LABELS. The orderly appearance and efficiency of any file depends upon the careful preparation, use, and arrangement of folders and guides in the file drawer. Folders are necessary to keep the papers together and in order. Guides serve as "sign posts" to help speed up the filing and finding operations. The incorrect use of either folders or guides will retard these operations. Filing supplies are described in section 4 below.
- a. General Correspondence Files. Instructions for arrangement of guide cards, folders, and labels for general correspondence files are contained in chapter 2.
 - b. Case Files and Other File Series. Guide cards and folders are important for case files and other types of records, especially if the files collection is large. Guide cards reduce the area of the search and help the folders stand erect. A guide card for every

two or three folders is wasteful and defeats the purpose of the guides. Four to six guide cards in each drawer or one guide to every ten folders are two rules to follow. As a general rule, place a first position (left) guide card in front of each record series to identify and isolate it from other series in the same drawer. Square-cut folders are recommended for all files. Carefully and uniformly prepared folder labels are important to any file series. Labels should be easy to read, precise, and complete.

- (1) Label Preparation. The case file label will normally show the identifying file designation such as a name or number reflecting the arrangement pattern of the series. The year or inclusive dates, as appropriate, is included. The disposition standard number from appendix 3-1 of this handbook will also be shown. The label is placed on the folder in one position only, usually in the first (left) position. Samples of folder labels for case files are illustrated below.

FIGURE 1-3. SAMPLE FOLDER LABELS - CASE FILES

902-01a	75-DF-01-0001	
Policy Community Relations		FY 75
401-01	75-143	
WALKER, ROBT. J.		FY 75
801-02	5-0001-J-LEAA	
Apex Typewriter Company		FY 75
1202-01	GAR-S0-75-1	
State Criminal Justice Council		FY 75
203-04	HB 1332.1C	
LEAA Directives System		FY 75
601-01	Legal Opinion No. 75-6	
Salary Support Limitations		FY 75

- (2) Label Color Codes. Recordkeepers should consider the use of color-coded folder labels to facilitate filing and finding, prevent misfiles, and aid disposition. Color codes can be used to distinguish one series from another, one year from another, or case working papers from case history files.

29. PREPARING FILE COPIES. The following preliminary steps should be taken in preparing documents for filing:
 - a. Remove rubber bands, paper clips, pins, and other temporary fasteners.
 - b. Determine that the file is complete and all necessary enclosures or attachments are accounted for.
 - c. Remove all mail control forms, classified cover sheets, and routing slips except those which contain remarks of significant record value.
 - d. Inspect all documents to assure they have been authorized for filing. Incoming letters which did not require a reply should have the word "File," the date, and the initials of the person forwarding the communication for filing in the upper right margin. This notation is the file authority and shows that the proper official has seen the document and "certified" the need for filing it. Copies of outgoing letters should be initialed by the originator to indicate authority to file.
 - e. Ensure that parts of another file are not accidentally attached.
 - f. Mend, reinforce with transparent tape, all torn or frayed papers.
 - g. Destroy duplicate copies of documents to be placed in the same record series.
 - h. Place the file copy of an outgoing reply on top of the related incoming letter and any pertinent attachments and staple.
30. CLASSIFYING PAPERS FOR FILING. After the papers have been prepared and assembled for filing, the next step is to code or classify them. Classification segregates the papers into logical categories for ease of filing and finding.
 - a. Classification of Subject File Papers. Classifying subject correspondence material is more complex and distinctly different from classifying other types of papers. Chapter 2 of this handbook explains the classification of papers for subject files.
 - b. Classification of Case Papers. Case filing is the easiest and fastest type of filing if the case identification is prominently placed

on the face of all papers to be filed. The recordkeeper can expect difficulties and filing errors if papers have to be read with great care just to determine whether they belong in a case file series or another type of file. Time required for reading and marking file material can be greatly reduced if the case file name or number appears on the papers.

(1) Preparation of Case File Correspondence. Employees who prepare correspondence should place the case identification in the "In Reply Refer To," "File Reference," or similar caption printed on the letter, or in the subject line of the letter. Underline or circle the case identification if it appears in the body of the letter. If these practices are not always possible or acceptable, typists should type the case identification in the lower right corner of file copies.

(2) Filing of Case Papers. Use the identifying name or number for classifying and coding case-filed documents. In most instances, this identification is somewhere on the paper and need only be underlined or circled. If the case identification is not shown on the paper, determine the proper classification and write the appropriate file code in the upper right corner.

c. Classification of Temporary Papers. The item number (Column 5A) from the LEAA Form 1337/1 is usually adequate classification for papers to be filed in the "Transitory" file, the office administrative files, suspense files, etc. Some recordkeepers may prefer to use an abbreviated symbol such as "T" for transitory, "S" for suspense, etc., to classify these papers. Reading or chronological file copies are often of a distinctive color, which gives them a built-in or self-classifying feature.

31. CROSS REFERENCES. A cross reference is a means of referring to a document by a file identification other than that under which it is filed. If a document being classified involves more than one subject or case transaction and there is a possibility it might be asked for by either, a cross reference should be prepared as a finding aid.

a. Preparation.


(1) Select the file designation for the additional subject or case and write it directly below the file designation for the main subject or case. Mark an "X" by this file designation to show that a cross reference is required. For example:

OAM 2-1 Indicates the location of this copy in the file.

X PAP 4-2 Indicates that a subject cross reference is to be made for this subject.

- (2) Use the Cross Reference Form, Optional Form 21, for preparing cross references of records maintained in all types of files
 - (see figure 1-4). If extra copies of the paper are available or if "quick" copies can be conveniently made, they may be used instead of the cross reference form.
 - b. Avoid Unnecessary Cross References. Avoid making and filing unnecessary cross reference forms, as they take up valuable space and time.
 - c. Cross Referencing Relocated Material. A cross reference is also used to indicate that a record has been moved from one place in the file to another, such as bringing forward a piece of correspondence from a cutoff or closed file for attaching to a letter in the current file. While the cross reference form may be used for this purpose, a specialized form, Optional Form 22, Continuity Reference, is also available (see figure 1-5).
32. PLACING MATERIAL IN THE FILES. Match the file designation of each file unit with the folder label before placing it in the folder. This simple practice can greatly reduce misfiles. The material should be filed in the appropriate folder with the top of the sheet toward the left of the file drawer as the reader faces it. In this manner all filed documents can be read easily. In a loose file, staple together directly related papers concerning the same transaction. In a fastened file, arrange units of file material in chronological order with most recent date on top. Following are guidelines for fastening papers or filing loose:
- a. Fasten papers in:
 - (1) Large case files which receive extensive use and have a long life; or
 - (2) Any other vital file when the entire folder is charged out.
 - b. File papers loose in:
 - (1) Subject and other files when individual papers rather than entire folders are charged out;
 - (2) Small, routine case files; or
 - (3) Larger case files with low reference or short life.
33. FILING CLASSIFIED RECORDS. The same general filing guidelines used for unclassified records are used in filing classified materials. However, the following safeguards apply.
- a. File classified records separately in equipment affording necessary security.

FIGURE 1-4. CROSS REFERENCE

CROSS-REFERENCE (Name, number, or subject under which this form is filed)			PAP 4-2	<i>(Illustrates a subject cross-reference topic under which this form is filed)</i>	
IDENTIFICATION OF RECORD		DATE	12-1-XX	<i>(The date of the document also serves as the filing date of this form)</i>	
		TO	J. Smith, Director, El Paso, Tex.	<i>(Organizational titles or location may be needed to identify whom a letter is to or from)</i>	
		FROM	R. Henry, Records Management Officer		
		BRIEF SUMMARY OF CONTENTS	Comments on inspectn of recrds mgmt procedures in offices; explains advntgs of & recmds installing OF 21, Cross-Ref form, sample enc. <i>(Use understandable abbreviations in summarizing the contents of documents, or in indicating organizational titles or locations in the "To" or "From" captions)</i>		
FILED (Name, number, or subject under which the document itself is filed)		OAM 2-1			<i>(Illustrates a subject topic under which the record could be filed)</i>
<p align="center">INSTRUCTIONS FOR USING CROSS-REFERENCE SHEETS</p> <p>Prepare Cross-Reference sheets when (1) a document contains more than one name, number or subject under which it should be filed, and (2) sufficient copies of the record itself are NOT available for this purpose.</p> <p>SINGLE CROSS-REFERENCE—Select first sheet from pad, enter cross-reference caption in open space opposite →.</p> <p>TWO CROSS-REFERENCES—Select first two sheets from pad, enter first caption in open space opposite→, enter second caption in a shaded space that matches the open space on the second sheet.</p> <p>THREE CROSS-REFERENCES—Select first three sheets from pad, enter captions in all three spaces provided.</p> <p align="center">SPECIAL USE OF CROSS-REFERENCE SHEETS</p> <p>A single Cross-Reference sheet can be used as a Continuity Reference when correspondence is removed from a cutoff file and brought forward and attached to correspondence in a current file.</p> <ol style="list-style-type: none"> 1. Use the "Cross-Reference" space to enter the subject from which the document was removed. 2. Identify the document as illustrated above. 3. Use the "Filed" space to describe the letter to which this document is being brought forward, including the subject and date. Also show the "To" and "From" of the latest letter if it is different from the letter being brought forward. 					
Optional Form 21		CROSS-REFERENCE			

5021-101

FIGURE 1-5. CONTINUITY REFERENCE

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT (Under which this form is filed)	Organization and Management 2-1
DATE (Under which this form is filed)	12-1-XX <i>Last year</i> (Under which letter had been filed)
TO	J. Smith, Director, El Paso, Tex.
FROM	R. Henry, Records Management Officer
BRIEF SUMMARY OF CONTENTS	Comments on inspectn of records mgmt procedures in office; Disousses installing OF 21 Cross-Ref Form, sample enc.
BROUGHT FORWARD and filed with the documents described below	
SUBJECT	Organization and Management 2-1
DATE	1-6-XX <i>This year</i> (Under which both latest letter and brought forward letter are now filed)
TO	P. Jones, Chief, Audit and Inspection
FROM	R. Henry
<p align="center">INSTRUCTIONS FOR USING "CONTINUITY REFERENCE"</p> <p>Prepare a "Continuity Reference," to:</p> <ol style="list-style-type: none"> 1. Replace a piece of correspondence which is being moved from one location in a file and is being refiled in a different location under a later date. Examples: (1) Bringing together all correspondence relating to a single transaction—(2) Moving correspondence to the current year's file from a file cutoff as of December 31, last year. 2. Substitute for a record when the subject under which it was originally filed is changed. When the form is so used, it is unnecessary to correct or change any index references to the former subject title. <p>NOTE: Cross-Reference, Optional Form 21, may also be used for this purpose. See instructions on cover of Optional Form 21 when the Cross-Reference is used as a Continuity Reference.</p>	

Optional Form 22

CONTINUITY REFERENCE 5010-101

- b. Place a cross reference form in the unclassified file folder of the subject or case to indicate that the classified material is filed in security cabinets. The cross reference form will not reveal the content of the classified material. If an entire folder is kept in security cabinets, use a charge-out card.
34. FINDING PAPERS IN THE FILES. The following steps illustrate how to find papers:
- a. Obtain, if possible, sufficient information to identify the file; that is, the file designation such as name, file number or subject, and the date.
 - b. If given the name, title, or number of a case file, go directly to that case file.
 - c. If given the subject of the file, go directly to that subject. If uncertain of the exact subject consult the subject outlines for the proper subject designation.
 - d. If the material cannot be located in the files and is of recent date, check the unfiled material on the file custodian's or classifier's desk.
35. CHARGING MATERIAL FROM THE FILES. When records are removed from the file and forwarded to an individual or office, a record of such loan should be made. A file Charge-Out Record such as Optional Form 23 should be filled out and put in the folder or file drawer in place of the withdrawn material (see figure 1-6). Place the File Charge-Out Record at the exact location of the withdrawn material with the "OUT" portion clearly visible. The file custodian should review the File Charge-Out Record forms periodically and request the return of files that have been charged out for a long period of time. When the material is returned to the file, remove the charge-out card and draw a line through the entry indicating the charge. Proper and consistent use of this form will eliminate much wasted effort in searching for documents.
36. MAINTAINING THE FILES. Neatness and orderliness are essential to filing efficiency. The following instructions will assist in maintaining this efficiency.
- a. Identify File Drawers. Label file drawers to indicate what files, subjects, or names are filed in them. Indicate the year, if appropriate. The disposition standard number may also be placed on the drawer label.
 - b. Prevent Overcrowding the Files. Allow at least four inches of space in each active file drawer to permit sufficient working space.

- c. Keep Papers Straight. When placing material in file folders, do not let the papers extend beyond the edges of the folders. Crease or fold papers when necessary.
- d. Avoid Overloading File Folders. When the contents of the folder increase to the point that papers begin to obscure folder labels, crease the bottom of the folder leaves at the second expansion lines to increase the capacity of the folder. When the folder content reaches 3/4 inches, either:
 - (1) Add a new folder bearing the same file designation in front of the full folder and show inclusive dates on the folders; or
 - (2) Subdivide the contents of the folder, if practical, by adding new file designations.
- e. Avoid Cluttering the Files. Bulky material should be filed in equipment suitable to its size and not mixed with standard size documents. This material can be cross referenced so that it can be readily identified with the related papers in the regular files.

37-39. RESERVED.

SECTION 4. FILING EQUIPMENT AND SUPPLIES

40. STANDARDIZATION.

- a. Advantages. Standard equipment and supplies promote efficient and simplified file operations and have these advantages: interchangeability; lower cost through quantity purchasing; simplified stocking; and uniform appearance.
- b. Use and Replacement of Existing Equipment. Do not replace equipment and supplies on hand because they fail to meet established standards. Use existing stocks until depleted. When stocks require replacement, obtain the recommended standard items. Filing supplies and equipment should be the most economical possible to meet requirements. Federal Stock Numbers (FSN) are shown for most standard supplies and equipment. These items are available from the GSA Stock Catalog.

41. FILE FOLDERS.

- a. Kraft folders will meet the majority of filing requirements since most records are current for a relatively short time before they are retired or destroyed. The standard kraft folder will be 11 point, vertical, flat type, bottom scored for 3/4 inch expansion, reinforced top, and square cut.

- (1) Letter Size: FSN 7530-663-0031, 9-1/2" x 11-3/4".
 - (2) Legal Size: FSN 7530-200-4308, 9-1/2" x 14-3/4".
 - (3) Letter size with built-in 2½" prong fastener: FSN 7530-889-3555, 9-1/2" x 11-3/4".
 - (4) Legal size with built-in 2½" prong fastener: FSN 7530-559-4512, 9-1/2" x 14-3/4".
- b. Pressboard folders are authorized only for case and project files and when the kraft folders will not withstand the added volume and/or use. Prepare folders only as they are needed. The standard pressboard folders are flat-cut, vertical, one-inch expansion, with self-tabs, and square cut:
- (1) Letter Size: FSN 7530-926-8981, 9-1/2" x 11-3/4".
 - (2) Legal Size: FSN 7530-926-8982, 9-1/2" x 14-3/4".
- c. Special pressboard binder-folders are authorized for awarded grant case files. These folders have two kraft inner dividers with six built-in 2-prong fasteners so that papers may be divided into types or categories (FSN 7530-990-8884).
42. FOLDER LABELS. Use folder labels to place captions on the folder tab in a neat, uniform, and legible manner. Standard pressure-sensitive folder labels are packed in a continuous strip (roll or fan-folded) with 248 in a box. They may be fed directly into a typewriter or run on electric accounting or addressing equipment. Labels are 3½" x ½", available in plain white or with a 3/32" wide identification strip in various colors. FSN 7530-577-4368 through FSN 7530-577-4376, depending on color.
43. GUIDE CARDS. File guides make files more useable. In addition to indexing files such as correspondence files, guides serve to support the folders. The standard guide cards are pressboard, one-third cut, angular metal tab, without lower projections, all positions.
- a. Letter Size: FSN 7530-989-0692.
 - b. Legal Size: FSN 7530-989-0694.
44. FORMS. The following prescribed forms will be used:
- a. File Charge-Out Record, Optional Form 23.
 - b. Files Maintenance and Disposition Plan, LEAA Form 1337/1.
 - c. Cross Reference, Optional Form 21 (Continuity Reference, Optional Form 22, may also be used).

d. Annual Summary - Records Management Activity, LEAA Form 1337/3.

45. STANDARD FILING CABINETS. File equipment will be standardized to accommodate the type of documents most often filed at the file station. Use letter-size cabinets for records up to 8½" x 11". If less than 20% of the papers to be filed are legal size, fold the larger papers and file the entire collection in letter-size cabinets. When more than 20% consist of legal-size records, use legal filing cabinets. Filing cabinets are steel, upright, 5-drawer, 1 drawer wide, 57½" high, and 28" deep.
46. SHELF FILING EQUIPMENT AND SUPPLIES. Standard shelf filing cabinets are more appropriate than filing cabinets for filing certain material. Shelf filing is most adaptable to records that are alphabetically or numerically arranged such as case or project files. Consider shelf filing when records total 200 linear feet or more and the file station is in a relatively permanent location; when the purchase of new filing equipment is contemplated; and when only a limited amount of required additional filing space is available. Consult the LEAA Records Officer concerning feasibility of shelf filing equipment.
47. SORTING DEVICES. When the volume of papers is small, desk trays, a table, or desk top can be used for sorting. However, a simple sorting device is recommended for most sorting operations. It has a series of dividers, three or four inches wide, each hinged to a flat base. Tabs can be labeled and inserted as required. A 24-division sorter will generally meet the sorting requirements of a small file station.
48. REQUESTS FOR FILING SUPPLIES AND EQUIPMENT.
 - a. Standard Supplies and Equipment. Requests for standard filing supplies will be made through normal supply channels. Requests for standard filing equipment will also be submitted through normal supply channels except that review and approval by the Records Officer is also required.
 - b. Non-Standard Supplies and Equipment. Requests for specialized filing and records equipment will be accompanied by a complete justification for need and use, including savings or benefits that may result. Such requests must have prior approval of the Records Officer before procurement.
- 49-50. RESERVED.

APPENDIX 1-1. RULES FOR ALPHABETIZING

A. Select Method

There are two major considerations in establishing a system of alphabetical name filing. The first is to determine the indexing arrangement of the name. Decide whether the name is to be filed as written; which part of the name will be indexed as the first unit, and whether parts of name titles such as articles, should be disregarded. After deciding upon the filing method to be used, arrange material in alphabetical sequence in accordance with the established rules for alphabetizing which follow.

B. Rules for Alphabetizing

1. In filing by name of individuals, consider the last name as the first unit; the first name or initial as the second unit; the second name or initial as the third unit, and so forth. When only a last name is used, this precedes the same last name with a given name or initial; this in turn precedes an identical last name and first name with an initial. This follows a fundamental rule of filing which states that "nothing comes before something".

Baxter

Baxter, A.

Baxter, A. A.

Baxter, Ann

Baxter, Ann E.

2. Consider prefixes such as d', D', de, De, De La, di, du, Fitz, La, Le, M', Mac, Mc, O', Van, Von, Van der, Von der as part of the last name and file accordingly.

Dendy, Lillian D.

De Neale, Albert

Denecke, Marie

den Hartog, A. C.

Den Hofer, Fred D.

Den Holm, Edna G.

3. Hyphenated last names are indexed and filed as one unit.

Lloyd-George, David

4. When it is difficult to determine the last names of individuals, as in the case of Indian or foreign names, file as written. If there is much foreign correspondence in an office, establish definite rules for filing procedures.

Black Arrow

Chen Vung

Kim Sae Sun

5. All abbreviations, including those of names, are filed as though spelled in full when they constitute units of filing.

Written

Chas. Smith

Jas. W. Tepper, Ltd.

Theo. Williams

Filing Arrangement

Smith, Charles

Tepper, James W., Limited

Williams, Theodore

6. In filing use the given name of a married woman rather than her husband's name. "Mrs." is placed in parentheses after the name, but is not considered in filing.

Name

Mrs. John J. Jones (Alice P.)

Filing Arrangement

Jones, Alice P. (Mrs.)

7. Disregard titles such as Dr., Mrs., Miss, Prof., Col., Director, Capt., and abbreviations such as Jr., Sr., 1st, etc., in filing. They should be placed in parentheses after the name.
Cheeseman, J. A. (Dr.)

Foreign and religious titles such as Sister Margaret, Duke of Windsor, and the like are filed as written. The abbreviation for Saint, i. e. St. is filed as though spelled out.

8. File names of firms and institutions alphabetically as written when they do not include the full name of an individual.

Cox Foundry Company

9. File names or titles of institutions containing the full name of an individual in the following order:

- Last name
- Given names or initials
- Remainder of firm name

Name	Filing Arrangement
James A. Smith Poultry Company	Smith, James A., Poultry Company

10. File names of firms or titles of institutions containing numerals as though the numbers were spelled out.

Name	Filing Arrangement
The 13 Club	Thirteen Club (The)

11. Treat hyphenated firm names and titles as separate words.

Name	Filing Arrangement
Smith-Jones Company	Smith Jones Company

12. File names which may be spelled or written as one or two words as one word.

Name	Filing Arrangement		
	First Unit	Second Unit	Third Unit
Inter State Motor Company	Interstate	Motor	Company

13. Articles, prepositions and conjunctions such as "and, for, in, of, and the" do not affect the order of filing. When "the" is included as part of a title, place it in parentheses; if it is the initial word, place it at the end of the title.

Max (The) Hatter

Scott Shop (The)

14. The words "Brothers, Company, Incorporated, Limited, Son and Sons", including their abbreviations, are considered as filing units. If abbreviated, they are filed as though spelled out.

15. Consider compound geographic names as separate words in filing.

Name	Filing Arrangement			
	First Unit	Second Unit	Third Unit	Fourth Unit
North Carolina Publishing Co.	North	Carolina	Publishing	Company

16. Where the firm name is abbreviated and the name is known, file as if it were written in full.

Name	Filing Arrangement
G. E. Company	General Electric Company
PEPCO	Potomac Electric Power Company

17. Consider articles used in firm names or foreign titles as a separate filing unit.

Name	First Unit	Filing Arrangement		Third Unit
		Second Unit		
El Morocco	El	Morocco		
La Belle Shop	La	Belle		Shop

18. When phrases such as "association of, union of, organization of, society for, bureau of, department of" constitute the beginning of a name or title, file them as part of the name. This rule does not apply to government bureaus, offices or departments.

Association for Childhood Care
Association of Land-Grant Colleges
Society for Prevention of Cruelty to Animals

19. When "United States" and "Federal" are used as part of a title for government departments, they are disregarded in filing. When these words appear in the names of firms or institutions not connected with the Government, the words are included as part of the name in filing.
20. File names of departments and bureaus of the Federal Government in the following order:
- The principal words in the name of the department,
 - The principal words in the name of the bureau,
 - The principal words in the name of other units necessary for filing purposes.

Name	First Unit	Filing Arrangement	
		Second Unit	Third Unit
Civil Service Commission	Civil	Service	Commission
Forest Service—Department of Agriculture	Agriculture	Forest	Service

21. Frequently state, county and municipal governments are referred to as "State of", "Commonwealth of", "County of", "City of", etc. These designations are not considered in filing. Index the actual name of the state, county, etc., and add designations parenthetically where necessary:

Name	First Unit	Filing Arrangement	
		Second Unit	Third Unit
County of Lackawanna, Pennsylvania	Lackawanna	Pennsylvania	(County of)
Commonwealth of Pennsylvania	Pennsylvania		(Commonwealth of)

22. In alphabetizing the names of bureaus and departments of municipalities, write the name of the city first, the state second and the name of the department or bureau third. Where the volume of correspondence from a municipality or other government subdivision is small, file all material chronologically under the name of the subdivision without further breakdown.

Name	First Unit	Filing Arrangement	
		Second Unit	Third Unit
Scranton City Council	Scranton	Pennsylvania	City Council
Scranton Department of Health	Scranton	Pennsylvania	Health (Dept. of)
Police Department, Scranton, Pa.	Scranton	Pennsylvania	Police Department
Department of Public Safety, Scranton, Pennsylvania	Scranton	Pennsylvania	Public Safety (Dept. of)

23. When the name of a city is part of the name of a firm or other organization (not city government) file the name as written.
- Scranton Tribune
Wilkes-Barre Times Record
24. When the same name appears with different addresses, the arrangement of the names is alphabetical according to "town" or "city"—the name of the state is considered only where there is a duplication of town or city names.
- General Electric Company (Rochester)
General Electric Company (Syracuse)
General Electric Company (Bowling Green, Ky.)
General Electric Company (Bowling Green, Va.)

APPENDIX 1-2. DIVISIONS OF THE ALPHABET

15 Div.		25 Div.			60 Division						
A	M	A	J	Q	A	Co	Gi	Ki	Mu	Ro	U
B	N	B	K	R	Am	Cr	Gr	L	N	S	V
C	P	C	L	S	B	D	H	Le	O	Se	W
D	R	D	M	T	Be	De	He	Li	P	Sch	We
F	S	E	Mc	U	Bi	Do	Ho	M	Pe	Si	Wi
H	T	F	N	V	Br	E	Hu	Mar	Pi	St	XYZ
I	W	G	O	W	Bu	F	I	Mc	Q	Su	
K		H	P	XYZ	C	Fi	J	Me	R	T	
		I			Ch	G	K	Mo	Ri	To	

100 Division

A	Bo	Cor	Et	H	J	M	P	Se	Tr
Al	Br	Cr	F	Ham	John	Man	Pe	Sh	U
Am	Bro	Cu	Fi	Har	K	McA	Pi	Si	V
Ander	Bu	D	Fo	Hat	Ke	Me	Pr	Smith	W
Ar	C	De	Fr	He	Ki	Mi	Q-R	Sp	War
B	Car	Di	G	Hi	Kn	Mo	Ri	St	We
Bar	Ch	Do	Ge	Ho	K	Mu	Ro	Sto	Wh
Be	Cl	Dow	Go	Hon	Le	N	Ros	T	Wi
Ber	Co	E	Gr	Hu	Li	Ni	S	Tho	Wo
Bi	Con	El	Gro	I	Lo	O	Sch	Ti	XYZ

150 Division

A	Br	Cu	Fl	Har	Jones	Man	P	Se	V
Al	Bro	D	Fo	Harr	K	Mas	Pe	Sh	Ve
Am	Bu	Davis	Fr	Hat	Ke	McA	Pet	Si	W
Ander	Bur	De	Fri	He	Kel	McD	Pi	Smith	Wall
Ar	C	Del	G	Hen	Ki	McK	Pr	Sn	War
At	Car	Di	Gar	Her	Kn	Me	Pu	Sp	We
B	Cas	Do	Ge	Hi	Kr	Mi	Q-R	St	Wei
Baker	Ch	Dow	Gi	Ho	L	Miller	Re	Sto	Wh
Bar	Che	Du	Go	Hol	Lar	Mo	Ri	Su	Wi
Be	Cl	E	Gr	Hon	Le	Mor	Ro	T	Williams
Ber	Co	El	Gre	Hu	Lei	Mu	Ros	Te	Wilson
Bi	Con	Et	Gro	Hun	Li	N	Ru	Tho	Wo
Bl	Coo	F	H	I	Lo	Ni	S	Ti	Wr
Bo	Cor	Fe	Hal	J	Lu	O	Sch	Tr	XY
Bon	Cr	Fi	Ham	John	M	Or	Schm	U	Z

CHAPTER 2. SUBJECT FILE CLASSIFICATION SYSTEM

SECTION 1. SYSTEM CONCEPTS

51. DEFINITION AND PURPOSE. The subjective arrangement of general correspondence and other papers has been standardized throughout LEAA. This standardized arrangement is known as the LEAA Subject File Classification System. It provides a uniform system for organizing the small but important collection of files that do not lend themselves to arrangement by a name or number. The system is designed to arrange and group general correspondence and similar papers by the function to which their subject relates.
52. APPLICABILITY. The Subject File Classification System is prescribed for use by all official file stations that maintain general correspondence files. It is intended particularly for use in organizing program general correspondence as described in standard number 102-01 of appendix 3-1 in this handbook. This correspondence relates to the assigned mission, function, or responsibility of an LEAA office. However, if volume warrants, correspondence and other papers regarding the routine internal administration or housekeeping activities of an office may also be organized according to the Subject File Classification System.
53. DISTINCTION BETWEEN SUBJECT CORRESPONDENCE AND OTHER FILE GROUPS. Recordkeepers should be fully aware of the type of material placed in a subject correspondence file. THE SUBJECT CLASSIFICATION SYSTEM APPLIES ONLY TO GENERAL CORRESPONDENCE PAPERS. A letter regarding a specific contract or grant is not considered to be general correspondence; papers of this type are placed in a case file documenting the specific transaction. A letter regarding grant procedures in general or a letter concerning the processing of contracts in general is considered to be subject correspondence material and is filed in the general correspondence file. The ability to distinguish between subject correspondence and case files or other records is vital to any good files operation.
54. TYPE OF SYSTEM. The Subject Filing System is a subject-numeric type. The system consists of selected main (primary) subject titles with related subjects grouped in outline form as subdivisions of the primary subject titles. These subdivisions are known as secondary (second-level) subjects and tertiary (third-level) subjects. Figure 2-1 illustrates the system.
55. MASTER OUTLINE. The primary subjects and their related subdivisions are contained in appendix 2-1 of this handbook. This complete list of subjects is referred to as the master outline.

FIGURE 2-1. ILLUSTRATION OF SUBJECT FILE CLASSIFICATION SYSTEM

PER - PERSONNEL		Primary Subject
1	Attendance and Leave	Secondary Subjects
2	Awards and Commendations	
3	Employee Relations and Services	
4	Position Classification	
4-1	Appeals	Tertiary Subjects
4-2	Job Descriptions	
4-3	Surveys and Evaluations	

56. SUBJECT FILE CODES. The coding scheme used in the Subject File Classification System is called a subject-numeric code. The primary titles are given a short abbreviation which suggests the subject. Subdivisions of a primary subject are assigned simple numbers. Dashes are used to separate the numbers. An example of file codes under this system follows:

Primary Subject:	PER	(Personnel)
Secondary Subject:	PER 1	(Attendance and Leave)
Tertiary Subject:	PER 1-1	(Holidays)

Subjects are assigned file codes to facilitate classifying, marking, sorting, and filing papers. The subject-numeric coding scheme has the advantages of being easy to memorize and having short code symbols.

57. RESERVED.

SECTION 2. ESTABLISHING THE SUBJECT FILE

58. GENERAL. In setting up a subject file, always keep in mind that the topics in each outline refer to subjects and that all classifying and filing is by subject. For example, the subject topic "Applications for Employment" used in a personnel office means that correspondence and other documents relating to the SUBJECT of employment applications are filed there rather than the individual applications themselves. The actual applications are filed in a case file series which is maintained separately.

59. MASTER OUTLINE USED AS BASIS FOR ESTABLISHING THE SUBJECT FILE.

- a. The master outline in appendix 2-1 is intended only as a reference guide in establishing a subject file to meet the specific requirements of the user. Subjects not specifically provided in the master outline MAY BE ADDED.
- b. The primary subjects in the master outline represent functions of LEAA. Generally, the primary subject outline will be used almost entirely by the office responsible for the function represented by the primary topic. However, no primary subject has been prepared for the exclusive use of any one office. Any of the subject topics in the master outline may be used as required by any office.
- c. Secondary subjects and other topics may be elevated and used as primary subjects when they represent the primary function or mission of the office.

60. SELECTION OF TOPICS. Use only that part of the master outline that meets the needs of the official file station. The system is designed to cover a subject in depth when necessary. However, many offices will not need much depth except in the subject area which covers the functional responsibility of their office. Often the primary subject topics alone will be sufficient to file all papers on a particular subject if another office is responsible for the function represented by that subject. Avoid setting up folders that will contain only one or two papers. A topic is not usually selected unless there will be five to ten papers filed under it during the year. The ideal average is about 25 papers per folder.

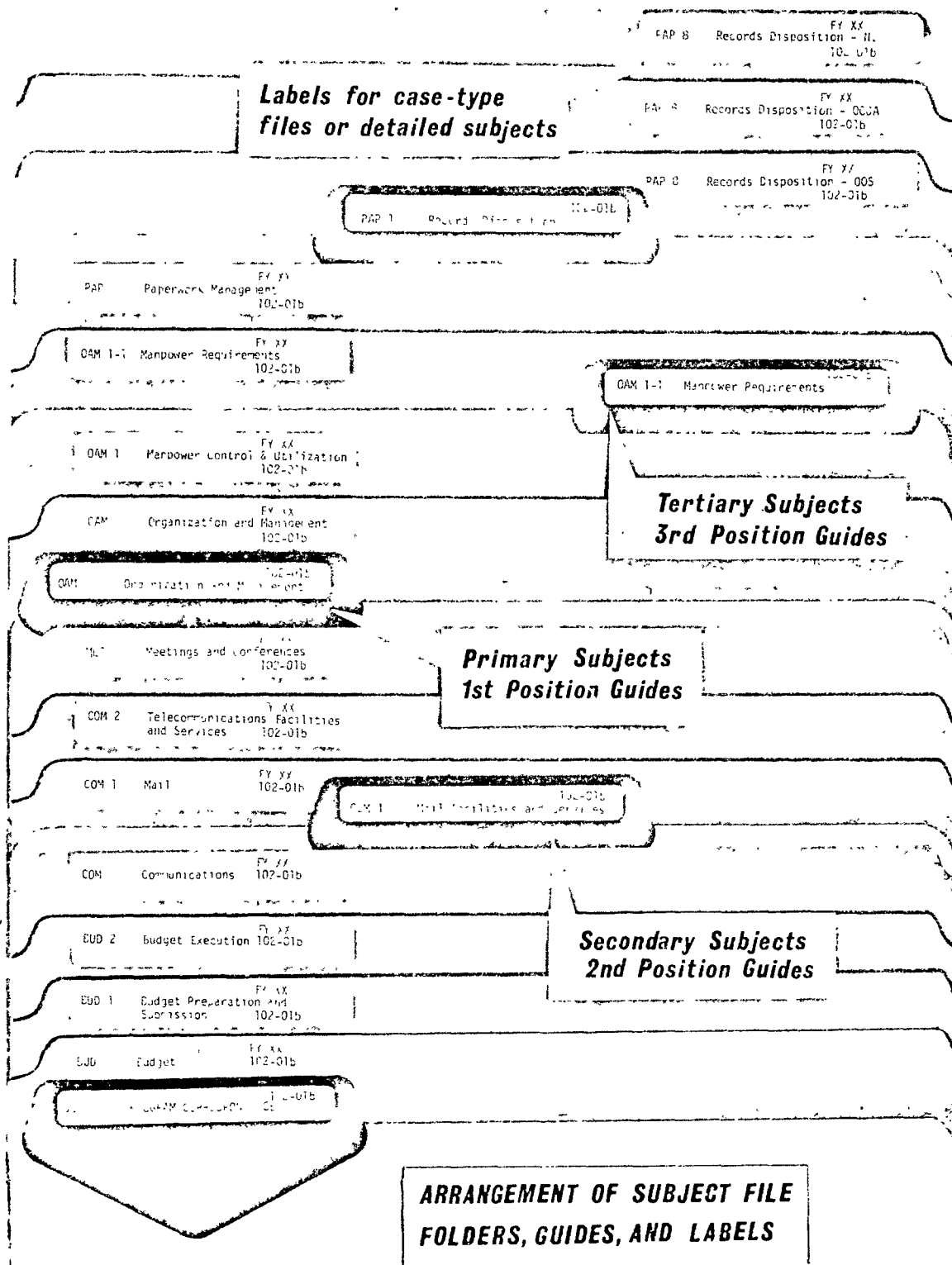
61. ADDITION OF TOPICS. Add new subjects (topics) only when experience indicates reference rate and volume of documents warrant a separate subdivision. The need to add topics usually occurs whenever a subject area coincides with a major function or program responsibility of the office. Make the new subject title as short and clear as possible. Be certain to insert a new topic at the proper level so that it represents subject coverage parallel to other topics at that level.

62. NUMBERING TOPICS. When numbering secondary, tertiary, or further subdivisions, assign your own numbers in sequence under each primary outline. Figure 2-1 illustrates the numbering pattern.

63. PREPARATION OF FILES OUTLINE. After selecting appropriate primary subjects and subordinate topics, prepare an office subject file outline as part of the Files Maintenance and Disposition Plan, LEAA Form 1337/1. Procedures for preparing this form are found in paragraph 23. Also, see figure 1-1 for example.

64-65. RESERVED.

FIGURE 2-2. ARRANGEMENT OF SUBJECT FILE FOLDERS, GUIDES, AND LABELS



SECTION 3. ARRANGING THE SUBJECT FILES

66. FOLDERS AND GUIDES. Folders and guides should be arranged as illustrated in figure 2-2. Place folders and guides in the file drawer in the exact sequence in which subjects appear in the office file outline, starting from the front of the drawer, with the guides preceding the related folders. The sequence of the drawers should be from top to bottom of the cabinets. Use the first position of one-third cut guide cards for primary subjects, second position for secondary subjects, and third position for tertiary subjects. Normally active files should have one guide for each 8 to 12 folders. Guide labels should show the full file code number and title of the topic for the first folder behind the guide.
67. FOLDERS AND LABELS. Labels through the tertiary level should be typed and placed in one position only, one-half inch from the left side of the square-cut folder tab. Labels for detailed subjects or breakdowns beyond the tertiary level can be placed one-half inch from the right side of the folder tab. This arrangement improves the appearance and speeds filing operations. The eye can locate desired folders much faster if the labels are in a straight row rather than zigzagged across the file drawer. Folder labels for the subject files will include the file code symbol, the title of the particular subject material in the folder, the applicable records disposition standard number, and the fiscal year. Figure 2-3 illustrates examples.

FIGURE 2-3. EXAMPLES OF FOLDER LABELS

PER	Personnel	FY XX 102-01a	Primary
PER 1	Employee Relations & Services	FY XX 102-01a	Secondary
PER 1-2	Employee Organizations	FY XX 102-01a	Tertiary
PER 1-2	Dept. of Justice Recreation Association	FY XX 102-01a	Detailed Subject or Case-Type Files

68. RESERVED.

SECTION 4. CLASSIFYING SUBJECT FILE PAPERS

69. BASIC STEPS IN CLASSIFYING. Classifying subject correspondence material is more complex and distinctly different from classifying other types of papers. Papers must be read and analyzed, then classified on the basis of their informational content. How quickly a particular document can be located after it has been filed depends largely on how carefully it has been classified before filing. The basic steps in classifying subject material are as follows:

- a. Read and analyze the document to determine its major subject. The subject line appearing above the body of the correspondence is often helpful in classifying but should not be relied upon too heavily. It may be vague, misleading, or even remote from the real subject of the correspondence concerned.
- b. Select the proper file designation from the office subject file outline. First, select the appropriate primary subject category and then the correct subdivision of the primary subject, if any. If no subdivision has been provided, use the primary subject itself as the file designation. When sufficient volume of paper accumulates on a subdivision which was not originally selected as a subject topic, add the new topic to the file outline and create a folder to accommodate these papers.
- c. Write the subject-numeric file code in the upper right hand corner of the file copy.
- d. Lightly underscore the reference when papers refer to previous papers already on file. This will emphasize that there are previous papers involved. Earlier material should be consolidated with later correspondence on the same subject.

70. TECHNIQUES IN CLASSIFYING.

- a. The knack of noticing essential key phrases and ideas in correspondence helps one to select the correct file designation. The subject matter is sometimes difficult to determine. In such instances, it is helpful to consider the correspondence in this light: "Why was it written?" Usually the purpose for writing suggests the subject under which it should be filed.
- b. It is helpful at times to refer to previous correspondence already on file to verify a tentatively selected file designation.
- c. Be consistent. This is the first rule of classifying. Consistency will assure that papers currently being classified will be filed with the previous papers with which they belong.

- d. In unusual cases the subject of correspondence is so extremely vague that it is impossible to determine the proper file designation from the letter itself. In such cases, the classifier should contact someone more familiar with the material for more information.

71-72. RESERVED.

APPENDIX 2-1. MASTER SUBJECT OUTLINE

<u>PRIMARY SUBJECT</u>	<u>CODE</u>
Audit and Investigation	ADT
Automated Data Systems	ADS
Budget	BUD
Civil Rights Compliance	CRC
Committees and Boards	CBD
Communications	COM
Criminal Justice Program Development	CJP
Financial Management	FIN
Information and Public Relations	INF
Legal and Legislative	LEG
Meetings and Conferences	MET
Organization and Management	OAM
Paperwork Management	PAP
Personnel	PER
Printing and Reproduction	PRP
Procurement and Contracting	PRC
Property Management	PRM
Research and Development	RAD
State and Local Grants Management	SGM
State Files	(State Abbreviation)
Technical Assistance	TAS
Training and Education	TED
Travel and Transportation	TRV

AUDIT AND INVESTIGATION (ADT)

Use this outline for general correspondence and similar papers regarding plans, policies, and procedures for conducting audits and investigations and for auditor training. Includes fiscal, administrative, and program audit services and investigations of alleged irregularities for the LEAA and all parties performing under contracts, grants, or other agreements with LEAA.

Do NOT use this outline for audits or investigations of a specific grant, contract, or LEAA element. Material of this nature should be filed in the appropriate audit case file.

General Policy

Reports and Statistics

Laws - Regulations

Audit Standards and Procedures

Use for material on procedures for conducting, documenting, reporting, and reviewing audits.

Plans and Preparation

Detailed Examination and Development
of findings

Documentation

Audit Reports

Format, clearance and
approval, etc.

Internal Audits of the LEAA

Administrative and Program Operations

Fiscal Administration

Exceptions

Audits of Contractors

AUDIT AND INVESTIGATION (ADT) (continued)

Audits of Grantees/Subgrantees

Administrative and Program
Operations

Includes audit of compliance with applicable Federal, State, and local government laws and regulations; management and organization; custody, utilization, and control of property, equipment, and supplies; and program performance.

Fiscal Administration

Includes audit of account structure; records of accountability; matching requirements; indirect costs, overhead, administrative expenses; interest on Federal funds; and cost allowability procedures.

Audit Resolution

Suspensions and Disallowances

Refunds

Exceptions

Audits by State/SPA Agency

Use for materials on the capabilities and responsibilities of state audit agencies and SPA audit staffs in the conduct of annual audits. Includes reimbursement of states for audit services.

Audit Training Programs

Use for materials on the development and implementation of audit training programs.

State/SPA Auditor Training Conferences

Partnership in Auditing Program

AUDIT AND INVESTIGATION (ADT) (continued)

Investigations

Use for materials concerning standards and procedures for requesting and conducting investigations of alleged irregularities.

Conflict of Interest

Fraud and Embezzlement

Coordination of Audits and Investigations

Use for papers regarding liaison/coordination with GAO, the FBI, DHEW, other federal agencies, State and local government agencies, CPA's, etc., on audit and investigation matters. Subdivide as required.

AUTOMATED DATA SYSTEMS (ADS)

Use this outline for general correspondence and similar material pertaining to automatic and electronic data processing. Includes systems research development and design, ADP equipment selection and utilization, etc.

General Policy

Reports and Statistics

Laws - Regulations

ADP Applications

 Other Federal Agencies

 State and Local Governments

Automated Information and Statistics
Systems

Subdivide by name of system:
Grants Management Information
System, SEARCH, etc.

 Feasibility/Requirements Studies

 Systems Design and Development

 System Maintenance and Operation

Data Processing (General)

 Data Processing Standards

 Data Storage and Retrieval

 Data Transmission

 Directories - Guides - Censuses

 Source Data Automation

Data Processing Facilities

 Accessories - Auxiliary Equipment

 Machine Utilization

 Maintenance and Repair

AUTOMATED DATA SYSTEMS (ADS) (continued)

Equipment Selection and Capabilities

Requirements - Specifications - Standards

Equipment Studies

Includes feasibility, purchase vs. lease, etc.

Trials - Tests - Evaluations

Liaison and Information Exchange

Department of Justice

Other Federal Agencies

BUDGET (BUD)

Use this subject outline for general material pertaining to the preparation and submission of LEAA budget data including budget estimates and justifications, budgetary practices and procedures, and financial plans.

SEE: FINANCIAL MANAGEMENT outline for all aspects of accounting and management of appropriated and other funds.

General Policy

Reports and Statistics

Laws - Regulations

Budget Preparation and Submission

 Preliminary Forecasts/Estimates

 Budget Estimates

 Submission and Justification

Use for materials concerning budget estimates sent to the Department of Justice, the Office of Management and Budget, and the Congress. Subdivide by review body if volume warrants.

Budget Execution

 Apportionments and Allocation

Requests for quarterly apportionments of appropriated funds and approvals.

 Allotments and Authorizations

Advices, revisions, adjustments, etc.

 Ceilings - Limitations

Employment cost and distribution, travel, etc.

 Transfer of Funds

Appropriation transfers, adjustments, warrants, etc.

 Financial Plans

Use for overall plans for expenditure of appropriated and other funds. Includes requests, consolidations, approvals, review, etc.

BUDGET (BUD) (continued)

Fund Availability

Appropriated funds, earned
reimbursements, refunds,
allocations received, trans-
fer appropriations, etc.

CIVIL RIGHTS COMPLIANCE (CRC)

Use this subject outline for general correspondence and similar material regarding the review of grantee/contractor civil rights compliance. Includes policy, procedures, laws, regulations, reports, studies, investigations, and statistics.

Do NOT use this outline for compliance reviews and reports or complaints regarding a specific grantee or contractor or a particular project. Material of this nature should be placed in the appropriate case file.

SEE: PERSONNEL for internal LEAA equal employment opportunity matters.

General Policy

Reports and Statistics

Laws - Regulations

Compliance Reporting Requirements

Subdivide as below if volume warrants.

Police-Type Agencies

Judicial Institutions

Correctional Institutions

Construction Contractors

Discrimination Allegations

Use for general material on allegations of civil rights violations, complaints, investigations, negotiation, and litigation.

Equal Employment Practices and Statistics

Includes policies, procedures, and standards for compiling data on and assuring grantee/contractor compliance with equal employment opportunity requirements.

CIVIL RIGHTS COMPLIANCE (CRC) (continued)

Program Coordination and Liaison

Use for material on cooperation, liaison, and relationships with civil rights oriented groups regarding implementation of equal employment opportunity policies. Subdivide as below if volume warrants.

Chambers of Commerce and Trade
Associations

Civil Rights Commission

Community Relations Committees

Congressional Black Caucus

Equal Employment Opportunity
Commission

COMMITTEES AND BOARDS (CBD)

Use this subject category for material pertaining to committees, boards, commissions, councils, associations, and similar organized bodies when the subject matter is too broad or general to be classified under more specific subjects. Includes material pertaining to minutes and reports. Establish individual files by name of committee if volume warrants and arrange alphabetically.

COMMUNICATIONS (COM)

Use this outline for general correspondence and related papers on government-wide and agency communications policy, systems and procedures, services and operations including mail and telecommunications

General Policy

Reports and Statistics

Laws - Regulations

Mail Facilities and Services

 Addresses - Mailing Lists

 Postage and Fees

 Messenger Service

Telegraph - Teletype Services

Telephone Facilities and Services

 Directories and Lists

 Installation

 Toll Calls - Long Distance

 FTS System

CRIMINAL JUSTICE PROGRAM DEVELOPMENT (CJP)

Use this subject outline for general correspondence regarding the formulation, development, and coordination of criminal justice and law enforcement programs too broad in content to be placed under one of the other primary subject categories.

Most of the records created or received that relate to LEAA programs will be filed in the appropriate grant, contract, or research case file. A smaller volume of papers is accumulated, however, which cannot be filed in a specific case file but which is directly related to programs, needs, and problems of the criminal justice system. This subject category is intended for these papers.

Do NOT use this outline for papers which can be filed under a more specific functional subject category in the classification system.

General Policy

Reports and Statistics

Use for reports and statistical data which are too general to be filed under a more specific subject in this outline.

Laws - Regulations

Correction and Rehabilitation

Community Treatment

Correctional Center Development

Includes detention centers, institutions, jails, etc.

Corrections Staff Recruitment

Halfway Houses

Multi-State Facilities for Special Offenders

Offender Training and Development

Parole

Probation

Regional Correction Centers

CRIMINAL JUSTICE PROGRAM DEVELOPMENT (CJP) (continued)

Correction and Rehabilitation (continued)

Treatment and Diagnostic Techniques

Advisory Committees

Arrange by name of committee
if volume warrants

Courts

Appeals

Bail

Defense Counsel

Facilities

Judges

Juries

Probation

Prosecutors

Reform

Includes administrative and
legislative reform.

Sentencing

Trial Conduct

Narcotics and Drug Abuse

Detection

Drug Traffic Control

Includes international,
metropolitan, and state
control efforts.

Prevention

Includes education programs,
pre-drug user campaigns, etc.

Rehabilitation

Includes community treatment
centers, maintenance, etc.

CRIMINAL JUSTICE PROGRAM DEVELOPMENT (CJP) (continued)

Police

Bomb Detection and Disposal

Communication and Information Systems

Community Relations

Consolidation of Police Services

Equipment

Intelligence Units

Investigation

Patrol

Personnel Practices

Includes misconduct, recruiting standards, staffing, unions, etc.

Private (Citizen) Police

Reform and Reorganization

Science/Laboratory Services

Statistics

Includes arrest data.

Crime

Causes

Juvenile Delinquency

Measurement

Organized

Includes Corruption Control Units, Intelligence Units, Investigative Units, Prosecutorial Units, State Prevention Councils, Committees and Councils.

Prevention

Riots and Civil Disorders

Includes causes, prevention, emergency communications, etc.

FINANCIAL MANAGEMENT (FIN)

Use this subject outline for general correspondence relating to disbursement and collection activities and the maintenance, control, and accountability of LEAA funds.

SEE: AUDIT AND INVESTIGATION for material concerning financial audits.

SEE: BUDGET for material concerning budgetary matters.

General Policy

Reports and Statistics

Laws - Regulations

Authorizations/Designations

Of personnel to perform paying, collecting, timekeeping, etc., functions.

Bonding of Employees

Accounting Codes/Symbols

Accounting Systems

Subdivide by type of system as required: cost, fund, expense, etc., if volume warrants.

Collections - Receipts

Except LEEP; see below.

Accounts Receivable

Adjustments

Checks - Money Orders - Currency

Except payroll and travel; see below.

Disbursements

Except payroll and travel; see below.

Accounts Payable

Adjustments

Imprest Fund

Letters of Credit

Voucher Examination and Certification

HB 1330
Appendix 2-1

FINANCIAL MANAGEMENT (FIN) (continued)

LEEP Accounting

Institutional Accounts

Participant Accounts

Billing and Collections

General Ledger

Includes journal vouchers,
balance sheets, subsidiary
ledgers, etc.

Grantee Accounting

Includes material regarding
grantee financial reports.

Obligation (Fund) Control and Flow

Payroll-Salaries

Travel Accounting

Advances

Per Diem

Transportation

INFORMATION AND PUBLIC RELATIONS (INF)

Use this subject outline for material regarding relations with the Congress and the public and general informational activities of the LEAA. Includes general correspondence on external relations, congressional liaison, public opinion, and dissemination of information through mass communications medias.

General Policy

Reports and Statistics

Laws - Regulations

Audio-Visual Materials

Maps, Charts, Posters

Motion Pictures, Slides, and
Recordings

Photographs

Exhibits, Fairs, Community Projects

Histories - Anniversaries (LEAA)

Inquiries (Nontechnical)

Invitations - Engagements

Except speeches; see below.

Congressional Activities and Liaison

Congressional Committees

Hearings and Investigations

Reports to Congress

Press Relations

Public Opinion

Congratulations, Commendations,
Appreciation

Criticism

HB 1330
Appendix 2-1

INFORMATION AND PUBLIC RELATIONS (INF) (continued)

Publicity and Promotion

Articles (newspaper, magazine)

Annual Reports

Biographical Data

LEAA Newsletter

Press, Radio, TV Releases and
Conferences

Special Events and Ceremonies

Speeches, Lectures, Statements

Visitors - Representatives - Guests

LEGAL AND LEGISLATIVE (LEG)

Use this subject outline for general correspondence regarding the administration of law and legal matters. Includes general papers on the rendering of legal opinions and interpretations, handling of claims and litigation, legislation, etc.

Do NOT use this outline for formal opinions, interpretations of specific legislation or for actual claims and legal proceedings. Material of this nature should be filed in the appropriate case or project file.

SEE: INFORMATION AND PUBLIC RELATIONS for congressional relations and liaison.

General Policy

Reports and Statistics

Laws - Regulations

Use for general material regarding Federal, State, and local laws and regulations including the Code of Federal Regulations, Federal Register and Executive Orders/Proclamations, etc.

Claims, Litigations, and Appeals

Legal Library

Legislation

Opinions, Decisions, Interpretations
(General)

Attorney General

LEAA General Counsel

Patents, Copyrights, and Trademarks

MEETINGS AND CONFERENCES (MET)

Use this subject outline for general material regarding meetings, conferences, seminars, symposiums, conventions, etc., ONLY when the subject matter is too broad or general to be filed by specific subject.

SEE: COMMITTEES AND BOARDS for board or committee meetings.

Reports and Statistics

Attendance

Engagements - Invitations

LEAA Meetings

Subdivide by type or name if
volume warrants.

Non-LEAA Meetings

Arrange alphabetically by
name if volume warrants.

ORGANIZATION AND MANAGEMENT (OAM)

Use this subject outline for general correspondence on the establishment, organization, reorganization, and termination of LEAA organizational units, operational planning, management analysis and surveys, manpower requirements and utilization, emergency planning, and similar matters.

General Policy

Reports and Statistics

Administrative Audits and Inspections

Committee Management

General papers regarding committees and committee assignments.

Delegations of Authority

Emergency Planning

Use for material relating to continuation of operations in the event of an emergency.

Management Analysis Surveys and Staff Studies

Management Improvement and Cost Reduction

Management Meetings

General papers regarding staff or other management meetings.

Manpower Control and Utilization

Manpower Requirements

Performance Analysis Work Measurement

Work Distribution

Work Simplification

Organization / Reorganization

Includes reorganization plans, statement of functions, history and background of the agency or office, determination and jurisdiction of regions, etc.

ORGANIZATION AND MANAGEMENT (OAM) (continued)

Program Evaluation

Use for general papers regarding the review and evaluation of agency operations and programs.

Program Planning

Use for general material on the overall supervision, planning, direction, and coordination of LEAA program goals.

Visits

Includes general material regarding trips by agency officials for briefing or administrative purposes.

PAPERWORK MANAGEMENT (PAP)

Use this subject outline for general material relating to paperwork and records management functions including records maintenance and disposition, correspondence, forms, directives, reports, and document security.

General Policy

Reports and Statistics

Correspondence Management

Directives Management

Use for material regarding preparation, review, clearance, control of issuance system.

Document and Information Security

Forms Management

Includes clearance and control, design and development, forms analysis, storage and distribution.

Records Maintenance

Includes filing systems. See OAM (Emergency Planning) for material regarding vital records.

Records Disposition

Disposition Standards

Records Retirement (FARC)

Reports Management

General matters regarding reports preparation, submission, control and costs.

PERSONNEL (PER)

Use this subject outline for general correspondence concerning all phases of personnel administration including employment, employee relations, training and career development, security, etc.

Do NOT use for official personnel folders and other materials relating to the status or service records of individual employees. Such material should be filed in the appropriate case file.

General Policy

Reports and Statistics

Laws - Regulations

Attendance and Leave

Includes annual, sick, military, and court leave; leave without pay; holidays, absence for jury duty. Subdivide by type of leave if volume warrants.

Awards and Commendations

Awards - Cash and Honor

Awards Committee

Commendations/Recognition

Non-Federal Awards

Suggestion Program

Employee Relations and Services

Appeals and Grievances

Use for general material on appeals system, policies and procedures for handling appeals, complaints, and grievances.

Campaign and Fund Drives

PERSONNEL (PER) (continued)

Employee Relations and Services (continued)

Conduct of Employees

Use for material regarding regulations and procedures governing conflicts of interest, political activity, acceptance of gratuities, etc. Subdivide as necessary.

Credit Union

Disciplinary and Adverse Actions

Employee Organizations

Includes employee associations, social, welfare, and recreational activities.

Employment

Equal Employment Opportunity

Former Employees

Job Retention and Restoration

Status, Types of

Special Categories

Students, handicapped, veterans, experts and consultants, etc.

Health and Medical Care

Injuries and Claims

Medical and First Aid Services

Physical Examinations

Hours of Duty

Insurance and Annuities

Group Life

Health Benefits

Unemployment

HB 1330
Appendix 2-1

PERSONNEL (PER) (continued)

Labor Relations

Pay Administration

Allowances/Differentials

Deductions

Name and Record Changes

Pay Increases

Wage and Salary Determination

Performance Evaluation

Documentation and Processing

Performance Rating Committees,
Boards, Panels

Ratings and Appraisals

Includes appeals and hearings.

Personnel Program Management

Inspections and Surveys

Personnel Security and Suitability

Position Classification

Appeals

Job Descriptions

Position Series and Standards

Surveys and Evaluations

Promotion and Internal Placement

Assignments - Details

Promotion - Demotion

PERSONNEL (PER) (continued)

Recruitment, Selection, and Appointment

Advertising and Publicity

Applications for Employment

Appointment

Subdivide by type of appointment (e.g., competitive service, excepted service, etc.) if volume warrants.

Certification of Eligibles

Examination and Testing

Qualifications

General and medical.

Recruitment

Safety Program

Accident Prevention

Inspections and Surveys

Separation and Displacements

Death

Reduction-In-Force

Resignation

Retirement

Separation for Cause

Transfer Out

Training and Career Development

Career Planning and Counseling

Orientation

Technical Manuals and Materials

Training Courses and Seminars

HB 1330
Appendix 2-1

PERSONNEL (PER) (continued)

Training and Career Development (continued)

Training Facilities and Equipment

Training Agreements

PRINTING AND REPRODUCTION (PRP)

Use this subject outline for material regarding printing, binding, duplicating, copying, and related services including papers regarding requisitions, methods, reports, and procedures.

Do NOT include papers which should be case filed according to contract, printing job, etc.

General Policy

Reports and Statistics

Use for reports and data too broad in content to be filed under a specific subject in this outline.

Contracts

For general papers not regarding a specific contract.

Duplicating - Copying Services

Graphic Services

Includes artwork, design, drafting, etc.

Methods and Processes

Photography

Printing and Binding

Requisitions and Authorizations

PROCUREMENT AND CONTRACTING (PRC)

Use this outline for general correspondence regarding procurement of LEAA supplies, equipment and services; contracting for research and technical services; and interagency agreements.

Do NOT use this outline for papers regarding a specific contract or procurement transaction. Material of this nature should be filed in the appropriate case file.

General Policy

Reports and Statistics

Laws - Regulations

Authorizations - Appointments

Includes contracting officer.

Procurement Methods

Formal Advertising

Negotiation

Small Purchases

Suppliers and Contractors

Bidders Mailing Lists

Ineligible Bidders

Small Business and Minority Business

Catalogs, Price Lists, and Schedules

Purchase Orders and Requisitions

Contracts and Agreements

Subdivide by type such as fixed price, cost-reimbursement, rental, lease, interagency, etc. This category is intended for general correspondence regarding contracts and agreements.

Clauses, Formats, Forms

PROCUREMENT AND CONTRACTING (PRC) (continued)

Solicitations, Bids, and Awards

Issuance of Invitation for Bids/
Request for Proposals

Evaluation of Bids/Proposals

Negotiation

Award

Contract Administration

Monitoring

Changes or Modifications

Cost/Billing Rates

Close-Out/Termination

PROPERTY MANAGEMENT (PRM)

Use this outline for general correspondence relating to the acquisition, management, accountability, and disposition of personal and real property.

SEE: PROCUREMENT AND CONTRACTING for material regarding procurement of property, equipment, supplies, and services.

General Policy

Reports and Statistics

Laws - Regulations

Real Property Management

Acquisition

Use for material on acquisition of buildings and grounds; lease, lease amendments, renewals, floor plans, etc.

Accountability - Control

Maintenance, Repairs, Improvements

Includes renovation, alterations, painting, cost estimates, work orders, etc.

Protection and Security

Space Assignment and Utilization

Use for general material on occupancy guides, space requests, space surveys, etc.

Construction

Disposal

Utilization

Personal Property Accountability

Stock Controls

Includes storage and issue.

Identification

Tagging, etc.

Inventories

PROPERTY MANAGEMENT (PRM) (continued)

Personal Property Accountability (continued)

Loans and Exchanges

Receiving Documents

Includes delivery documents,
receipts, etc.

Loss, Damage, and Theft

Maintenance and Repairs of Personal
Property

Storage and Warehousing

Surplus/Excess Personal Property

Acquisition

Disposition

Scrap, transfer, sale,
donation, etc.

Utilization

Board of Survey

RESEARCH AND DEVELOPMENT (RAD)

Use this outline for general correspondence regarding research and development efforts to improve and strengthen law enforcement. Most records created as a result of LEAA research will be filed in the appropriate grant or contract case file or in-house research project file. A smaller volume of papers is created, however, which does not concern a particular project, grant, or contract but which is directly related to the subject of law enforcement research and development. This subject category is intended for these papers.

SEE: STATE AND LOCAL GRANTS MANAGEMENT for general papers regarding grants made to state and local governments.

General Policy

Reports and Statistics

Laws - Regulations

Coordination of Research Activities

Subdivide by name of organization as necessary. Includes Federal, State, and private research agencies.

Outside (Non-Institute) Research Projects

Subdivide by name of project if volume warrants.

Equipment Systems Improvement Projects

Includes analysis, development, and standards. Subdivide by subject or equipment category as necessary.

Evaluation Programs

Includes Pilot Cities Program and Impact Program. Use for general materials on the evaluation of programs and techniques. Do not include materials which should be included in specific evaluation project files (202-04).

RESEARCH AND DEVELOPMENT (RAD) (continued)

In-House Research Program

Use for general material regarding the overall design and development of studies, programs, and projects to develop new law enforcement approaches, techniques, and devices, to provide information on the cause of crime, crime prevention, and correctional procedures, and to translate research findings into action projects.

Methods Research

Behavioral Research

Demonstration Projects

Research Grant Program Management

Project Identification and Assessment

Work Statements

Concept Papers/Pre-Proposals

Application Processing and Award

Grant Monitoring

Grant Close-Out

Technology Transfer Programs

Special Project Information Programs

Subdivide by name. Includes analysis, development, and standards.

Law Enforcement Science Advisory Program

Library Services

Publication and Dissemination of Institute Reports

HB 1330

RESEARCH AND DEVELOPMENT (RAD) (continued)

Technology Transfer Programs (continued)

National Criminal Justice Reference
Service

Instructional Workshops and Symposia

STATE AND LOCAL GRANTS MANAGEMENT (SGM)

Use this outline for general correspondence regarding the development and implementation of overall policies and procedures for managing grants to State and local governments including planning, action, and discretionary grants. Includes application preparation and review and grant award, monitoring and close-out policies and procedures.

Do NOT use this outline for materials regarding the processing of a specific application or management of a particular grant. Material of this nature should be placed in the appropriate case file.

SEE: AUDIT AND INVESTIGATION for material regarding audits of State and local law enforcement grants.

SEE: RESEARCH AND DEVELOPMENT for general papers regarding research grants.

SEE: TECHNICAL ASSISTANCE for general papers regarding TA grants.

SEE: TRAINING AND EDUCATION for general papers regarding training, education, and manpower development grants.

General Policy

Use only for general policies, plans, and procedures too broad in content to be filed under a more specific subject in this outline.

Reports and Statistics

Use for reports and data which are too general to be filed under a more specific subject in this outline. Subdivide by name or type of report if volume warrants.

Laws - Regulations

Includes OMB Circular No. A-102. Use only for material too general to be filed under a more specific subject in this outline.

Application Preparation and Submission

Use for policies and procedures regarding the use of standard forms, format standards for applications and attachments, and application submission requirements.

STATE AND LOCAL GRANTS MANAGEMENT (SGM) (continued)

Application Processing and
Approval

Includes grant advance applications, requests for carryover of prior year grant funds, and full grant applications. Use for papers regarding receipt and initial processing, review procedures and post approval/rejection procedures.

Grant Award

Includes grant advances, carryover of prior year grant funds, and full grants and supplements. Includes post processing of approved application, post approval procedures, and final processing.

Grant Monitoring

Includes receipt/review of financial reports, review of special condition compliance, authorization of grant modifications or amendments, review of grantee procurement, review of subgrants, on-site monitoring, and visits.

Grant Program Standards

Use for papers regarding the formulation of policy, procedures, requirements for participation by State and local units of government in LEAA grant programs.

Comprehensive State Law
Enforcement Plan Standards

Grant Conditions

SPA Organization Standards

Use for material regarding the overall standards for the authority, organization, and composition of SPA's and supervisory boards.

STATE AND LOCAL GRANTS MANAGEMENT (SGM) (continued)

Grant Program Standards (continued)

Standards for Grantee Financial
Management

Includes accounting systems, financial records and documentation, allowability of costs, grantee contributions and matching shares, etc. Subdivide further by subject as required.

Standards for Grantee Administrative
Management

Includes personnel, travel, transportation, office services, property, etc.

Standards for Grantee Procurement
and Contractual Services

Includes procurement methods, special approvals, documentation, etc.

Other Statutory/Regulatory
Standards

Includes environmental statements, historic site preservation, relocation, etc.

STATE FILES (State Abbreviation)

This subject category is to be used primarily by LEAA Regional Offices for general correspondence relating to the organization, operations, and functions of State and local government organizations as they relate to LEAA programs. Files will be established for each state served by the Regional Office.

Many of the materials received, created, and maintained by Regional Offices will be filed in the appropriate grant case file. A smaller volume of papers is accumulated, however, which does not concern a particular grant but which is directly related to an individual State Planning Agency or other State or local government organization and its relation with the LEAA and participation in LEAA grant programs.

DO NOT USE THIS OUTLINE FOR MATERIALS RELATING TO A SPECIFIC GRANT APPLICATION, COMPREHENSIVE PLAN, OR GRANT. Material of this nature should be filed in the appropriate grant case file.

SEE: STATE AND LOCAL GRANTS MANAGEMENT (SGM) for papers relating to grant activities not applicable to a particular state. However, correspondence relating to one particular state but which documents a standard or principle applicable to all states may be cross-referenced and filed in both the appropriate state file and the SGM file outline.

General Policy

Use for reports and statistical data which are too general to be filed under a more specific subject in this outline.

Legislation - Laws - Regulations

Includes OMB Circulars, state laws, and other regulations too general to be filed under a more specific subject in this outline.

State Planning Agency (General)

SPA Administrative Management

Includes office and property management, personnel management, etc.

SPA Conferences and Meetings

SPA-sponsored.

STATE FILES (State Abbreviation) (continued)

State Planning Agency (General) (continued)

SPA Financial Management	Regarding internal SPA fiscal operations. Includes accounting, auditing, budgeting, and financial reporting. Establish separate files for these or other sub-topics as required.
SPA Grant Applications - General	Includes planning, action, and discretionary grant application procedures. Subdivide by type if volume warrants.
SPA Grant Program Administration	Includes performance review and evaluation of SPA, reporting requirements, on-site monitoring by LEAA, etc.
SPA Organization and Functions	Includes SPA staff, SPA Supervisory Board; Regional and local planning units. Subdivide further if volume warrants.
SPA Publicity and Public Relations	Includes articles and newspaper clippings.
State Comprehensive Plan	General correspondence only regarding planning techniques and methods, format and submission requirements, etc.
SPA Subgrant Program Administration	Includes grant guides and other program guidelines, subgrant application and award procedures, etc.
State and Local Government Agencies (Exclusive of SPA)	
Meetings and Conferences	
Publicity and Public Relations	

STATE FILES (State Abbreviation) (continued)

State and Local Government Agencies (continued)

Chief Executives and State
Legislatures

State Attorney General

State Corrections Agency

State Courts

State Police

Local Law Enforcement Agencies

Establish separate folders as
required for individual local
law enforcement agencies.
Arrange alphabetically by
name of agency or geographi-
cally by agency location.

TECHNICAL ASSISTANCE (TAS)

Use this outline for general correspondence regarding policies, plans, and procedures for providing technical expertise, guidance, and assistance to State and local criminal justice agencies. Included are development, monitoring, coordination, and evaluation of in-house and contract/grant technical assistance efforts. Most of the technical assistance records maintained by the LEAA will be filed in the appropriate contract, grant, or request case file. A smaller volume of papers, however, does not concern a particular project or effort but is directly related to the subject of technical assistance. This subject category is intended for these papers.

General Policy

Reports and Statistics

Coordination of TA Efforts

Subdivide by name if volume warrants.

Federal Agencies

State Agencies

Evaluation of TA Efforts

In-House TA Resources

Use for material regarding the assessment, development, and allocation of in-house technical assistance capabilities and expertise.

TA Grant Program Management

Includes general correspondence regarding the preparation, review, and analysis of proposals and applications and the award and monitoring of technical assistance grants.

Project Identification and Assessment

Application Process

Grant Administration

Grant Close-Out

HB 1330

TECHNICAL ASSISTANCE (TAS) (continued)

TA Request Procedures

Grantee Submission Procedures

Request Processing Procedures

TRAINING AND EDUCATION (TED)

Use this outline for general correspondence regarding policies, plans, and procedures for the development and implementation of law enforcement education and training programs.

Do NOT file materials regarding a specific grant or contract under this outline.

SEE: PERSONNEL for materials regarding the training of LEAA employees.

General Policy

Reports and Statistics

Laws - Regulations

Committee Meetings and Reviews

Use only for material too general to be filed under a more specific subject in this outline.

Panel Reviews

Advisory Committees

Education and Training Grants
Management (Other than LEEP)

Includes policy and procedures for the preparation and review of applications and proposals and the award, monitoring, and evaluation of education and training grants.

Project Identification and
Assessment

Application Processing

Grant Award

Grant Monitoring

Grant Close-Out

TRAINING AND EDUCATION (TED) (continued)

Educational Development Programs

Use for materials regarding the development and demonstration of improved and innovative methods of educating criminal justice personnel. Do not use for grant/contract case file materials.

Centers of Excellence

Curriculum Development

Faculty Improvement

Educational Materials

Graduate Research Fellowships

Internships

Law Enforcement Education
Program (LEEP)

Includes material regarding the criteria for awarding funds to institutions and participants in LEEP and the criteria for repayment or cancellation for service of LEEP grants and loans.

Institutional Eligibility
and Accreditation

Student Eligibility

Application and Award

Grant Monitoring

Grant Close-Out

Vocational Training and Manpower
Development Programs

Use for materials regarding the development and implementation of training programs for criminal justice personnel.

Enforcement Personnel

Prosecuting Attorneys

TRAVEL AND TRANSPORTATION (TRV)

Use this subject outline for general correspondence on policies and procedures regarding the travel of individuals and movement of household goods, the shipment of equipment, supplies and materials, and the acquisition, maintenance, use, and disposition of motor vehicles.

General Policy

Reports and Statistics

Laws - Regulations

Freight and Express Shipments

Carriers

Includes general information on rates, fares, tariffs, routes, and schedules.

Bills of Lading

Claims

Loss and damage, etc.

Travel Allowances

Includes per diem and mileage rates, travel advances, etc.

Travel Orders/Authorizations

Use only for general material of a regulatory or procedural nature. Includes transportation requests.

Travel Vouchers

Use for procedures regarding preparation and submission. For accounting aspect see FIN.

Government Vehicles

Accidents

Assignments and Use

Credit Cards

Interagency Motor Pool

Operator Permits

Includes tests and licenses.

Motor Vehicle Reporting.

HB 1330

TRAVEL AND TRANSPORTATION (TRV) (continued)

Itineraries and Reservations

Local Transportation

Includes use of taxis,
tokens, etc.

Transportation of Personal and
Household Effects

CHAPTER 3. RECORDS DISPOSITION POLICY AND PROCEDURES

SECTION 1. GENERAL

73. OBJECTIVES. Three important objectives of a records disposition program are to:
- a. Preserve records of continuing value.
 - b. Destroy records of temporary value as soon as they have served the purpose for which they were created.
 - c. Remove noncurrent records from office space and filing equipment to less expensive storage facilities, thereby improving use of files and reducing maintenance costs.
74. DISPOSITION EXPLAINED. Disposition includes the retirement, transfer, or destruction of records.
- a. Retirement. Records are considered "retired" when they are sent to a designated Federal Archives and Records Center for storage, servicing, and ultimate destruction or retention.
 - b. Transfer. Disposition includes the transfer or a change of custody of records from one organization or agency to another. Records are considered "retired" when they are transferred to a records center. Records may be transferred to another office as a result of the re-alignment of functions or reorganization of LEAA or retired to a records center without prior approval. However, any other transfer of records to another office or agency must be approved by the LEAA Records Officer.
 - c. Destruction. The destruction of records includes the physical destruction of the record material itself or the removal of the informational content. Records authorized for destruction by appendix 3-1 of this handbook will be:
 - (1) Placed in wastebaskets when the quantity is small and the records are unclassified. Consider selling as waste paper any large quantity of records eligible for destruction.
 - (2) Destroyed by pulping, burning, or macerating if, in the opinion of the Records Officer, this action is necessary to avoid disclosure of information that might be prejudicial to the LEAA, public, or private interest.
 - (3) Erased and reused if appropriate when the record consists of magnetic tape or comparable media.

75. RESERVED.

SECTION 2. DISPOSITION STANDARDS

76. AUTHORITY. Federal law requires proper authorization by the General Services Administration through the Archivist of the United States to destroy Government records. Authorization for the destruction of records is contained in the LEAA records disposition standards (appendix 3-1). The standards provide for the selective retention of records of continuing value and the destruction of records of temporary value after the expiration of a specified period of time or upon the occurrence of a specific event. The retirement procedures in section 4 below provide instructions for moving inactive and semi-active records from office space to low cost storage facilities.
- a. Official records will NOT be destroyed except according to the provisions of the disposal standards in appendix 3-1.
 - b. Non-record material may be destroyed when its purpose is served. To control the accumulation of non-record material, disposal standards identifying specific kinds of such material are included in Chapter 1 of appendix 3-1. These standards establish the maximum retention period for different types of non-record material.
77. ARRANGEMENT OF DISPOSITION STANDARDS. The records disposition standards found in the 13 chapters of appendix 3-1 are arranged as follows:
- a. Chapter 1 contains standards for records common to most offices, such as office administrative files, non-record material, and program correspondence files. This chapter will be used by all offices.
 - b. Chapters 2 through 13 contain standards arranged according to primary functions of LEAA. A standard is contained in a chapter according to the function to which the file relates and not according to the organization which creates or maintains the file.
78. NUMBERING. The numbers assigned to the disposition standards serve both as an identification of the file series and as an abbreviation of the disposition authority. All file series relating to the same functional area are grouped together. The specific standard number is derived from the internal arrangement and the sequence in which the standards appear. For example, standard number 402-03, which describes Inactive Applications for Employment, is derived as follows:

Standard Number	4	02	03
Chapter	_____		
Section	_____		
File Description Item	_____		

In the above example, the first number (4) represents chapter 4, which describes the records created in the major functional area of personnel management. The second number (02) represents section 2 of chapter 4, which describes records created in the employment subfunctional area of personnel management. The third number (03), following the hyphen, represents the standard number 03 which specifically describes files accumulated in processing applications for employment.

79. APPLICATION FOR REVIEW OF STANDARDS. Each Central and Regional Office is responsible for insuring compliance with the provisions of records disposition standards and ascertaining that all records of the organization are covered by appropriate disposal instructions. Each office will review its files at least annually to determine whether the applicable standards are adequate and being followed.
- a. Recommendations to add, delete, or change records disposition standards will be made when annual reviews disclose:
 - (1) Record series not covered by the standards.
 - (2) Items that should be deleted from the standards because the records involved are no longer being created or maintained.
 - (3) Retention periods which need to be changed. Changes should be recommended only when the need is clearly indicated and justified.
 - b. Proposed disposition standard revisions will be submitted to the LEAA Records Officer through the appropriate records liaison officer. Recommendations should contain the following information:
 - (1) Organizational unit(s) accumulating the records.
 - (2) A clear and meaningful description of the records, including the purpose for which the records were created, their relationship to the program activities of the unit creating them, and their relationship with other records, including duplication elsewhere in content or in substance.
 - (3) A proposed period of retention no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements, with full justification for the retention period. If the retention period proposed is longer than that for which the records are in active use, the recommendation should provide for their transfer to a Federal Archives and Records Center.

- c. Representative samples of paper records recommended for destruction or permanent retention will be submitted with the related recommendations. Samples will not be returned unless requested.
- d. The LEAA Records Officer will review, coordinate, and evaluate the information furnished for conformity with established policies and regulations. If the decision is made to add or change a disposition standard, the Records Officer will take necessary action to obtain approval for the disposal authority. Unless the record is unique to one office, requests for changes or additions to a disposition standard will be written to cover identical records LEAA-wide. Additions or changes to standards will be published as numbered changes to this handbook. Records recommended for disposal shall not be destroyed until such specific amendments are issued.

SECTION 3. FILES CUTOFF PROCEDURES

80. DEFINITION AND OBJECTIVES.

- a. Files "cutoff" is the segregation of active and inactive files. Established periodic cutoff of files is essential to effectively control record accumulations and their growth to facilitate economical disposition in convenient blocks. At least annually, recordkeepers will cut off files and segregate inactive files from active files; dispose of files eligible for retirement or destruction; and destroy all noncurrent technical reference material.
- b. Cutting off files is important because it controls the size of the file. If not cut off periodically, folder contents will grow until individual papers become hard to find. If the files are cut off periodically, older files can be progressively moved from active files space to storage space as their reference activity declines.

81. CUTOFF STANDARDS. Prescribed cutoff instructions are included in records disposition standards, where applicable. Cutoff standards are based on the following criteria for the various types of records:

- a. Chronological Sequence Files, such as accounting records, are filed by period of account (fiscal year), and lend themselves to cutoff procedures. Chronologically arranged records can be readily cutoff and retired in convenient blocks.
- b. Subject Files must be cutoff at planned intervals; there is no natural cutoff point such as occurs with case files or chronologically arranged records. Subject files are usually maintained on a fiscal year basis.
- c. Case of Project Files are often cutoff upon the termination of a transaction or expiration of an event, such as separation of personnel, final contract payment, or completion of project. When

closed, the case file should be marked with the date of closing and placed in an inactive file apart from the active files. The inactive files can then be retired or destroyed in convenient fiscal year blocks. Case files that continue over a long span of years can be cutoff by setting up a new folder each year and retiring the prior year folders which have little reference activity.

- d. Technical Reference Materials have no established cutoff and are destroyed when they are superseded, obsolete, or no longer needed. These files should be reviewed at least annually to determine if they are current and still useful.

SECTION 4. RETIREMENT PROCEDURES

82. RECORDS RETIREMENT (GENERAL). Offices should retain as current records a minimum volume of records consistent with efficient operations. Inactive records on hand and not scheduled for early destruction should be retired to appropriate Federal Archives and Records Centers. The disposition standards in appendix 3-1 include retirement instructions for many file series. Below are general criteria regarding retirement.
 - a. Reference Rate. Files which are referred to not more than once a month per file drawer are to be transferred to a records center, provided the transportation cost does not exceed savings in space. Agency files that meet these criteria should be transferred to a records center regardless of how urgent the need for reference, how important the records, their security classification, or how extensive the restrictions on their use may be.
 - b. Retention Less than Three Years. Ordinarily, records should not be retired if they will be destroyed within three years of the transfer. Occasionally, records with less than three years retention may be retired if the file is bulky, continued retention in office space is costly, and the local Federal Archives and Records agrees in writing to the transfer.
 - c. Volume. Small amounts of records (less than one cubic foot) should not be retired as a sole transfer action. Wait until at least one or two boxes are ready for transfer. Records should be retired at annual intervals except when the volume involved warrants more frequent transfers.
83. RETIREMENT DEVIATIONS. The Records Officer is authorized to approve specific deviations from retirement procedures on an individual basis only. Deviations apply only to records retirements. No records will be destroyed sooner than authorized by approved disposal standards unless the standard is officially changed. Exceptions to retirement procedures will be approved in writing by the Records Officer, with information copies furnished to the applicable records liaison officer and records custodian.

84. RETIREMENT OF RECORDS TO FEDERAL ARCHIVES AND RECORDS CENTERS. Federal Archives and Records Centers (FARC) are operated by the General Services Administration for storage, processing, and servicing of records of Federal agencies. Regional FARC's are located in GSA regions throughout the United States. In addition, there are two National Records Centers. The Washington National Records Center (WNRC), Suitland, Maryland, is available for the use of agencies in the Washington, D. C., area. The National Personnel Records Center, St. Louis, Missouri, houses the personnel and pay records of all Federal employees. Figure 3-1 lists the addresses of the Federal Archives and Records Centers and the area served by each. Offices will retire eligible records to the nearest center. Included below are instructions for the retirement of files to a Federal Archives and Records Center. More detailed information is available from the GSA Records Management Handbook "Federal Records Centers" (FSN 7610-298-6904).

a. Initiating Retirement. When records become eligible for transfer, the custodian of the records should estimate the volume involved and obtain the necessary fiberboard boxes. A guide for estimating records volume in cubic feet is contained in LEAA Form 1337/3.

(1) Central Offices. Recordkeepers in LEAA Central Offices should inform the LEAA Records Officer of the nature and quantity of the records proposed for retirement and any additional information that the Records Officer may require. The LEAA Records Officer will obtain an accession number for use in retiring the records to the WNRC.

(2) Regional Offices. Regional Office recordkeepers should inform their records liaison officer when records retirement is planned. The recordkeeper should inform his records liaison officer of the nature and quantity of the records proposed for retirement and any additional information that the records liaison officer may require. Records liaison officers will advise the Manager of the Federal Archives and Records Center in the GSA region in which the records are located that the records will be retired. This notice may be either oral or in writing.

b. Review Prior to Transfer. Before files are boxed for shipment, they should be screened to eliminate non-record material and material authorized for immediate destruction. However, such screening should be limited to complete folders or subject classification file categories.

c. Packing the Records. Pack the records in standard FARC corrugated boxes which can be obtained from the Federal Supply Service (FSS). Each container measures 15 x 12 x 10 inches and holds one cubic foot of files. Pack records in an upright position in the cartons. Pack them in the same arrangement used in the original

FIGURE 3-1. FEDERAL ARCHIVES AND RECORDS CENTERS

REGION	AREAS SERVED	LOCATION
	Designated records of the Military Departments and the U.S. Coast Guard	National Personnel Records Center Military Personnel Records, GSA 9700 Page Boulevard St. Louis, MO 63132
	Entire Federal Government (for personnel and pay records of separated Civilian employees; other designated records)	National Personnel Records Center Civilian Personnel Records, GSA 111 Winnebago Street St. Louis, MO 63118
1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Archives and Records Center 380 Trapelo Road Waltham, MA 02154
2	New York, New Jersey, Puerto Rico, and the Virgin Islands	Federal Archives and Records Center 641 Washington Street New York, NY 10014
3	Delaware and Pennsylvania east of Lancaster	Federal Archives and Records Center 5000 Wissahickon Avenue Philadelphia, PA 19144
	Pennsylvania except areas east of Lancaster	Federal Records Center Naval Supply Depot, Bldg. 308 Mechanicsburg, PA 17055
	District of Columbia, Maryland, West Virginia, and Virginia	Washington National Records Center Washington, DC 20409
4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky	Federal Archives and Records Center 1557 St. Joseph Avenue East Point, GA 30044
5	Illinois, Wisconsin, and Minnesota	Federal Archives and Records Center 7358 South Pulaski Road Chicago, IL 60652
	Indiana, Michigan, and Ohio	Federal Records Center 2400 West Dorothy Lane Dayton, OH 45439
6	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area	Federal Archives and Records Center 2306 East Bannister Road Kansas City, MO 64131
	Greater St. Louis area (Missouri only)	National Personnel Records Center Civilian Personnel Records, GSA 111 Winnebago Street St. Louis, MO 63118
7	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Archives and Records Center 4900 Hemphill Street Post Office Box 6216 Fort Worth, TX 76115
8	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota	Federal Archives and Records Center Building 48, Denver Federal Center Denver, CO 80225
9	Nevada except Clark County, California except Southern California, and Pacific Ocean areas	Federal Archives and Records Center 1000 Commodore Drive San Bruno, CA 94066
	Arizona; Clark County, Nevada; and Southern California (Counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, and San Diego)	Federal Archives and Records Center 4747 Eastern Avenue Bell, CA 90201
10	Washington, Oregon, Idaho, and Alaska	Federal Archives and Records Center 6125 Sand Point Way Seattle, WA 98115

file. However, do not place records with widely different retention periods in the same carton. Do not pack the files too tightly in the box so that referencing the records is made difficult. Pack letter-size folders the 12-inch way and legal-size folders the 15-inch way. The unstitched 12-inch side of the carton is considered the front. If cartons are to be shipped to a center by freight, express, or parcel post, reinforce them either by placing a cardboard liner inside the carton or by taping the corners or edges of the closed carton.

- d. Numbering the Boxes. After the boxes are filled, prominently enter in the upper right corner of the front of each box with a heavy crayon or felt-tip marker the number of the box and the number of boxes in the transfer, i.e., 1 of 12. If the accession number is known, mark it in the upper left corner of the front of each box.
- e. Oversized and Undersized Records. Contact the local FARC for instructions for shipping odd-sized records.

85. PREPARING TRANSMITTAL FORMS. The retirement of records to a Federal Archives and Records Center requires the preparation of Standard Form 135, "Records Transmittal and Receipt," (see figure 3-2) and Standard Form 135A, "Continuation Sheet." Submit the completed SF 135 to the appropriate records center for review two weeks prior to the planned shipment of the records. If at the end of two weeks, no word has been received from the Center the records may be shipped.

a. Required Copies.

- (1) Washington National Records Center. Offices making shipments to the WNRC in Suitland, Maryland, will prepare four copies of Standard Forms 135 and 135A. One additional copy is required if GAO site audit records are being transferred. Send all copies through the LEAA Records Officer.
- (2) Other Records Centers. Offices making shipments to all other Federal Archives and Records Centers will prepare these forms in triplicate--two for the center and one for the records liaison officer. One additional copy is required if site audit records are being transferred. Send all copies through the appropriate records liaison officer.

b. Filling Out the Form. Complete the SF 135 as follows:

- (1) Item 1. If no restriction, state "none," otherwise specify classification or other restrictions.
- (2) Item 2. A file cabinet requires about 7 square feet of floor space.

FIGURE 3-2. SAMPLE STANDARD FORM 135

Office to which Records Center returns receipted copy of this form. (LEAA Central Offices should indicate the Records Management Staff, OOS, and include Stop numbers.)

Be sure that Records Officer (Central Offices) or the Records Liaison Officer (Regional Offices) signs the transmittal before sending to Center.

Each time you retire records to a Records Center, a new accession number is assigned. Central Offices obtain Accession and Record Group numbers from the LEAA Records Officer. Regional Offices obtain these numbers from the Regional Records Center, if required.

Leave Blank.

Always cite one of the following: Top Secret, Secret, Confidential, Restricted to Persons Approved by Agency Officials, or None.

One standard center box equals one cubic foot. Count boxes and put total here.

Check "Yes" and these records will be destroyed as scheduled without notification to you. If you want the Center to notify you before these records are destroyed, check "No".

Cite the Files Maintenance and Disposition Handbook and standard number.

A statement describing the records in general precedes the detailed description of each box in the shipment. This statement should identify the office creating the records, a general description of the records and their inclusive dates.

A complete description of the contents of each container should be shown. Indicate records series title and inclusive dates if different from the general description of the records. List contents of each box. Only first and last folders need be listed if records are filed in a logical arrangement.

STANDARD FORM 135
JULY 1961 EDITION
GENERAL SERVICES ADMIN.
FPMR (41 CFR) 101-11.4

RECORDS TRANSMITTAL AND RECEIPT

TO BE COMPLETED AT FEDERAL RECORDS CENTER

ACCESSION NO. 60-74-24
RECORD GROUP NO. 60-423
DATE RECORDS RECEIVED

INSTRUCTIONS
Send original and two copies to appropriate Federal Records Center.

FROM: (Name and address of Agency (transferring records))
Department of Justice, LEAA
Office of Operations Support
Records Mgmt. Staff (Stop 219)

TO: Federal Records Center, GSA
Washington National Records Center
Accession Section
Washington, D.C. 20409 (Stop 386)

1. CITE SECURITY CLASSIFICATION AND OR RESTRICTION ON USE OF RECORDS, IF ANY
Restricted to persons approved by Agency officials

2. SQUARE FEET OF SPACE CLEARED

3. FILING EQUIPMENT EMPLOYED

4. CUBIC FEET OF RECORDS TRANSFERRED

5. OFFICE 21

6. STORAGE 3

7. TELEPHONE NO. 386-6118

8. NAME OF AGENCY CUSTODIAN OF RECORDS
John Smith

9. BUILDING AND ROOM NO.
633 Indiana Ave., NW Rm 918

10. DATE
July 17, 1973

11. MAY THE RECORDS BE DESTROYED AS SCHEDULED WITHOUT FURTHER AGENCY CONCURRENCE
YES ☒ NO ☐

12. AGENCY OFFICIAL (Signature)
Mary Doe

13. RECORDS OFFICER

14. DISPOSITION AUTHORITY (Schedule and Item No.)

15. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES (Shew organizational and personal creating records)

16. DISPOSITION AUTHORITY (Schedule and Item No.)

17. THIS TRANSFER CONSISTS OF OFFICIAL CONTRACT CASE FILES RELATING TO CONTRACTS FOR MORE THAN \$2,500 WHICH WERE CLOSED IN FY 1973. THE FILES WERE CREATED BY THE PROCUREMENT BRANCH, LAW ENFORCEMENT ASSISTANCE ADMINISTRATION, DEPARTMENT OF JUSTICE. ARRANGED NUMERICALLY BY CONTRACT NUMBER.

18. HB 1330.2 801-06b

19. 1 J-LEAA-002-70 THROUGH J-LEAA-012-70

20. 2 J-LEAA-022-70 THROUGH J-LEAA-025-70

21. 3 J-LEAA-004-71 THROUGH J-LEAA-018-71

22. 4 J-LEAA-019-71 THROUGH J-LEAA-031-71 and J-LEAA-035-71

23. 5 J-LEAA-038-71 THROUGH J-LEAA-50-71

24. 6 J-LEAA-051-71 THROUGH J-LEAA-060-71 and J-LEAA-062-71

25. 7 J-LEAA-065-71 THROUGH J-LEAA-071-71

26. 8 J-LEAA-072-71 THROUGH J-LEAA-085-71

27. 9 J-LEAA-090-71 THROUGH J-LEAA-099-71

28. 10 J-LEAA-100-71 THROUGH J-LEAA-112-71

STANDARD FORM 135
JULY 1961 EDITION

(Use Standard Form 135A for continuation sheets)

135-103

- (3) Item 3. The average file cabinet has a filing capacity of 7 cubic feet. A formula for determining cabinets emptied is to divide the number of shipping containers used by 7.
- (4) Item 4. Each standard container holds 1 cubic foot of records.
- (5) Items 5, 6, and 7. The custodian of the records is the head of the organizational segment having custody of the records at the time they are retired.
- (6) Item 8. Records authorized for disposal on an official LEAA records schedule will not be reviewed for further agency concurrence before destruction by the center. Offices requiring review prior to such disposal will attach a justification to the SF 135.
- (7) Items 9, 10, and 11. To be signed and dated by the Records Officer in LEAA Central Offices and by the records liaison officer in Regional Offices.
- (8) Item 12. Insert appropriate box number under "Agency."
- (9) Item 13. A statement describing the records in general precedes the detailed description of the shipment. This statement should identify the office creating the records, a general description of the records, and their inclusive dates. Any pertinent historical data involving the organization should be included for permanent records. Inclusive dates, record series title, and a clear description of each record series contained in each shipping carton should be shown. Double space between descriptions of records contained in each carton to facilitate identification of container contents. It is important that the contents of each box are clearly identified to enable the center to give reference service and apply the correct disposition authority.
- (10) Item 14. Identify the disposal authority by reference to the specific number of the appropriate records disposition standard in appendix 3-1. If there is no disposition standard that applies, contact the LEAA Records Officer for instructions.

86. SHIPPING THE RECORDS. The most economical means available should be used to ship files to a Federal Archives and Records Center. If records are to be moved only a short distance, FARC trucks may be available to pick them up. Contact the FARC regarding this. Otherwise, records may be transferred by regular United States mail for small shipments (under 100 lbs.) or by commercial motor or rail freight for larger shipments with costs to be paid by LEAA. To obtain the lowest freight rate for records shipment, enter the following description on bills of lading or other shipping documents:

Records, Office, Old
 (The agreed or declared value of the property
 is hereby specifically stated by the shipper
 to be not exceeding 3½¢ per pound.)

Shipping regulations require the boxes to be sealed and addressed.
 Properly packed containers weigh approximately 25 to 30 pounds each.

87. REFERRALS TO STORED RECORDS. Even though records are physically stored in Federal Archives and Records Centers, they are readily accessible to the offices that retired them. The requestor may ask for information from the records or for the loan or return of the records themselves. Optional Form 11, "Reference Request - Federal Records Center," is available for use in requesting reference service. (Exception: Standard Form 127, "Request for Official Personnel Folder," will be used for the retrieval of or reference to personnel records from NPRC.) Persons requesting reference service should specify:
 - a. The name and location of the person for whom the request is being made.
 - b. The accession number of the transfer in which the records were included, as shown on the LEAA copy of the SF 135, "Records Transmittal and Receipt."
 - c. A description of the information and/or records desired.
 - d. The FARC number of the carton in which the records should be found.
88. DISPOSAL OF RECORDS BY FEDERAL ARCHIVES AND RECORDS CENTERS. Records at the National Personnel Records Center will be destroyed in accordance with applicable regulations without further LEAA clearance. Records stored at other FARC's will normally be destroyed in accordance with the applicable standard in appendix 3-1 of this handbook. However, if Item 8 of SF 135 indicates that further clearance is required, the FARC will request written concurrence from LEAA prior to destroying the records. If unusual circumstances require that certain records be kept longer than their scheduled retention, LEAA should submit evidence of the need to retain the records and request the Administrator of General Services to suspend destruction until the requirement is ended as provided by 44 USC 2909.
89. TRANSFERS TO THE NATIONAL PERSONNEL RECORDS CENTER. Official personnel folders and related payroll records shall be retired to the National Personnel Records Center (Civilian) at St. Louis, Missouri, as prescribed in the records disposition standards and as further explained in this paragraph. This center does not acknowledge receipt of records.

FIGURE 3-3. SAMPLE STANDARD FORM 127

Standard Form 127 July 1967 edition General Services Administration FPMR (41 CFR) 101-11.4	REQUEST FOR OFFICIAL PERSONNEL FOLDER (SEPARATED EMPLOYEE)	1. DATE OF REQUEST DATE
Section I—TO BE COMPLETED BY REQUESTING AGENCY		
2. CURRENT NAME (Last, first, middle) Copeland, Janice Sharon	2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (If different than item 2.) Liles, Janice Sharon	
NATIONAL PERSONNEL RECORDS CENTER, GSA (Civilian Personnel Records) 111 WINNEBAGO STREET ST. LOUIS, MISSOURI 63118		3. DATE OF BIRTH 13 Sep 46 4. SOCIAL SECURITY NUMBER 465-80-9199
SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED <i>Original will be used to send folder or reply to your agency. Duplicate will be used as charge-out record by the Records Center.</i>		
5. PREVIOUS FEDERAL EMPLOYMENT		
AGENCY AND BUREAU	LOCATION	FROM TO
None		
6. REASON FOR REQUEST (Check appropriate box) <input type="checkbox"/> a. Currently employed. <input checked="" type="checkbox"/> b. Temporary use. <input type="checkbox"/> c. Pre-employment consideration. Will retain folder if hired.		
7. REMARKS Employed by this organization only but formerly under maiden name.		
Section II—FOR USE BY RECORDS CENTER		
8. <input type="checkbox"/> a. Folder enclosed. <input type="checkbox"/> f. Folder believed in custody of following agency. Original of your request sent to that agency for action. <input type="checkbox"/> b. Folder was sent to your agency on _____ <input type="checkbox"/> c. Folder forwarded in place of information requested. Retain if person is rehired. <input type="checkbox"/> d. Folder not received. Suggest you contact last employing office. <input type="checkbox"/> e. Folder not located. Suggest further search of your agency. If still unlocated, verify correctness of name, and furnish date forwarded and several names of other folders in same shipment.		
Date:		Initials:
Section III—TO BE COMPLETED BY REQUESTING AGENCY		
U. S. Department of Justice Law Enforcement Assistance Administration 633 Indiana Avenue Washington, DC 20530 ATTN: Chief, Admin. Services Branch		Enter complete address to which folder or reply is to be mailed. Include ZIP Code.

127-107

- a. Official personnel folders of employees who are separated from LEAA are placed in an inactive file upon their separation. Thereafter, these inactive folders are transferred to the NPRC. Loose papers to be included in official personnel folders previously sent to the records center shall be forwarded to the center with Standard Form 127 (figure 3-3), "Request for Official Personnel Folder (Separated Employee)," provided that the papers are prescribed as permanent and essential for inclusion in an individual's folder. A separate copy of SF 127 shall be used to transmit the papers for each individual. In preparing the form, complete the entries in blocks 2, 4, 5, and 6c, and insert in block 5 the date of separation of the employee.
- b. Payroll Records. Because of their value as auxiliary personnel records, certain payroll records (such as individual earnings and service cards, final leave records, and in some situations, memorandum copies of payrolls) are transferred to the NPRC. Where practical, these records will be transferred in the standard boxes used by the Federal Archives and Records Center. Forward Standard Forms 135 and 135A in duplicate to the NPRC.

SECTION 5. SAMPLING PROCEDURES FOR GRANT AND CONTRACT RECORDS

90. PURPOSE OF SAMPLING. A history of LEAA would be incomplete without a record of the agency's grant and contract programs. To provide essential historical information about these programs, however, the permanent preservation of ALL grant or contract records is not practical or necessary. This section establishes procedures for the selection and preservation of a representative sample of grant and contract records which document the goals, operations, policies, procedures, and accomplishments of grantees/contractors.
91. APPLICABILITY. Sampling procedures shall be applied to LEAA grants described in disposition standard 902-01 in appendix 3-1 of this handbook and to official contract files described in standard 801-06. The sampling procedures do not apply to research and development grants or contracts as described in standard 1000-05.
92. RESPONSIBILITY.
 - a. Contracts. The Comptroller, Office of the Comptroller, or his designee, is responsible for ensuring that sample files are selected from the official contract and interagency agreement case files and maintained permanently. Contracting officers may assist in the selection process.
 - b. Grants. Heads of Central and Regional Offices are responsible for ensuring that sample grant files are selected and maintained permanently. The Director of each Division with responsibility for the

award and administration of grants may participate in the actual selection of sample cases. Grant managers may also assist in the selection process.

93. SELECTION CRITERIA. Grant or contract case files selected as samples shall not exceed 5% of the total number of files. Sampling techniques will be left to the discretion of the responsible official. However, as a general rule, case files should be selected which:

- a. Serve as an example of a particular program (e.g., Pilot Cities, Impact Cities, etc.).
- b. Result in developments of special historical significance with research value for administration or functional documentation or because of information content.
- c. Exceed \$25,000, for contracts only.

94. PROCEDURES.

- a. Contracts. Contracts and interagency agreements on which final payment has been made, or which have otherwise been closed, are placed in an inactive file according to the fiscal year in which closed. Two years later, the files are normally retired to the Washington National Records Center. Immediately prior to the retirement of the closed cases, the Comptroller or his designee will select sample case files. The sample cases will be held separately from other cases until sufficient volume (at least one cubic foot) accumulates to retire them to the WNRC as an individual shipment.
- b. Grants. Grant case files are placed in an inactive file according to the fiscal year in which the grant was terminated. The closed files are held for three years and then retired to a Federal Archives and Records Center. The grant "monitoring" file, if kept separately, is consolidated with the official (or "valuable papers") file prior to retirement. Also, prior to retirement, sample grant files should be selected from among the closed cases by the Office Head or his designee. The sample cases will be held separately until sufficient volume (at least one cubic foot) accumulates to retire them to a Federal Archives and Records Center as an individual shipment.

95. RESERVED.

SECTION 6. ANNUAL REPORT ON RECORDS HOLDINGS

96. REPORTING REQUIREMENTS. All LEAA offices maintaining any file material will submit an annual report of records destroyed and retired during the

fiscal year, the number of cubic feet of records on hand at the close of each fiscal year, and the number of file cabinets on hand.

- a. Form. This report will be made on "Annual Summary - Records Disposal Activity Report," LEAA Form 1337/3 (figure 3-4).
- b. Submission. Each records custodian will submit a feeder report on LEAA Form 1337/3 to the appropriate records liaison officer as soon as possible after the fiscal year close. Records liaison officers will submit consolidated reports to the LEAA Records Officer. The Records Officer will prepare a consolidated LEAA-wide report for submission to GSA.

97-99. RESERVED.

FIGURE 3-4. SAMPLE LEAA FORM 1337/3

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION										
ANNUAL SUMMARY—RECORDS DISPOSAL ACTIVITY REPORT										
INSTRUCTIONS: This report will be submitted by each Records Liaison Officer to the LEAA Records Officer within 30 days after end of Fiscal Year. Reports will be submitted by each Files Custodian to the appropriate Records Liaison Officer who will prepare a consolidated report. Each custodian will count all files and records, including completed forms, reports, statistics, drawings, blue prints, maps, photographs, tape and similar material. Do not count blank forms, stationery, publications or library material. Do not include records stored in Federal Records Centers or National Archives.										
CALCULATE VOLUME OF RECORDS ACCORDING TO THE FOLLOWING TABLE OF CUBIC FOOT EQUIVALENTS: (Equivalents are for full but workable drawers or shelves. Appropriate adjustment should be made for those that are partially filled.)										
FILING CABINETS		FILING CASES			VISIBLE FILE			TABULATING CARDS	MACHINE LISTINGS	
LETTER	LEGAL	3 X 5	4 X 6	5 X 8	3 X 5	4 X 6	5 X 8	1	1.2	
1.5	2	.1	.17	.25	.07	.11	.18			
PER DRAWER		PER 12" DRAWER			PER 1,000 POCKETS			PER 10,000	PER LINEAR FOOT	
COMPUTER MAGNETIC TAPE		SHELF FILES (Bookcase Sections)		PLAN FILE (Drawer)		BINDERS, 3-RING			MICROFILM REEL	OUTSIZED EQUIPMENT
		LETTER	LEGAL	1"	2 1/2"	1"	2"	3"		
1		.6	1	3	6.5	.05	.1	.15	.085	INSIDE CUBIC MEASUREMENT
PER 7 REELS	PER LINEAR FT.	PER DRAWER		PER FULL BINDER			PER FULL BINDER			
RECORDS INVENTORY (CUBIC FEET)					CURRENT FILES ROOMS AND OFFICES (a)	STAGING, HOLDING OR OTHER STORAGE AREAS (b)			TOTAL (c)	
1. ON HAND - START OF FISCAL YEAR (Take from Item 4, Previous Year Report)					70	2			72	
2. DESTROYED DURING FISCAL YEAR					22	0			22	
3. RETIRED TO FEDERAL RECORDS CENTERS OR NATIONAL ARCHIVES					2	0			2	
4. ON HAND-END OF THIS FISCAL YEAR					76	3			79	
5. CHANGE IN HOLDINGS (Indicate plus (+) or minus (-) holdings since Item 1 above)					+6	+1			+7	
6. NUMBER OF MAGNETIC TAPE REELS INCLUDED IN TOTAL CUBIC FEET SHOWN IN ITEM 4. —————→									0	
7. NUMBER OF FILING CABINETS ON HAND		2 DRAWER		4 DRAWER		5 DRAWER		OTHER		
		0		0		12		0		
REMARKS										
SIGNATURE OF PERSON SUBMITTING REPORT <i>Cynthia McCutcheon</i> CYNTHIA MCCUTCHEON					TITLE Records Liaison Officer Dallas Regional Office			DATE PREPARED 7/12/74		

LEAA FORM 1337/3 (5-73)
DOJ 1973 05

APPENDIX 3-1. RECORDS DISPOSITION STANDARDS

Chapter 1. RECORDS COMMON TO MOST OFFICES

- Section 1. Office General Administrative Files
- Section 2. Program Correspondence Files

Chapter 2. PLANNING AND MANAGEMENT RECORDS

- Section 1. Executive Management Files
- Section 2. Program Planning, Management and Evaluation Files
- Section 3. Paperwork Management Files
- Section 4. Automatic Data Processing Management Files

Chapter 3. ADMINISTRATIVE SUPPORT RECORDS

- Section 1. Emergency Preparedness Files
- Section 2. Communications Files
- Section 3. Publications Management, Printing and Reproduction Files
- Section 4. Art, Graphics and Photograph Files
- Section 5. Mail, Messenger and Distribution Files
- Section 6. Security Files
- Section 7. Property and Space Management Files
- Section 8. Travel, Transportation and Motor Vehicle Files

Chapter 4. PERSONNEL MANAGEMENT RECORDS

- Section 1. General Personnel Program Files
- Section 2. Employment Files
- Section 3. Employee Performance and Utilization Files
- Section 4. Position Classification and Job Evaluation Files
- Section 5. Employee Relations and Services Files
- Section 6. Employee Training Files

Chapter 5. INFORMATION AND PUBLIC RELATIONS RECORDS

- Section 1. Publicity and Promotion Files
- Section 2. Congressional Relations Files

Chapter 6. LEGAL AND LEGISLATIVE FILES

- Section 1. General Legal Files
- Section 2. Claims and Litigation Files
- Section 3. Legal Services Files

Chapter 7. FINANCIAL MANAGEMENT RECORDS

- Section 1. General Financial Files
- Section 2. Budget Files
- Section 3. Accounting and Disbursement Files
- Section 4. Payroll Files

Chapter 8. CONTRACTING AND PROCUREMENT RECORDS

- Section 1. Procurement Files
- Section 2. Contract Administration Files

Chapter 9. GRANT PROGRAM RECORDS

- Section 1. General Grant Program Files
- Section 2. Official Grant Case Files

Chapter 10. CRIMINAL JUSTICE RESEARCH, STATISTICS AND INFORMATION SYSTEMS RECORDS

Chapter 11. TRAINING, EDUCATION AND TECHNICAL ASSISTANCE RECORDS

Chapter 12. AUDIT AND INVESTIGATION RECORDS

- Section 1. Internal Audit Files
- Section 2. Grantee/Contractor Audit Files
- Section 3. Investigation Files

Chapter 13. CIVIL RIGHTS COMPLIANCE RECORDS

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 1. RECORDS COMMON TO MOST OFFICES	
	SECTION 1. OFFICE GENERAL ADMINISTRATIVE FILES	
101-01	<u>Files Maintenance and Disposition Plans.</u> Documents such as LEAA Form 1337/1 which reflect file categories, disposal instructions, and other information about the files accumulated in individual file stations.	Destroy upon receipt of a revised plan or discontinuance of the plan.
101-02 <i>Non-Record</i>	<u>Records Retirement Lists.</u> Copies of documents created in retiring files to Federal Archives and Records Centers or similar records storage areas. Included are Standard Forms 135 or similar lists, and related papers. (NOTE: A record copy of these documents is permanently retained by the LEAA Records Officer in Central Office and by the records liaison officer in the regional offices as provided in 203-09.)	Retain in active files until all records listed thereon have been destroyed; or destroy on discontinuance, whichever is first.
101-03 <i>Non-Record</i>	<u>Suspense Files.</u> Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or a transitory paper being held for reference which may be destroyed on a given date. Examples of papers in suspense files are: <ul style="list-style-type: none"> a. A note or other reminder to submit a report or to take some other action. b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected. 	<p>Destroy after action is taken.</p> <p>Withdraw papers when reply is received. If suspense copy is an extra copy, destroy it; if it is the file copy, incorporate it with other papers for file.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
101-04 <i>Non-Record</i>	<p>c. Papers which may be destroyed in 30 days or less as being without further value.</p> <p><u>Transitory Files.</u> Papers of short term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below:</p> <p>a. <u>Requests for Information or Publications.</u> Routine requests for information or publications which require no administrative action, no policy decisions, and no special compilations or research for reply, such as requests for publications or other printed material.</p> <p>b. <u>Letters of Transmittal.</u> Letters of transmittal that do not add any information to that contained in the transmittal material.</p> <p>c. <u>Quasi-Official Notices.</u> Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns and similar papers.</p> <p>Recordkeepers shall combine the types of temporary material shown above into one transitory file arranged chronologically. If the volume warrants using more than one folder, four folders labeled as follows may be used.</p> <p>Transitory (JAN - MAY - SEP) Transitory (FEB - JUN - OCT) Transitory (MAR - JUL - NOV) Transitory (APR - AUG - DEC)</p>	<p>Destroy on date under which suspended.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
101-05 <i>Non-Record</i>	<p>A folder is used for each month. At the beginning of each month, the folder used the previous month is placed behind the other three, until all four folders have been used. At the beginning of the fifth month, the contents of the folder containing the oldest material are destroyed and the folder reused for the current month.</p> <p><u>Office Organization Reference Files.</u> Documents relating to the organization and function of an office. Included are copies of organization and functional charts and functional statements; documents relating to office staffing; documents concerning functional assignments and changes. Also included are documents reflecting minor changes in the office organization or functional assignments which are made by the office chief.</p>	<p>Destroy when superseded, obsolete, or no longer needed for reference.</p>
101-06	<p><u>Office Administrative Files.</u> Documents accumulated by individual offices that relate to the routine internal management or general administration rather than the function for which the office exists. These records may include copies of correspondence and reports which are prepared in the office and forwarded to higher levels and other materials that do not serve as official documentation. Includes also papers relating to obtaining housekeeping-type services from the offices responsible for providing them. If volume warrants, these files may be arranged by the LEAA subject-numeric classification system or the files may be arranged according to the type of material as shown below:</p>	<p>Cutoff at close of fiscal year. Destroy after 2 years.</p>

HB 1330.2
Appendix 3-1

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	<p>a. <u>Office General Management Files</u> which include documents concerning internal office procedures, hours of duty, participation in charitable affairs, security and protective services, safety, involvement in similar matters not pertaining to the mission or function of the office.</p> <p>b. <u>Office Facilities Files.</u> Papers concerning the ordinary supplies and equipment required by an office to carry out its functions. Includes documents relating to custodial service, temperature controls such as heating and air conditioning, telephone installation or change, requests for office space, office layouts, painting and renovation, and similar matters.</p> <p>c. <u>Office Supply Files.</u> Papers that relate to the ordinary supplies and equipment required by an office to carry out its functions. Includes documents such as requests for office supplies and receipts; requests for blank forms and directives or other papers relating to supply and distribution of these items; repair of office machines; and similar papers.</p> <p>d. <u>Office Financial Files.</u> Papers that relate to the expenditure of funds incidental to the performance of the mission of the office, as cost estimates for travel and other papers concerned with travel funds; documents concerning long-distance telephone call funds; printing expenses, and similar expenses; receipts and other papers concerning paychecks and savings bonds.</p>	

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
101-07 GRS 9 # 5a	Employee Travel Files. Correspondence, requests, travel authorizations and orders, itineraries, and similar papers pertaining to employee travel exclusive of records maintained for accounting purposes (item 703-01). Arranged alphabetically by name of traveler.	Cutoff at close of fiscal year. Destroy after 2 years.
101-08	Office General Personnel Files. Documents that relate to the day-to-day administration of personnel in individual offices. Included are papers that relate to attendance, copies of reports of attendance and overtime, notices of holidays and hours worked; notices and lists of persons to attend training sessions; papers concerning participation in employee and community affairs; campaigns, drives; and comparable or related papers. Arranged as appropriate. If volume warrants, papers can be arranged by subject-numeric classification system.	Cutoff at close of fiscal year. Destroy after 2 years.
101-09 GRS 1 # 18	Office Individual Personnel Files. Unofficial personnel folders maintained in the office which consist of documents which are duplicates of papers placed in official personnel folders maintained in the LEAA Personnel Office or which are not appropriate for inclusion in the official personnel folders. Includes such papers as copies of security clearance, records reflecting training received by individuals, copies of letters of appreciation and commendation, off-duty employment information, and comparable papers. Arranged alphabetically by employee.	Review file periodically to destroy documents which have been superseded or are no longer applicable. Destroy entire file 1 year after transfer or separation of employee.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
101-10 <i>GRS 1</i> <i># 6</i>	Office Personnel Locator Files. Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.	Destroy on separation or transfer of the individual.
101-11 <i>Non-Record</i>	Job Description Files. Documents describing positions in an office that are used in day-to-day supervisory relationships. Included are office copies of job descriptions. Record copies are maintained in the Personnel Office in accordance with item 404-01.	Destroy on abolishment of position, supersession of job description, or when no longer needed for reference.
101-12 <i>Non-Record</i>	<p>Reading or Chronological Files. Extra copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel.</p> <p>Exception: Applicable to the LEAA Administrator's chronological file of outgoing correspondence comprised of letters signed by the Administrator or copies of significant letters dispatched at lower levels but forwarded for personal information of the Administrator. See Standard 201-01.</p>	Cutoff at close of fiscal year. Destroy after 1 year or after reference value has been exhausted, whichever is sooner.
101-13 <i>Non-Record</i>	Policy and Precedent Reference Files. Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies will NOT be placed in this file. This file consists of non-record copies maintained only for convenience of reference.	Destroy when organizational unit is discontinued or when documents become obsolete or are no longer needed for operating or reference purposes.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
101-14 <i>Non-Record</i>	<u>Alphabetical Name Index.</u> Extra copy files used as a finding aid for large subject file collections. Consists of extra copies of outgoing letters of a distinctive color or quick copies arranged alphabetically by names of persons or organizations referred to in the outgoing correspondence. The name index copy is marked with same file designation as the official file copy. It is used when records are frequently requested by the names of individuals or organizations concerned rather than by subject.	Destroy at the same time the related subject file is destroyed, or earlier if no longer needed for reference purposes.
101-15 <i>Non-Record</i>	<u>Reference Publication Files.</u> Copies of LEAA internal and/or external directives; Department of Justice directives and publications; and publications issued by other Government agencies and non-governmental organizations maintained for reference within an office. These files are normally kept in binders and filed in bookcase units.	Destroy when superseded, obsolete, or no longer needed for reference purposes.
	SECTION 2. PROGRAM CORRESPONDENCE FILES	
102-01	<u>Program Correspondence Files.</u> Correspondence, reports, forms, and other records pertaining to the administration and operation of LEAA activities but excluding files described elsewhere in this handbook. Arranged according to the LEAA Subject File Classification System. a. <u>Program Correspondence Files maintained at the office level or above in LEAA Central Office.</u> These files are accumulated by the Administrator, Deputy Administrators, Assistant Administrators, and Heads of Central Staff Offices. They document policy-making decisions or significant program management functions.	Permanent. Cutoff at close of fiscal year. Hold 2 years and retire to FARC.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	b. <u>Program Correspondence Files maintained at the division level and below in Central Offices and in the Regional Offices.</u>	Cutoff at close of fiscal year. Hold 2 years and retire to FARC. Destroy 8 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	<p data-bbox="431 274 1128 304">CHAPTER 2. PLANNING AND MANAGEMENT RECORDS</p> <p data-bbox="479 340 1090 371">SECTION 1. EXECUTIVE MANAGEMENT FILES</p> <p data-bbox="219 406 1221 591">201-01 <u>Executive Chronological Files.</u> Chronological file consisting of copies of outgoing correspondence signed by the Administrator or Deputy Administrators and copies of significant letters dispatched at lower levels but forwarded for personal information of the Office of Administration.</p> <p data-bbox="219 626 1221 1084">201-02 <u>Committee Management Files.</u> Documents created in reviewing and coordinating the establishment, continuance and dissolution of joint, interagency, intra-agency, and extra-governmental committees, including task forces, councils, boards, commissions, panels, and comparable groups. The coordination and review is to prevent overlap and duplication, preclude committee establishment when normal staff action will suffice, and to apply other management practices to committees. Included are committee establishment proposals, approvals, papers reflecting changes in committee membership, committee charters, reports on establishment and composition, and related papers.</p> <p data-bbox="219 1119 1221 1449">201-03 <u>Committee Operations Files.</u> Files may include, but are not limited to, a directive or charter establishing the committee, a resume of major points of interest concerning committee meetings and the general operations thereof, a terminating directive, and a final committee report and finding. They may also include copies of minutes of meetings and other papers relating to the establishment, revision, or termination of individual studies and/or projects. Arranged by name of committee, thereunder by appropriate subject.</p>	<p data-bbox="1255 401 1745 494"><u>Permanent.</u> Cutoff at close of fiscal year. Hold 4 years and retire to FRC.</p> <p data-bbox="1255 626 1745 848"><u>Permanent.</u> Place in inactive file upon discontinuance of committee or disapproval of establishment of committee. Cutoff inactive file at close of fiscal year. Hold 2 years and retire to FRC.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
202-01	a. Committee chairman, secretariat, or recorder's files which are designated as "office of record."	<u>Permanent</u> . Cutoff upon completion of committee action or termination of committee, as appropriate. Retire when no longer needed for current operations.
	b. Members' Records.	Destroy when purpose has been served or after 1 year, whichever is sooner, except that informational copies of minutes of meetings which relate to another official file series will be disposed of with the records to which they pertain.
	SECTION 2. PROGRAM PLANNING, MANAGEMENT AND EVALUATION FILES	
	<u>Management Objective Files.</u> Documents that accumulate from the process of establishing short-, mid-, and long-range management objectives for the LEAA. Included are documents reflecting the establishment of schedules to accomplish objectives, the formulation of new concepts and requirements for planning purposes, and the evaluation of progress and accomplishments in meeting the management objectives established by the plans.	
	a. LEAA Central Office responsible for preparation of the plan.	<u>Permanent</u> . Cutoff at close of fiscal year in which plan is superseded. Retain in current files area.
	b. Commenting or coordinating offices.	File comments in general correspondence file and destroy in accordance with 102-01.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
202-02	<u>Organization Planning Files.</u> Documents relating to the establishment of and changes in organization, functions, and relationships of LEAA when such actions affect, or may affect, the management and operation of the agency. Included are staff studies, reports of working groups, minutes of committee or task force meetings and staff conferences, documents relating to overall functions and mission, copies of published directives implementing establishment or change, and related or similar documents. Arranged as appropriate.	Permanent. Cutoff at close of fiscal year in which case is completed. Retain in current files area.
202-03	<u>Organization Planning Working Files.</u> Background materials, drafts, interim and progress reports, and related papers accumulated in organization planning projects and surveys.	Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.
202-04	<u>Program Evaluation Project Files.</u> Documents accumulated in evaluating LEAA program efforts to determine if goals were achieved, to assess the effectiveness of the program, and to identify successful and unsuccessful projects. Examples are evaluation project files regarding LEAA's Pilot Cities Program and High Impact Anti-Crime Program. Included are copies of reports, questionnaires, and other data; evaluation of guidelines and procedural documents; progress reports and other papers reflecting status of project; working papers, background materials, and similar papers; copy of final evaluation report. Papers relating to program evaluations performed by outside contractor are maintained in the official contract file and/or the contract administration case file. An official file copy of the final	Cutoff at close of fiscal year in which evaluation project is completed. Hold 3 years and retire to FRC. Destroy 10 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
202-05	<p>published report of the evaluation project shall be preserved permanently as required by standard 303-01.</p> <p><u>Management Survey Case Files.</u> These consist of staff studies or management improvement projects regarding analyses of administrative policies and procedures, manpower surveys, organization and methods surveys and studies, management program progress analyses, work simplification and standardization studies, workload and work distribution analyses, and similar studies. Includes papers authorizing the project and describing its scope, purpose, and objectives; intermediate progress reports and correspondence; the finished survey report and actions taken as a direct result of the survey. Accumulated by the office conducting the survey, or the office sponsoring a contract for survey services.</p> <p>a. Office conducting the survey or office sponsoring the contract to perform survey services.</p> <p>b. Office surveyed.</p>	<p>Permanent. Cutoff at close of fiscal year in which action is completed on survey. Hold 2 years and retire to FARC.</p> <p>Destroy on completion of next comparable survey or when no longer required for reference.</p>
202-06	<p><u>Management Survey Background Files.</u> Documents created or accumulated in the collection of data for or during a management survey or staff study. Included are notes, statistical data, feeder reports, working papers, copies of directives and local operating procedures, charts, personnel data, and similar material collected for fact-</p>	<p>Cutoff at close of fiscal year in which survey is completed. Destroy when no longer needed for reference, except in no case will files be retained longer than 3 years after completion of all action on report.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	finding or back-up purposes.	
	SECTION 3. PAPERWORK MANAGEMENT FILES	
203-01	<u>Paperwork Management Liaison Officer Designations.</u> Documents reflecting name and information about individuals designated to perform paperwork management duties in specific organizational entities of LEAA. Includes designations for directives management officers, records liaison officers, forms liaison representatives, and similar representatives. Maintained in LEAA Central Office with primary responsibility for paperwork management.	Destroy when superseded by a new designation or when obsolete.
203-02 GRS 16 # 1	<u>LEAA Directives Record Set.</u> Consisting of the official file copy of each internal and external directive. Included are LEAA Notices, Instructions, Handbooks, Bulletins, Guidelines, and Manuals. This standard applies to the master set maintained by LEAA Central Office responsible for directives program. See standard 101-15 for reference sets of directives maintained by other offices.	<u>Permanent.</u> Place in inactive file when canceled or superseded. Retire when no longer needed for reference.
203-03	<u>Directives Issuance Record Cards.</u> Card files showing pertinent information about the directive such as directive identification number, subject or title, distribution, originating office, cancellations, and similar data. Used principally for control over sequential number assignments. Filed numerically by directive identification number.	Place in inactive file when related directive is canceled. Destroy when no longer needed for controlling the assignment of directives identification sequential numbers.
203-04 GRS 16 # 1	<u>Directives Case History Files.</u> Documents relating to the preparation, review, clearance,	<u>Permanent.</u> Place in inactive file when directive is rescinded,

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	publication, and distribution of LEAA internal and external directives. Includes material regarding clearance and concurrence of draft directives and other coordinating actions, revisions and cancellations, and a copy of the final issuance. Arranged by directives identification number.	superseded, or obsolete. Cutoff inactive file at close of fiscal year. Hold 4 years and retire to FRC.
203-05	<u>Forms Functional Files.</u> 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 office.	Destroy upon supersession or discontinuance of form.
203-06 GR 2 16 # 4	<u>Forms Numerical File.</u> Case history files containing copies of each form and revision request for approval and justification, copies of prescribing directive, clearance reprint authority, and related correspondence.	<u>Permanent.</u> Place in inactive file when form is superseded or becomes obsolete. Retain in current files areas.
203-07 GRS 16 # 9	<u>Form Registers.</u> A register or card system used to record and control the assignment of form numbers.	Destroy individual register sheets when all forms entered thereon are canceled, superseded, or transferred to new sheet or when no longer needed.
203-08 GRS 16 # 3	<u>Records Disposition Authorizations.</u> Documents created only by the LEAA Records Management Office in requesting authority from GSA-NARS for the disposal of records. Included are Standard Form 115, Request for Authority to Dispose of Records, or similar forms, correspondence, and related papers.	<u>Permanent.</u> Cutoff at close of fiscal year. Retain in current files area.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
203-09 GRS 16 # 3	<u>Records Retirement Lists.</u> Papers maintained by the LEAA Records Officer in Central Office and the records liaison officer in the regional offices documenting the retirement of files to Federal Archives and Records Centers or similar storage areas. Included are Standard Forms 135 or similar lists and related papers.	<u>Permanent.</u> Place in inactive file when all records listed thereon have been destroyed. Retire to FARC when no longer needed for reference.
203-10 GRS 16 # 8	<u>Reports Control Case Files.</u> Case files maintained for each report created, canceled, or superseded. Documents reflect actions taken in evaluating the requirements for approving and controlling specific reports. Included are applications for approval of reports, copies of pertinent forms or descriptions of format; copies of the requirement directive; preparation instructions; documents relating to continuance, revision, or other change to the report; and other correspondence, evaluations, and similar papers relating to the reports. Case files are maintained by LEAA Central Office with reports control authority.	Cutoff at close of fiscal year in which report is discontinued. Destroy after 2 years.
203-11 GRS 16 # 7	<u>Reports Control Record Cards.</u> Card files showing pertinent information about the report such as dates initiated, approved, discontinued; frequency; office of primary interest; preparing element; specific recipients; and similar data. Filed numerically by Report Control Symbols.	Cutoff when report is discontinued, canceled, or superseded. Destroy after 1 year.

HB 1330.2
Appendix 3-1

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
203-12	<p>Reporting Requirements Registers. Documents used for perpetual inventory of all reports issued under the reports management system. Included are cards, register sheets, catalogs, or similar documents.</p>	<p>Withdraw and place in an inactive file on discontinuance of the reporting requirement or on revision of the reports control symbol. Cutoff the inactive file at the end of the fiscal year and destroy when no longer needed for controlling the assignment of new reports control symbols.</p>
	<p>SECTION 4. AUTOMATIC DATA PROCESSING MANAGEMENT FILES</p>	
204-01 <i>GRS 20 Part I Item 1</i>	<p>ADP Systems Planning Project Files. Project files document the installation of an ADP system from initial inception to final system operation. Files include documents containing definitions of the system including the system objectives, request for the system, authorizing directives, source data, detailed studies reflecting advantages and disadvantages of alternate solutions, equipment requirements, tangible benefits, output requirements, schedule for completion, and related papers. Arranged alphabetically by title of ADP system.</p>	<p>Permanent. Cutoff at close of fiscal year in which system is stabilized. Hold 1 year and retire to FARC.</p>
204-02 <i>GRS 20 Part II Item 1</i>	<p>Systems Operation Specifications and Design Files. These documents consist of the detailed operating procedures for the implementation of a specific data system. Includes policies, instructions, details of computer techniques, flow charts, logic charts, input/output document flow data, and similar operating instructions explaining how and when to use data system programs. Arranged by name of system and thereunder by appropriate subject.</p>	<p>Dispose of when related magnetic tape records produced by the system have been blanked.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
204-03 <i>GRS 20</i> <i>Part II</i> <i>item 7</i>	<u>ADP Source Data Cards.</u> Punched cards ^{of} paper tapes containing data abstracted from source documents and used for conversion to magnetic tape or processing on electric accounting machine equipment.	Dispose of when related magnetic tape has proven to be satisfactory and has grandfather backup.
204-04 <i>Non-Record</i>	<u>Error/Edit Listing Files.</u> These are printouts showing errors and are used for editing purposes.	Destroy after corrections have been made and verified.
204-05 <i>Non-Record</i>	<u>Grants Management Information System Source Documents.</u> COPIES of records contained in grant case files. The copies were created for the sole purpose of forming the data base for the Grants Management Information System.	Destroy 1 year after ADP program has been debugged and is stabilized. Preserve computer records in accordance with item 204-06.
204-06 <i>GRS 20</i> <i>Part III</i> <i>item 26</i> <i>27</i>	<p><u>Grants Management Information System Files.</u> These files contain descriptive and statistical data on grants awarded by the LEAA. Information includes, but is not limited to, type of criminal justice agency affected, purpose of the grant, environmental impact, type of crime involved, amount of grant, expenditures, and other financial information.</p> <p>a. Historical File.</p> <p>b. Master File.</p>	<p><u>Permanent.</u> Offer to the National Archives when no longer needed for reference.</p> <p>Maintain data for current fiscal year and 3 previous fiscal years on Master File. At close of fiscal year, retire oldest year to Historical File.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
204-07 <i>GRS 20 Part III Item 27</i>	<u>Civil Rights Compliance Survey Historical File.</u> This file contains statistical information on the sex, ethnic background, and job classification of employees of criminal justice organizations funded by LEAA.	<u>Permanent.</u> Offer to the National Archives when no longer needed for reference.
204-08	<u>Grant Application Master File.</u> The Grant Application Master File contains descriptive and financial data relating to LEAA grants. Information extracted from LEAA Form 4020/1, Grant Application Status Form, includes project title, grantee name, application number, amount requested, amount expended, and similar data. The file is updated daily and arranged numerically by grant application number.	Release for reuse after any permanently valuable information has been retired to a historical file.
204-09 <i>GRS 20 Part III Item 27</i>	<u>National Crime Survey Incident Master File.</u> This file contains statistical data relating to the rate, cost, demographic characteristics, and attitudes of victims of crime in the five largest U.S. cities and in the eight Impact Cities. The data is noncumulative and is used to prepare reports covering a limited time period. Follow-up surveys are planned at three year intervals.	<u>Permanent.</u> Offer to the National Archives when no longer needed for reference.
204-10 <i>GRS 20 Part III Item 27</i>	<u>Juvenile Detention and Correction Facilities Master File.</u> This file contains statistical data relating to the capacity, population, holding patterns, personnel, and operating costs of juvenile detention and correction facilities. All public juvenile detention and correction facilities in the U.S. are included in the survey. The data is noncumulative and is used to prepare reports covering a limited period of time.	<u>Permanent.</u> Offer to the National Archives when no longer needed for reference.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 3. ADMINISTRATIVE SUPPORT RECORDS	
	SECTION 1. EMERGENCY PREPAREDNESS FILES	
301-01 <i>GRS 18</i>	<u>Emergency Planning Case Files.</u> Case files consist of emergency operating plans which provide for continuity of agency operations and other background papers such as changes to plan, coordinating actions, and other documents.	
<i># 28</i>	a. Case file maintained by office responsible for preparation and issuance of plan which includes record copy of plan.	<u>Permanent.</u> Cutoff when superseded or obsolete. Hold until no longer needed and retire to FARC.
<i>Item Record</i>	b. Copies of plans other than those maintained in case files above.	Destroy when superseded or obsolete.
301-02	<u>Emergency Test and Exercise Files.</u>	
<i>GRS 18</i> <i>Item 30</i>	a. Consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.	<u>Permanent.</u> Cutoff at close of fiscal year in which test is completed. Hold 2 years and retire to FARC.
<i>GRS 18</i> <i>Item 31</i>	b. Other papers accumulating from emergency operations tests such as instructions to participants, staff assignments, messages, tests of communications and facilities, copies of reports.	Cutoff at close of fiscal year in which test is completed. Destroy after 3 years.
	SECTION 2. COMMUNICATIONS FILES	
302-01	<u>Telephone Directory Files.</u> Correspondence, forms, and other records relating to the compilation of telephone listings and directories. (NOTE: Retain one copy of each published directory in accordance with 303-01.)	Destroy 3 months after issuance of directory.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
302-02 GRS 12 # 3(c)(2)	Original Message (Teletype) Files. Copies of incoming and original authenticated copies of outgoing messages maintained for locator purposes, transmission checks, evidence of receipt, and other administrative purposes. Arranged chronologically.	Cutoff monthly. Destroy after 1 year.
	SECTION 3. PUBLICATIONS MANAGEMENT, PRINTING AND REPRODUCTION FILES	
303-01 GRS 12 # 1	Publications Master Files. Official file copy of each LEAA publication such as technical reports, booklets, pamphlets, posters, monographs, or other issuances published by the central or regional LEAA offices. Includes also one copy of publications prepared by contractor/grantee. Official file copy is maintained by the office responsible for the preparation and issuance or requiring the grantee/contractor preparation. Publications in this file will be distinctly marked "Record Set" and will not be charged out. Two copies of each publication will also be sent to the LEAA Library.	Permanent. Cutoff when publication is superseded, canceled, or 3 years after issuance, whichever is sooner. Hold 2 years and retire to FARC.
303-02 GRS 13 # 3a	Publication Manuscript Files. Editorial matter relating to the publication of a manuscript, including drafts, printer's copies of galley and page proofs, and other working or control data used in the preparation of publications. Arranged by publication name or number.	Cutoff at close of fiscal year in which related publication is issued. Destroy after 2 years.
303-03	Library Catalog Files. Cards showing authors, titles, subject, cross-reference, etc., and indicating descriptive details including location of items on the shelves.	Destroy when related items have been permanently removed from the library collection.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
303-04 GRS 13 # 4	<u>Job Control Registers.</u> Registers used to control the receipt of requisitions and work orders for printing and duplicating jobs.	Cutoff at close of fiscal year in which compiled or when register is filled, whichever is applicable. Destroy after 1 year.
303-05 GRS 13 # 2	<u>Job or Project Files.</u> Files contain all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs. Includes requisitions, bills, samples, clearances, and related papers. Arranged numerically by control or requisition number. <ul style="list-style-type: none"> a. Files pertaining to in-house reproduction jobs or projects. b. Files pertaining to reproduction jobs or projects performed by Government Printing Office or outside contractor. 	<p>Cutoff at close of fiscal year in which job is completed. Destroy after 1 year.</p> <p>Cutoff at close of fiscal year in which job is completed or requisition is canceled. Destroy after 4 years.</p>
303-06	<u>Negative Printing Plate Files.</u> Files consist of photographic negatives used for reproduction of major publications. Arranged by title or requisition number according to fiscal year. Negatives used for reprints are brought forward to current year.	Destroy at close of fiscal year in which publication is discontinued, superseded, or becomes obsolete, or after 5 years if the status of publication is unknown.
303-07	<u>Job History Card Files.</u> Cards maintained by the office responsible for printing and reproduction to reflect the reprint history of all major publications.	Destroy after related publication is rescinded, discontinued, or becomes obsolete.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	SECTION 4. ART, GRAPHICS, AND PHOTOGRAPH FILES	
304-01	<u>Graphic Services Job Control Files.</u> Files contain graphic services requisition forms, requestor's notes or drawings or other instructions, notes to LEAA illustrators or graphic contractor. Arranged by job control number.	Cutoff at close of fiscal year in which job is completed. Destroy after 2 years.
304-02	<u>Art or Graphic Service Illustration Files.</u> Files consist of artwork, illustrations, slides, charts, graphics, acetates, and other visual aids.	Destroy on printing of publication, except that artwork of continuing usefulness may be retained until no longer needed.
304-03	<u>Photograph Files.</u> Files consist of still photographic prints, negatives, and related caption material pertaining to LEAA programs, functions, and important individuals or groups of individuals.	<u>Permanent.</u> Cutoff after 10 years and offer to the National Archives (NNV).
304-04	<u>Motion Picture and Video Tape Files.</u> Files consist of motion pictures and video tapes produced by or for LEAA and used for promotional, educational, and information purposes.	
	a. Record set maintained by LEAA Central Office with primary responsibility. Includes preprint material, a projection print, a film copy if available and any contractual, descriptive, or other material relating to the film.	<u>Permanent.</u> Cutoff after 10 years and offer to the National Archives (NNV).
	b. Other copies.	Destroy when obsolete or no longer needed for reference.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	SECTION 5. MAIL, MESSENGER AND DISTRIBUTION FILES	
305-01 GRS 12 # 5	<u>Postal Records.</u> Files consist of Post Office forms and supporting papers such as receipts for registered and certified mail, insured mail, and special delivery receipts and forms, reports of loss, etc. Arranged chronologically.	Cutoff at close of fiscal year. Destroy after 1 year.
305-02	<u>Mail Control Files.</u> Files consist of statistical reports of postage used on outgoing mail, production reports of mail handled, and related papers. Arranged chronologically.	Cutoff monthly or quarterly according to volume. Destroy after 1 year.
305-03 GRS 12 # 1	<u>Messenger Service Files.</u> Files consist of daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related and similar papers. Arranged as appropriate.	Cutoff monthly. Destroy after 3 months.
305-04 GRS 12 # 4	<u>Publication Stock Record Card Files.</u> Stock record cards or other documentation maintained to reflect the status of supply of directives, blank forms, and other publications including data as to stock levels, quantities on hand, and quantities received and issued.	Destroy when card is filled or when card is superseded or obsolete, whichever is earlier.
305-05 GRS 12 # 6	<u>Mailing Lists and Related Material.</u> a. Correspondence, request forms, and other records relating to changes in mailing lists. b. Cards. c. Plate or Stencil Mailing Lists.	Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier. Destroy individual cards when canceled or revised. Dispose of plates or stencils when canceled or revised.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	SECTION 6. SECURITY FILES	
306-01 GRS 18 #23	<p>Personnel Security Clearance Case Files. Documents relating to investigations of personnel employed by or seeking employment with the Government, or whose relationship otherwise with the Government requires a security clearance, but exclusive of copies of investigative reports and related papers furnished to agencies by the Civil Service Commission for which maintenance and disposition instructions are provided in Chapter I-2 of the Federal Personnel Manual. Arranged by case number or alphabetically by name of individual.</p> <p>a. Case files relating to cases appealed to the courts; linked with congressional investigations, or otherwise of demonstrated interest to the Congress, Congressional Committee, or the Executive Office of the President; or the subject of considerable public interest.</p> <p>b. Case files containing derogatory information.</p> <p>c. Case files containing no derogatory information.</p>	<p>Permanent. Cutoff at close of fiscal year in which action is completed. Hold 5 years and retire to FARC.</p> <p>Cutoff at close of fiscal year in which action is completed. Hold 5 years and retire to FARC. Destroy 30 years after cutoff.</p> <p>Cutoff at close of fiscal year in which action is completed. Hold 2 years and retire to FARC. Destroy 10 years after cutoff.</p>
306-02 GRS 18 #24	<p>Personnel Security Clearance Status Files.</p> <p>Records maintained in security units to show the security clearance status of individuals. Records may be in the form of lists, rosters, or cards.</p>	<p>Destroy when superseded, obsolete, or upon transfer or separation of related individual.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
306-03 GRS 18 #25+26	<p><u>Security Violations Files.</u> Papers relating to investigations of alleged security violations. Included are investigative reports and related papers. Excludes papers placed in official personnel folders.</p> <p>a. Files relating to alleged security violations of a sufficiently serious nature to be classed as felonies.</p> <p>b. Other files relating to alleged security violations.</p>	<p>Permanent. Cutoff at close of fiscal year in which action is made. Hold 5 years and retire to FARC.</p> <p>Cutoff at close of fiscal year in which final corrective or disciplinary action is made. Destroy after 2 years.</p>
306-04 GRS 18 #2	<u>Classified Document Receipt Files.</u> Papers relating to the receipt, transfer, and issue of classified documents maintained by other than control points.	Cutoff at close of fiscal year. Destroy after 2 years.
306-05 GRS 18 #4	<u>Classified Document Destruction Certificates.</u> Papers relating to the destruction of classified documents. Arranged chronologically.	Cutoff at close of fiscal year. Destroy after 2 years.
306-06 GRS 18 #5	<u>Classified Document Inventory Files.</u> Files consisting of forms, ledgers, or registers used to show identity, internal 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 below. Arranged chronologically.	Cutoff at close of fiscal year. Destroy after 2 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
306-07 GRS 18 # 6	<p><u>Top Secret Document Accounting and Control Files.</u></p> <p>a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.</p> <p>b. Forms accompanying documents to insure continuing control, showing names of persons handling documents, intra-office routing, and comparable data.</p>	<p>Cutoff at close of fiscal year in which documents shown on forms are downgraded, transferred, or destroyed. Destroy after 5 years.</p> <p>Destroy when related document is downgraded, transferred, or destroyed.</p>
306-08 GRS 18 # 7	<p><u>Classified Material Access Files.</u> Documents maintained by control points or custodians of classified files which constitute authorization for individuals to have access to classified files. Includes forms containing the individual's name and signature, classification of files concerned, information desired, and signature of official authorizing access.</p>	<p>Cutoff on transfer, reassignment, or separation of individual or when access authorization is withdrawn or canceled. Destroy after 2 years.</p>
306-09 GRS 18 # 8	<p><u>Classified Document Container Security Files.</u> Files consist of forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.</p>	<p>Destroy when superseded by a new form or list, or upon turn-in of containers.</p>
306-10 GRS 18 # 10	<p><u>Safety and Security Inspection Case Files.</u> Documents concerning the inspection, and follow-up thereof, of facilities to assure the adequacy of protective and preventive measures taken against continuing hazards of fire, explosion, and accidents, and to assure the adequacy of measures taken to safeguard information and the product or service from sabotage and unauthorized entry.</p>	<p>Cutoff at close of fiscal year. Destroy after 3 years.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
306-11 GRS 18 # 18	<u>Visitor Control Files.</u> Registers or logs used to record names of visitors, such as outside contractors, service personnel, vendor's representatives and visitors.	Cutoff at close of fiscal year, or after final entry in register, as appropriate. Destroy after 2 years.
306-12	<u>Identification Files.</u> Includes buildings and visitor passes, employee identification cards, credentials, applications, listings, and similar records.	Destroy 3 months after return to issuing office.
306-13	<u>Property Pass Files.</u> Documents authorizing removal of property or materials. Arranged alphabetically by name of individual.	Cutoff after expiration or revocation. Destroy after 3 months.
306-14 GRS 18 # 17	<u>Key Control Files.</u> Documents relating to accountability for keys issued. Arranged by organizational unit.	Cutoff after turn-in of key. For areas under maximum security, destroy after 3 years. For other areas, destroy after 6 months.
306-15 GRS 18 # 16	<u>Lost and Found Files.</u> Reports, loss statements, receipts, and other papers relating to non-LEAA lost and found articles.	Cutoff at close of fiscal year. Destroy after 1 year.
SECTION 7. PROPERTY AND SPACE MANAGEMENT FILES		
307-01 Non-Record	<u>Equipment Technical Manuals and Operating Instructions.</u> Includes parts lists, installation and maintenance instructions. Arranged by vendor name.	Destroy when superseded, obsolete, or when related equipment is retired or disposed of.
307-02 Non-Record	<u>Vendor Reference Materials Files.</u> Documents listing supplies and services by vendors. Includes catalogs, brochures, pamphlets, mailing lists, and similar material. Arranged by vendor name.	Destroy when superseded, obsolete or no longer needed for reference.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
307-03 GRS 18 # 12	<u>Employee Property Issue Files.</u> Card file documenting property and equipment charged out to personnel including employee receipts.	Destroy when new card is made provided item has been returned.
307-04	<u>Requisition Files.</u> Documents showing evidence of requisition, issue, delivery, and receipt of supplies, equipment, and services.	Cutoff at close of fiscal year. Destroy after 2 years.
307-05	<u>Property Record Receipt Files.</u> Copies of purchase orders maintained as property receipt records.	Cutoff at close of fiscal year. Destroy after 2 years.
307-06	<u>Supply Activity Reports.</u> Reports on supply requirements and procurement matters submitted for supply management purposes.	Cutoff at close of fiscal year. Destroy after 2 years.
307-07	<u>Property Transmittal and Coding Sheets.</u> Papers used to document and control the acquisition, transfer, loan, and disposition of non-expendable property.	Cutoff at close of fiscal year. Destroy after 1 year.
307-08	<u>Inventory Lists.</u> Computer printout inventories of capitalized and controlled property assets and property on loan.	Cutoff at close of fiscal year. Destroy after 2 years.
307-09	<u>Inventory Control Cards.</u> Inventory control cards use for stock control and property maintenance.	Place in inactive file upon disposition or transfer of property. Cutoff at close of fiscal year. Destroy after 2 years.
307-10	<u>Board of Survey and Loss or Theft Files.</u> Reports and other documents relating to the damage, loss, or theft of property.	

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	a. Reports involving Pecuniary Liability.	Place in inactive file upon completion of final action. Cutoff inactive file at close of fiscal year. Destroy after 10 years.
	b. All other reports.	Place in inactive file upon completion of final action. Cutoff inactive file at close of fiscal year. Destroy after 3 years.
307-11 GRS 4 # 5	<u>Excess Personal Property Files.</u> Reports of excess personal property and reports of the transfer of excess personal property.	Cutoff at close of fiscal year. Destroy after 3 years.
307-12 GRS 11 # 2a	<u>Space Allocation and Utilization Files.</u> Documents created or maintained by offices responsible for the allocation, use, and release of building space. Included are requests for space, record of assignments, reports, surveys, records used for internal space planning, requests for adjustments, space layouts and floor plans, and related papers. Case filed by building.	Cutoff at close of fiscal year in which assignment is terminated, lease canceled, or when plans are superseded or become obsolete. Destroy 2 years after cutoff.
307-13 GRS 11 # 5	<u>Work Requests for Building Maintenance.</u> Request forms or work orders for building maintenance work.	Cutoff after work is performed or requisition canceled. Destroy after 3 months.
307-14 GRS 11 # 2b	<u>Space Reporting Files.</u> Documents relating to reporting agency space requirements and holdings.	
	a. Reports submitted to General Services Administration.	Cutoff at close of fiscal year. Destroy after 2 years.
	b. Other reports and related work papers.	Cutoff at close of fiscal year. Destroy 1 year after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	SECTION 8. TRAVEL, TRANSPORTATION AND MOTOR VEHICLE FILES	
	<u>Employee Travel Files.</u> See standard 703-01 for employee travel files maintained for accounting purposes. See standard 101-07 for employee travel files maintained for administrative purposes.	
308-01	<u>Passport Files.</u> Requests for passport actions, notification for passport services, receipts, clearances, action control cards, correspondence, and related papers generated in obtaining passports for personnel performing foreign travel. Files are maintained by the office responsible for securing passports and visas.	Destroy when employee is separated, or when passport has expired without request for renewal, or when revoked, whichever is earlier.
308-02	<u>Transportation Request Accountability Records.</u> Records documenting the issue or receipt of accountable papers involved in travel and transportation functions, such as Standard Form 1120.	Destroy one year after all entries on the records are cleared.
308-03	<u>Bills of Lading Register Files.</u> Registers used to account for bills of lading.	Destroy 3 years after final entry on register.
308-04	<u>Government Losses in Shipment Act Files.</u> Freight records relating to the Government Losses in Shipment Act consisting of schedules of valuables shipped and related papers and reports.	Cutoff file at close of fiscal year. Destroy 3 years after cutoff.
308-05 GRS1 #25	<u>Motor Vehicle Operator Files.</u> Documents relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, violations, and related correspondence.	Cutoff at close of fiscal year in which operator is separated, transferred, or upon rescission of authorization to operate Government vehicle. Destroy after 3 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
308-06 GRS 10 # 2, 4 & 5	<u>Motor Vehicle Report Files.</u> a. Accident Reports. b. Maintenance Reports. c. Operating Reports. d. Other Vehicle Reports.	Cutoff at close of fiscal year in which case is closed. Destroy after 6 years. Cutoff at close of fiscal year. Destroy after 2 years. Cutoff at close of fiscal year. Destroy after 3 months. Cutoff at close of fiscal year. Destroy after 3 years.
308-07 GRS 10 # 6	<u>Vehicle Release Files.</u> Documents accumulated in the transfer by sale, donation, or exchange of motor vehicles.	Cutoff at close of fiscal year in which vehicle leaves agency. Destroy after 4 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 4. PERSONNEL MANAGEMENT RECORDS SECTION 1. GENERAL PERSONNEL PROGRAM FILES	
401-01 GRS 1 #1	Official Personnel Folders. Documents accumulated to provide an official record of personnel actions pertaining to an employee's status and service. The Federal Personnel Manual specifies the documents required for inclusion in official personnel folders. a. Folders of employees transferred to another agency. b. Folders of separated employees.	Follow instructions in FPM. Transfer folders of employees to inactive file in accordance with instructions in FPM. Transfer folders to National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, Missouri 63318, 30 days after separation except as provided in the FPM.
401-02 GRS 1 #10	Temporary Materials in Official Personnel Folders. Material maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual.	Destroy after 1 year or upon transfer (except in a transfer of functions) or separation of employee, whichever is sooner.
401-03 GRS 2 #2	Employee Master Control File. Computer printout documents used to provide a comprehensive record of positions, employees, and personnel actions by organizational entities. These files are used in lieu of Standard Form 7.	Place in inactive file after transfer or separation of employee. Cutoff inactive file at close of fiscal year. Destroy after 3 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
401-04	<u>Personnel Statistical Reports.</u> Records created in the preparation, coordination, and consolidation of regular and special personnel reports to the Civil Service Commission (CSC). Included are reports on Federal civilian employment, acquisition of handicapped persons, and geographical distribution of employment; biennial reports on occupations; other comparable reports; and related papers.	Cutoff at close of fiscal year. Destroy after 2 years.
401-05	<u>Employee Locator Files.</u> Consisting of information such as: Name, social security number, submission date, current residence address, emergency locator information and office address, telephone numbers.	Destroy when superseded or obsolete.
401-06 GRS1 # 6	<u>Employee Record Cards.</u> Used for informational purposes outside personnel offices (such as Standard Form 7-B).	Destroy upon separation of employee or forward to receiving agency if employee transfers.
SECTION 2. EMPLOYMENT FILES		
402-01	<u>Appointment Files.</u> Correspondence, letters, and telegrams offering appointments to potential employees. Arranged alphabetically by name. a. Accepted appointments. b. Declined appointments.	File on left side of official personnel folder. File inside application and destroy in accordance with 402-03.
402-02	<u>Active Applications for Employment.</u> Documents created in receiving applications, conducting interviews, making selections, and placing applicants qualified and available for employment. Included are applications for employment.	File on right side of official personnel folder if individual is employed. Place files of unsuccessful applicants in inactive file (402-03).

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
402-03	qualification rating sheets, control logs, applicant referrals, and related papers. <u>Inactive Applications for Employment.</u> Files established when decision is made that an applicant is not qualified, declines, or will not be selected for appointment for other reasons. Included are applications for Federal employment and related papers.	Cutoff at close of fiscal year. Destroy after 2 years or upon receipt of CSC report of inspection, whichever is earlier, providing the requirements in the Federal Personnel Manual are observed.
402-04	<u>Letters of Reference and Pre-employment Credit Report Files.</u> Correspondence and other documents regarding employment suitability. Includes letters to and replies from previous employers, personal and character references, retail credit checks, etc. a. Accepted applicants. b. Rejected applicants.	File in a plain manila envelope on left side of official personnel folder and destroy in accordance with 401-02. File inside application and destroy in accordance with 402-03.
402-05	<u>Certificate Files.</u> Requests for certificates of eligibles and certificates of eligibles for appointment.	Cutoff at close of fiscal year. Destroy after 2 years.
402-06	<u>Notification of Personnel Action Files.</u> Copies exclusive of those in Official Personnel Folders accumulated to provide a record for inspections, statistics, references, preparation of reports, etc. Arranged chronologically and maintained by personnel offices of LEAA.	Cutoff monthly. Destroy after 2 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
402-07	<u>Internal Promotion Plan Files.</u> Announcements, bids, copies of registers, and selected papers maintained by personnel offices.	Cutoff at close of fiscal year. Destroy 2 years after cutoff provided requirements of Federal Personnel Manual are observed.
402-08	<u>Position Vacancy Announcement Files.</u> Copies of promotion plan position vacancy notices maintained by personnel offices.	Cutoff at close of fiscal year. Destroy after 2 years.
402-09	<u>Reduction-In-Force Files.</u> <ul style="list-style-type: none"> a. Retention Registers. These are lists or printouts prepared before reduction-in-force for each competitive level affected by the reduction. b. Work Cards. Used in compiling retention registers. c. Notice to Employees and related papers. 	<p>Cutoff at close of fiscal year. Destroy after 2 years or if an appeal or court case is pending, destroy after the case is resolved, whichever is later.</p> <p>Destroy after RIF is completed, unless they are used as retention register.</p> <p>One copy is placed in official personnel folder of employee.</p>
402-10	<u>Employee Examination Records.</u> <ul style="list-style-type: none"> a. <u>Completed Test Materials.</u> These consist of test booklets in which answers have been recorded, and results recorded on test or qualification records. b. <u>Test Record of Individual Employees.</u> This is a record showing all test scores attained by an employee and is maintained on the right side of his official personnel folder. 	<p>Follow appropriate Civil Service Commission regulations.</p> <p>Follow instructions in the FPM.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	SECTION 3. EMPLOYEE PERFORMANCE AND UTILIZATION FILES	
403-01	<u>Incentive Awards Case Files.</u> Records documenting an employee suggestion or superior performance award. Arranged chronologically.	Cutoff upon close of fiscal year. Destroy after 2 years.
403-02	<u>Incentive Awards Report Files.</u> Awards program reports, including copies of feeder reports prepared within LEAA and copies of summary reports to Civil Service Commission.	Cutoff at close of fiscal year. Destroy after 2 years.
403-03	<u>Certificates of Performance Rating.</u> Excludes copies filed in official personnel folders.	Cutoff at close of fiscal year. Destroy after 2 years.
403-04	<u>Performance Rating Appeal Files.</u> Consist of copies of employee's appeals of his performance rating, copies of decisions rendered and other material pertaining to the case. Arranged alphabetically by employee name.	Cutoff at close of fiscal year in which final decision is made. Destroy 1 year after final action on case.
	SECTION 4. POSITION CLASSIFICATION AND JOB EVALUATION FILES	
404-01	<u>Position Description Files.</u> Documents which describe duties, responsibilities, and supervisory relationships of each position within the organization. These include copies of position descriptions of General Schedule and wage board positions, position description amendments, certifications, checklists or fill-in descriptions, multiple or standard descriptions and related papers. Papers in this series are maintained by the personnel office. Office copies of position descriptions are covered by standard 101-11.	Place in inactive file when position is abolished or superseded. Cutoff inactive file at close of fiscal year. Destroy after 5 years. Descriptions which may be of continuing value may be retained as non-record reference material.

HB 1330.2
Appendix 3-1

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
404-02	<u>Position Classification Surveys.</u> Documents created by performing systematic examination of the essential aspects of all positions and position design and structuring within an area. Included are position survey reports, records of classification surveys, position review certifications, Whitten Amendment review papers, recommendations, and related papers.	Cutoff at end of fiscal year following completion of subsequent survey of each unit. Destroy after 5 years. Surveys which may be of continuing value can be retained as non-record reference material.
	SECTION 5. EMPLOYEE RELATIONS AND SERVICES FILES	
405-01	<u>Appeals and Grievances Files.</u> Files related to reviewing, hearing, and disposing of employee grievances and appeals of adverse personnel actions and disciplinary measures. These include material pertinent to individual employees but not necessarily filed in the official personnel folder, such as reprimands, employee appeals of disciplinary actions, summaries and transcripts of hearings, designation of committee members, committee reports Civil Service Commission (CSC) reports and related papers. Arranged alphabetically by employee name.	Cutoff at close of fiscal year after final decision. Destroy 7 years after cutoff. Exception: Decisions designated as precedential by Director of Personnel Division, LEAA Central Office, are <u>permanent</u> .
405-02	<u>Employee Financial Statement Files.</u> Files for outside employment and financial interest and related papers. Arranged alphabetically by employee name.	Cutoff at close of fiscal year in which employee leaves a position for which a statement is required or when the employee leaves LEAA or statement is superseded, whichever is earlier. Destroy after 2 years.
405-03	<u>Employee Interview Files.</u> Documents which record counseling interviews, results of action taken and separation interviews. Arranged alphabetically by employee name.	Cutoff at close of fiscal year in which employee is transferred or separated. Destroy after 6 months.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
405-04	<u>Discrimination Complaint Case Files.</u> Documents created in investigating or requesting the investigation of formal and/or informal complaints of discrimination by employees of, and applicants for employment with, LEAA; resolving complaints; recommending or directing corrective action; and reporting information on the processing and disposition of each case. Included are copies of complaints, investigation reports, hearing transcripts or summaries, and related papers.	Cutoff at close of fiscal year after final decision. Hold 3 years and retire to FARC. Destroy 7 years after cutoff.
405-05	<u>Logs or Register of Visits to Dispensaries, First Aid Rooms, and Health Units.</u>	Cutoff at close of fiscal year in which last date on log or register is entered. Destroy after 2 years.
405-06	<u>Health Statistical Summaries and Reports.</u> Regarding employee health and related papers, retained by reporting unit.	Cutoff at close of fiscal year. Destroy after 2 years.
405-07	<u>Health Insurance Files.</u> a. Health Benefits Registration and Notices of Change in Enrollment Status Form, signed originals. Arranged alphabetically. b. Transmittal and Summary Report to Carrier, showing number of employees covered, added, dropped, etc. Arranged chronologically.	Cutoff at close of fiscal year in which employee is separated. Destroy after 4 years. Cutoff at close of fiscal year. Destroy after 4 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
405-08	<p><u>Health Record Case Files.</u> Files contain correspondence, reports, forms, and other papers documenting employee medical history. Arranged alphabetically by employee name.</p> <p>a. Pre-employment physical examination, Health Qualification Placement Records, disability retirement examination, and fitness for duty examination.</p> <p>b. All other papers.</p> <p>SECTION 6. EMPLOYEE TRAINING FILES</p>	<p>Upon separation, place in a sealed envelope and file on right side of official personnel folder. Destroy in accordance with 401-01.</p> <p>Destroy when file has been inactive for 5 years.</p>
406-01	<p><u>Individual Employee Training Files.</u> Case files containing applications for training, authorizations, schedules, reports of progress or attendance and related documents reflecting the training of individual employees. Arranged by office and thereunder alphabetically by employee name.</p>	<p>Cutoff at close of fiscal year in which training is completed. Destroy after 3 years.</p>
406-02	<p><u>Training Report Card Files.</u> Training achievement records and cards showing history of individual employees. Arranged alphabetically by employee name.</p>	<p>Destroy individual record upon separation of employee.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
406-03	<p><u>Training Report Files.</u> Consist of documents reflecting actual training progress and accomplishments. Along with directly related papers, this file includes Quarterly, Semi-Annual, or Annual reports of training accomplishments, summary reports, special training reports; ADP listings and reports of employee training; study reports; and coordinating actions. Maintained in LEAA Central Office.</p>	<p>Cutoff at close of fiscal year. Destroy 5 years after cutoff, or after Civil Service Commission review, whichever is sooner.</p>
406-04	<p><u>Tuition Assistance Files.</u> Documents reflecting individual employee participation in the tuition assistance program. Included are requests for and approvals or disapprovals for tuition assistance, college transcripts, grade reports, and related papers. Arranged by office and thereunder alphabetically by employee name.</p>	<p>Cutoff at close of fiscal year in which course is completed or 2 years after date of last action, if completion is unknown. Destroy after 3 years.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 5. INFORMATION AND PUBLIC RELATIONS RECORDS	
	SECTION 1. PUBLICITY AND PROMOTION FILES	
501-01	<u>Biographical Files.</u> Biographies, photographs, news- paper clippings, and related items pertaining to the LEAA Administrator and Deputy Administrators. Maintained in the Public Information Office.	Permanent. Cutoff when individual leaves. Hold 4 years and retire to FARC.
501-02	<u>Morgue Files.</u> Newspaper, magazine, and press service teletype clippings. a. Clippings regarding specific LEAA programs, activities, and personnel maintained by PIO. b. Other clippings of a general nature.	Permanent. Cutoff at close of FY. Hold 4 years and retire to FARC. Destroy after 1 year.
501-03	<u>Speech Files.</u> Copies of speeches and other papers created in the process of writing, reviewing, clearing, and delivering speeches by LEAA officials. a. Speeches delivered by the Administrator, Deputy Administrators, and Heads of Central and Regional Offices. b. All other speeches.	Permanent. Cutoff at close of FY. Hold 4 years and retire to FARC. Cutoff at close of FY. Hold 3 years and retire to FARC. Destroy 6 years after cutoff.
501-04	<u>News Releases.</u> Documents relating to the prep- aration, coordination, clearance, and dissemi- nation of information to any public communications media. The files include drafts, clearance documents, formal press releases, and related papers. Maintained in the releasing office.	Permanent. Cutoff at close of FY. Hold 1 year and retire to FARC.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
502-01	<p align="center">SECTION 2. CONGRESSIONAL RELATIONS FILES</p> <p><u>Congressional Investigation Files.</u> Documents accumulated as a result of investigations and studies of LEAA activities by congressional committees. Included are papers relating to the conduct of the investigation, information on the activities of investigating committees, analyses of committee reports, committee recommendations, and LEAA replies.</p> <p>a. Records maintained in office responsible for Congressional liaison.</p> <p>b. Records maintained in other offices.</p>	<p><u>Permanent.</u> Place in inactive file when investigation is closed. Cutoff inactive file at close of fiscal year. Hold 1 year and retire to FARC.</p> <p>Cutoff at close of fiscal year. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.</p>
502-02	<p><u>Congressional and White House Correspondence Files.</u> Correspondence, memoranda, reports, and other papers accumulated in the course of preparing replies to Congressional and White House inquiries.</p> <p>a. Papers containing policy and precedent and requiring extensive research which document relations with the Executive Office of the President and Congress.</p> <p>b. All other routine correspondence.</p>	<p><u>Permanent.</u> Cutoff at close of fiscal year. Hold 2 years and retire to FARC.</p> <p>Cutoff at close of fiscal year. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 6. LEGAL AND LEGISLATIVE RECORDS SECTION 1. GENERAL LEGAL FILES	
601-01	<u>Formal Legal Opinions Establishing Precedent.</u> Documents accumulated in researching and providing formal (numbered) legal opinions, establishing precedent, policies, and procedures regarding laws, regulations, directives, and decisions and their effect on the LEAA. Included are requests for opinions, background material, and citations of authority used in preparation of opinions, copies of opinions rendered, and related papers. Excluded are informal opinions, which are filed with the related case file for the project, inquiry, case, or other action to which the informal opinion pertains.	<u>Permanent.</u> Cutoff on obsolescence or discontinuance but retain in current files area.
601-02	<u>Opinion Digest.</u> Card indexes, digest cards, or other index documents reflecting title, brief, date, and file location of each opinion rendered by the General Counsel.	<u>Permanent.</u> Retain in current files.
601-03	<u>Patent Case Files.</u> Documents created in reviewing invention disclosures of employees and contractors to determine patenting, licensing, assignment, or other disposition action; investigating and disposing of infringement allegations and claims; reviewing use of contract clauses and actions concerning royalties; developing and providing information for use in patent infringement and interference litigation; and handling similar matters.	Place in inactive file when action is completed. Cutoff inactive file in 5 year blocks. Destroy after 25 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
601-04	<u>Legislation Files.</u> Documents created in preparing, reviewing, and commenting on proposed legislation, Executive Orders, proclamations, and reports. Included are background material, drafts, reviews, minutes of meetings, position papers, and related correspondence.	Permanent. Cutoff when legislation is enacted or dropped. Retire to FARC when no longer needed for current operations.
	SECTION 2. CLAIMS AND LITIGATION FILES	
602-01	<u>Claim Case Files.</u> Documents relating to claims by or against the LEAA resulting from personal injury, delinquent accounts, property losses, and other business transactions. a. Settled claims. b. Disallowed claims. c. Delinquent accounts.	Cutoff at close of fiscal year in which settlement is made. Destroy after 6 years. Cutoff at close of fiscal year in which disallowance decision is made. Destroy after 7 years. Cutoff at close of fiscal year in which delinquent account is settled. Destroy after 1 year.
602-02	<u>Litigation Case Files.</u> Documents relating to actual legal proceedings in which the LEAA has an interest. Included are advisory reports, investigation reports, litigation reports, statements of claims, copies of processes and pleadings, supporting documents, and related correspondence. a. Cases designated as significant or precedential by the General Counsel.	Permanent. Cutoff at close of fiscal year in which case is closed. Retain in current files.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	b. Other cases.	Cutoff at close of fiscal year in which case is closed. Destroy after 10 years.
	SECTION 3. LEGAL SERVICES FILES	
603-01	<u>Interpretation of Enacted Laws and Regulations.</u> Documents accumulated in providing legal advice and assistance on enacted legislation and interpreting the impact of laws and regulations on LEAA programs. Included are comments, interpretations, notes, and similar papers. Excluded are formal opinions of the General Counsel that establish precedent (601-01). Arranged by title of law or act, thereunder by section if volume warrants.	Permanent. Cutoff at close of fiscal year. Retire to FARC when no longer needed for current operations.
603-02	<u>Personnel Action Legal Assistance Case Files.</u> Documents accumulated in representing LEAA on personnel actions and other personnel matters. Excluded are documents relating to actual legal proceedings (602-02).	Cutoff at close of fiscal year. Destroy 5 years after cutoff.
603-03	<u>Procurement and Contract Activities Legal Case Files.</u> Documents accumulated in connection with providing pre-award contract advice; replying to protests of award; evaluating the LEAA position in complaints concerning contracts and contract disputes; making recommendations and determinations on adjustments of contracts and on contract claims asserted by a contractor against LEAA or by LEAA against a contractor. Included are copies of solicitation/contract; copies of protest or allegation; findings and recommendations; and related correspondence and supporting documents.	Place in inactive file when case is settled. Cutoff inactive file at close of fiscal year. Retire to FARC when no longer needed for current operations. Destroy 8 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
603-04	<u>Audit Legal Assistance Case Files.</u> Documents created by the Office of General Counsel in providing legal advice and assistance regarding legal problems and questions raised by audits and investigations of grants, loans, and contracts; resolution of audits; and reclamation of grant funds.	Place in inactive file when audit is closed. Cutoff inactive file at close of fiscal year. Retire to FARC when no longer needed for current operations. Destroy 8 years after cutoff.
603-05	<u>Grant Activity Legal Case Files.</u> Documents accumulated in providing legal advice and assistance on grant conditions and classes, complaints concerning grants and contracts under grants, appeals from denials of grant applications, questions of funding eligibility, grantee procurement policy and property management, and grantee financial management. Included are copies of complaints and inquiries, comments, reviews and recommendations, and related correspondence.	Place in inactive file when grant is terminated. Cutoff inactive file at close of fiscal year. Retire to FARC when no longer needed for current operations. Destroy 8 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 7. FINANCIAL MANAGEMENT RECORDS	
	SECTION 1. GENERAL FINANCIAL FILES	
701-01	<u>Records of Cash and Check Remittances Received and Forwarded.</u> Records pertaining to the receipt of checks payable to the U. S. Treasury and the transmittal of the checks to the LEAA Central Office with primary responsibility for deposit with the Treasury.	Cutoff at close of fiscal year. Destroy after 4 years.
701-02	<u>Accounting Officer Designee Files.</u> Records relating to the designation and revocation of accountable officers.	Cutoff at close of fiscal year in which revocation occurs. Destroy after 4 years provided account is cleared by GAO.
701-03	<u>Federal Personnel Surety Bond Files.</u> Copies of Federal personnel surety bonds and attached powers of attorney.	
GRS 6 # 7	a. Official copy.	Destroy 15 years after end of bond premium period.
	b. All Other Copies.	Destroy when bond becomes inactive or at end of bond premium period.
	SECTION 2. BUDGET FILES	
702-01	<u>Budget Administrative Files.</u> Documents accumulated in offices of operating officials which serve as management tools in the preparation of budget estimates and in coordination and execution of approved budgets. Includes work papers, cost statements, and rough data.	Cutoff at close of fiscal year. Destroy after 2 years.
GRS 15 # 2		

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
702-02 GRS 5 # 2	<u>Budget Estimates.</u> Budget estimates prepared or consolidated in LEAA Headquarters budget office comprising appropriation language sheets, narrative statements, and related schedules and data. Arranged chronologically.	<u>Permanent.</u> Cutoff at close of fiscal year. Hold 3 years and retire to FARC.
702-03 GRS 5 # 4	<u>Budget Working Files.</u> Work papers, cost statements and other data accumulated in preparation of projected fiscal programs and annual budget estimates and for budget review purposes, including duplicates of papers included in file copies of budget estimates.	Cutoff at close of fiscal year. Destroy after 1 year.
702-04 GRS 5 # 6	<u>Apportionment and Reapportionment Schedule Files.</u> Consist of schedules proposing quarterly obligations under each authorized appropriation. Arranged chronologically.	Cutoff at close of fiscal year. Destroy after 2 years.
702-05 GRS 5 # 5	<u>Budget Execution Report Files.</u> Files consist of periodic reports on the status of appropriation accounts and apportionments. Arranged alphabetically by report title and thereunder chronologically. a. End of Fiscal Year reports. b. All other reports.	Cutoff at close of fiscal year. Hold 1 year and transfer to FARC. Destroy 5 years after cutoff. Cutoff at close of fiscal year. Hold 1 year and transfer to FARC. Destroy 4 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	SECTION 3. ACCOUNTING AND DISBURSEMENT FILES	
703-01 GRS 9 # 40	<u>Passenger Transportation (Individual) Records.</u> Documents reflecting payments to individuals consisting of travel vouchers, requests, authorizations, vendor invoices, and other papers relating to official travel of LEAA employees, dependents, or others authorized to travel. Arranged alphabetically by name of employee. This standard applies to records maintained in accounting office. See standard 101-07 for travel files maintained in other offices for administrative purposes.	Cutoff file at close of fiscal year. Destroy 3 years after cutoff.
703-02 GRS 9 # 1a	<u>Passenger Transportation (Carrier) Records.</u> Documents reflecting payments to carriers, consisting of memorandum copies of vouchers (SF 1171a), memorandum copies of transportation requests (SF 1169a), and all supporting documents.	Cutoff file at close of fiscal year. Destroy 3 years after cutoff.
703-03 GRS 9 # 1a	<u>Freight Records (Carrier).</u> Consisting of memorandum copies of vouchers (SF 1113a), memorandum copies of bills of lading (SF 1130a and 1131a), and related supporting papers.	Cutoff file at close of fiscal year. Destroy 3 years after cutoff.
703-04 GAO	<u>Paid Voucher File (Vendor File).</u> Original and copies of paid invoices and vouchers. Includes bills of lading, imprest fund vouchers and schedules and GSA Schedule 789. Arranged alphabetically by name of vendor.	Cutoff at close of fiscal year. Hold 3 years and retire to FARC. (FARC will destroy in accordance with instructions of the General Accounting Office.)
703-05 GAO	<u>Voucher and Schedule of Payments.</u> Accounting and accomplished copies of Voucher and Schedule of Payments (SF 1166) documenting the disbursement of agency funds and used by the General Accounting Office to audit agency financial procedures.	Cutoff file at close of fiscal year. Hold 3 years and transfer to FARC. (FARC will destroy in accordance with instructions of the General Accounting Office.)

HB 1330.2
Appendix 3-1

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
703-06	<u>Request for Funds Files.</u> Grantee's Request for Funds, LEAA Form 151; Request for Advance or Reimbursement, LEAA Form 7160/3; and Grantee's Quarterly Authorization Request Under Letter of Credit Funding, LEAA-OLEP Form 158; used to post payments and prepare letters of credit to the States. Arranged alphabetically by State.	Cutoff file at close of fiscal year. Hold 1 year and transfer to FARC. Destroy 4 years after cutoff.
703-07	<u>Payment Vouchers on Letters of Credit.</u> Vouchers documenting payments made to States on the basis of letters of credit. Arranged chronologically by month.	Cutoff file at close of fiscal year. Hold 3 years and transfer to FARC. (FARC will destroy in accordance with instructions of the General Accounting Office.)
703-08	<u>Grant Accounting Files.</u> Copies of grant award, special conditions, grant adjustment notice, and "scratch" sheet used to account for the expenditure of funds. Arranged by budget activity and thereunder numerically by grant number.	Place in inactive file after funds expended or grant terminated. Cutoff inactive file at close of fiscal year. Hold 1 year and retire to FARC. Destroy 6 years after cutoff.
703-09	<u>Regional Office Grant Fiscal Files.</u> Copies of letters of credit, vouchers, financial status reports, and other papers maintained as a control in monitoring grants. Record copies are maintained in LEAA Central Office.	Cutoff at close of fiscal year. Destroy after 2 years.
703-10	<u>Records Relating to the Status of Funds.</u> Records relating to the availability, collection, custody, and deposit of funds. Includes appropriation warrants, cash receipts ledgers, and accounting copies of certificates of deposit.	Cutoff at close of fiscal year. Hold 1 year and transfer to FARC. Destroy 4 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
703-11	<u>Subsidiary Ledger Files.</u> Records used as posting and control media but subsidiary to the general and allotment ledgers. Includes Accounting Data Input Code Sheets, Batch Control Sheets, Statements of Transactions, Financial Status Reports, Report of Federal Cash Transactions, and Requests for Advancements or Reimbursements.	Cutoff at close of fiscal year. Hold 1 year and retire to FARC. Destroy 4 years after cutoff.
703-12	<u>Allotment Ledgers.</u> Computer printouts showing status of obligations and allotments under each authorized appropriation.	Cutoff at close of fiscal year. Hold 1 year and retire to FARC. Destroy 10 years after cutoff.
703-13	<u>General Accounts Ledgers.</u> Computer printouts showing debit and credit entries and reflecting expenditures in summary.	Cutoff at close of fiscal year. Hold 1 year and retire to FARC. Destroy 10 years after cutoff.
703-14	<u>Notice of GAO Exception Files.</u> Consist of General Accounting Office notices of exception both formal and informal, and related correspondence. Arranged chronologically.	Cutoff after exception is cleared by General Accounting Office. Destroy after 1 year
703-15	<u>Certificates of Settlement Files.</u> Documents reflecting the settlement of accounts of accountable officers, statements of differences, and related papers. a. Certificates covering closed account settlements and final balance settlement. b. Certificates showing periodic settlement.	Cutoff at close of fiscal year in which settlement is made. Destroy after 2 years provided certificate is cleared. Destroy when subsequent certificate of settlement is received.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	c. Schedules of Certificates of settlement of claims settled by General Accounting Office.	Cutoff at close of fiscal year in which claim is settled. Destroy after 2 years.
703-16	<u>LEEP Accounting File.</u> Documents relating to accounting required in connection with grants and loans under the Law Enforcement Education Programs. Includes quarterly billing statements, monthly listing of transactions, monthly check listings, and other posting and control media subsidiary to the general and allotment ledgers.	Cutoff at close of fiscal year. Hold 1 year and retire to FARC. Destroy 4 years after cutoff.
703-17	<p><u>LEEP Student Applications and Renewal Notes.</u> LEEP student applications, renewal notes, requests for deferment or cancellation, death certificates, notification of bankruptcy, confirmation or hardship, armed services notification, and other correspondence relating to participating students' obligation status.</p> <p>a. Uncollected loans/grants.</p> <p>b. Canceled or repaid loans/grants.</p>	<p>Transfer to GAO as soon as determined uncollectable.</p> <p>Place in inactive file upon cancellation. Cutoff inactive file at close of fiscal year. Hold 3 years and retire to FARC. FARC will destroy in accordance with instructions from GAO.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
704-01	<p style="text-align: center;">SECTION 4. PAYROLL FILES</p> <p>(NOTE: Department of Justice performs payrolling functions for LEAA and thus maintains most of these files.)</p> <p><u>Time and Attendance Reports.</u> Copies maintained by <u>Time and Attendance Clerks</u> for administrative purposes. Originals are forwarded to Department of Justice for payroll preparation. Arranged by pay period.</p>	<p>Cutoff at end of pay period. Destroy after 6 months.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 8. CONTRACTING AND PROCUREMENT RECORDS SECTION 1. PROCUREMENT FILES	
801-01	<u>Procurement Registers.</u> Registers maintained to record and control the assignment of numbers to contracts, purchase orders, invitations to bid, interagency agreements, requisitions and similar type documents and to record other data relative to processing of procurement actions.	Cutoff at close of fiscal year in which final entries are made on all procurement action entered for that year. Destroy after 6 years.
801-02	<u>Purchase Transaction Files.</u> Consist of documents relating to the initiation, administration, negotiation, award, inspection, testing, acceptance, and payment of purchase transactions. Arranged by purchase order number. a. Purchase orders or comparable instruments for amounts \$2,500 or less. b. Purchase orders or comparable instruments for amounts of more than \$2,500. c. Purchase order working files maintained by operating offices.	 Place in inactive file when transaction is completed. Cutoff inactive file at end of fiscal year. Destroy after 3 years. Place in inactive file when final payment is made. Cutoff inactive file at close of fiscal year and retire to FRC. Destroy 6 years after cutoff. Cutoff at close of fiscal year in which final payment is made. Destroy after 2 years.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
801-03	Bidder Records including records of qualified or disqualified bidders, bidders mailing lists, bidders list applications such as SF-129 and other similar or related papers.	Destroy when canceled or superseded, or when company is removed from qualified bidders list or similar record.
801-04	<p><u>Bid Files.</u> Case files of bids received from prospective contractors for various supplies, equipment, and/or services.</p> <p>a. Successful Bids.</p> <p>b. Unsuccessful Bids.</p>	<p>File in official contract or purchase transaction file.</p> <p>Cutoff at end of fiscal year in which denied. Hold 1 year and retire to FRC. Destroy 6 years after cutoff.</p>
801-05	<p><u>Unsolicited Proposal Files.</u> Consisting of individual and outside contractor's unsolicited proposals and supporting papers; LEAA findings and evaluations; acknowledgement receipts; denial information and other related papers.</p> <p>a. Awarded.</p> <p>b. Rejected.</p>	<p>Place in official contract or purchase transaction case file.</p> <p>Cutoff at end of fiscal year in which denied. Destroy after 1 year.</p>
801-06	<u>Official Contract Files.</u> These files consist of the following papers and are grouped as follows: A - Pre-award documentation; B - Successful contract proposal and supporting papers and contract; C - Modifications and supporting documents; D - Payment record;	

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	<p>E - Correspondence; F - Close-out documents such as project monitor evaluation and acceptance statement, final audit report, cost analysis, memorandum of final settlement, contractor's release, and evaluation of overall performance; G - Brief description of various type reports. Documents contained in the official contract file include such items as findings and determinations, patent information checklists, additional solicitation instructions and conditions, establishment of Evaluation Review Boards, minutes and reports thereto, contract proposal reviews, contract primary proposals, Rank Order evaluations, proposal numerical rating sheet, report and recommendations of proposals, classification of proposals by acceptability, approval of LEAA officials, record of contract negotiations, contract summary and approvals, equipment and materials specifications, and related documents and correspondence. Filed by contract number and maintained by Procurement Branch.</p> <p>a. Contracts for less than \$2,500.</p> <p>b. Contracts for more than \$2,500.</p>	<p>Place in inactive file when closed or upon final payment. Cutoff inactive file at close of fiscal year. Destroy after 3 years.</p> <p>Place in inactive file when closed or upon final payment. Cutoff inactive file at close of fiscal year. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.</p>

HB 1330.2
Appendix 3-1

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
801-07	<p>c. Contracts for more than \$25,000 which deviate from established precedents with respect to LEAA procurement programs, and contracts which have been selected as samples as described in chapter 3, section 5, of this handbook.</p> <p><u>Interagency Agreement Case Files.</u> Files which reflect formal agreement between Federal entities to perform services on reimbursable basis. Documents include preaward data such as contract status control; request for contract action; basic interagency agreement and sub-agreement; modifications and supporting papers; cost estimates and related data; voucher transfers between appropriations and/or funds; vouchers and schedules of withdrawals and credits; technical, financial, and other miscellaneous reports; press releases, information bulletings, and related papers.</p> <p>a. Sample case files selected in accordance with chapter 3, section 5, of this handbook.</p> <p>b. All other interagency agreement case files.</p>	<p>Permanent. Place in inactive file when closed or upon final payment. Cutoff inactive file at close of fiscal year. Hold 2 years and retire to FARC.</p> <p>Permanent. Place in inactive file when final payment is made. Cutoff inactive file at close of fiscal year. Retire to FARC when sufficient volume accumulates.</p> <p>Place in inactive file when final payment is made. Cutoff inactive file at close of fiscal year. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.</p>
801-08	<p><u>Indirect Cost Rate (A-88) Negotiation Agreement Files.</u> Consists of documents establishing indirect cost rates for use on grants and contracts with educational institutions and other research facilities. Includes copies of A-88 Negotiation</p>	<p>Cutoff when superseded by new indirect cost rate. Destroy after 3 years.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
302-01	<p>Agreement Form, copies of indirect cost rate audits, and related correspondence and other papers. Arranged by institution.</p> <p>SECTION 2. CONTRACT ADMINISTRATION FILES</p> <p><u>Contract Monitoring Case Files.</u> Working files maintained by offices and program/project monitors responsible for administering or monitoring LEAA contracts and interagency agreements to develop and improve law enforcement programs. Case papers include duplicate copies of documents found in the official contract or interagency agreement case file and additional back-up materials such as notes and working papers concerning contractor activities; evaluation of contractor proposals, submissions, and reports; copies of correspondence concerning sub-contractor activities; and routine communications pertaining to administering the individual contract or interagency agreement. Arranged by contract number.</p>	<p>Cutoff at close of fiscal year in which final payment is made. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 9. GRANT PROGRAM RECORDS	
	SECTION 1. GENERAL GRANT PROGRAM FILES	
901-01	<u>Grant Assignment Control Files.</u> Documents used to control the assignment of numbers and other identifying data to proposals or applications and grants. Included are index cards, logs, register sheets, and similar control records.	Destroy when no longer needed to control the assignment of grant or appropriation identification numbers.
901-02	<u>Grant Management Information Report Files.</u> These files consist of computer printouts containing descriptive and statistical data on grant administration. Information is used for management planning and program evaluation purposes. Reports are prepared periodically and in response to particular inquiries.	Destroy when superseded, obsolete, or no longer needed for reference.
901-03	<u>Grant Application Status Form Files.</u> Grant Application Status Forms maintained outside of the grant application case files and used to enter information into the grant tracking system.	Destroy after correction and verification of computer printout.
901-04	<u>Grant Award and Supplement Lists.</u> Documents reflecting academic assistance grants to institutions of higher education. Included are award lists and supplemental lists itemizing recipient institutions by state and award amount; recommendations of award; and signed authorizations approving recommended awards.	Cutoff at close of fiscal year in which all listed grants are terminated. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
901-05	<p><u>Grant Application/Proposal Case Files.</u> Documents accumulated in reviewing and recommending action on grant applications or proposals. Included are the application or proposal, evaluation papers, notes, recommendation for award or letter of denial, and related papers and correspondence.</p> <p>a. Declined applications or proposals.</p> <p>b. Accepted applications or proposals.</p>	<p>Cutoff at close of fiscal year in which action is completed. Hold 2 years and retire to FARC. Destroy 5 years after cutoff.</p> <p>File in appropriate grant case file at the time the grant is awarded.</p>
902-01	<p>SECTION 2. OFFICIAL GRANT CASE FILES</p> <p><u>Grant Case Files.</u> The records described below relate to the receipt, review, award, evaluation, and monitoring of Planning, Action, Discretionary, and all other types of grants awarded by the LEAA for law enforcement assistance programs authorized by the Omnibus Crime Control and Safe Streets Act of 1968, as amended.</p> <p>Disposal criteria given below apply to the following types of grants:</p> <ul style="list-style-type: none"> -- Planning (Part B) Grants -- Part C Block Action Grants -- Part E Block Grants -- OLEA Grants -- Discretionary Fund Grants -- Part E Discretionary Grants -- Technical Assistance 	

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	<ul style="list-style-type: none"> -- National Institute (except research and development grants, see item 1000-05) -- Systems and Statistics -- Training (Sections 402 and 407 of the Act) -- Educational Development -- LEEP Institutional Grants -- Internships -- Graduate Research Fellowships <p>a. <u>Official Grant Documents Files</u> (also known as "Valuable Papers" Files). Included in many cases are signed original grant documents. Case papers include, but are not limited to, grant applications; grant awards; special conditions; fiscal and program review checklists and memoranda; grant adjustment notices; financial, narrative progress, and monitoring reports; equipment and material specifications; and related papers and correspondence.</p> <p>(1) Sample grants.</p> <p>(2) All other grants.</p> <p>b. <u>Grant Monitoring Case Files</u>. Files maintained by organizational units and individuals responsible for monitoring or supervising grants. Included are duplicate copies of documents found in the official grant document file and additional back-up materials such as notes and work papers concerning grantee applications; submissions and reports; copies of correspondence concerning sub-grantee or</p>	<p>Place in inactive file upon termination (cancellation or normal expiration) of grant. Cutoff inactive file at close of fiscal year. Hold 3 years and retire to FARC. Prior to retirement (1) consolidate official case file with any monitoring file and (2) select sample grants in accordance with chapter 3, section 5, of this handbook.</p> <p><u>Permanent.</u></p> <p>Destroy 8 years after cutoff.</p> <p>Place in inactive file upon termination. Hold 3 years and consolidate grant monitoring case files with official (valuable papers) files. Disposition will be made in accordance with instructions for the official Grant Document Files.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	<p>subcontractor activities; and similar communications pertaining to monitoring the individual grant. While this material may in some instances be part of the official file, it is often maintained separately.</p> <p>c. <u>All Other Copies.</u> Included are duplicate working files and reference files such as copies of grants maintained in the LEAA Reading Room. Files consist SOLELY of duplicates of documents found in the official and/or monitoring case files.</p>	<p>Destroy when supersede^d, obsolete, or no longer needed for reference. In no case, however, should such files be kept more than 3 years after grant termination.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 10. CRIMINAL JUSTICE RESEARCH, STATISTICS AND INFORMATION SYSTEMS RECORDS	
1000-01	<u>Liaison Contact Files.</u> Documents accumulated in carrying out the liaison and coordination program which calls for regular and personal contacts and visits between NILECJ and NCJISS staffs and LEAA regional offices, State Planning Agencies, and other appropriate Federal agencies and research organizations. Includes trip reports, memos regarding visits, responses to inquiries resulting from visits, and similar papers. Arranged geographically by LEAA region, thereunder by type of agency.	Cutoff at close of fiscal year. Destroy after 3 years.
1000-02	<u>Research Statistics and Information Systems Technical Reference Files.</u> Consists of technical reports, studies, articles, special compilations of data, drawings, clippings, ADP printouts, and other non-record materials. Files are needed for reference and information purposes in conducting in-house study projects and designing and evaluating grant/contract projects but are not made part of official files. Prepared internally and externally.	Destroy when superseded, obsolete, or no longer needed.
1000-03	<u>Concept Paper Files.</u> Documents accumulated in the review and evaluation of pre-proposal papers submitted to LEAA briefly outlining proposed research and development projects. Included are concept papers received, review evaluation reports, rejection document or request for formal proposal and related correspondence. Arranged by fiscal year and thereunder alphabetically by name of submitter.	Place in inactive file upon completion of action on the concept paper (acceptance or denial). Cutoff inactive file at close of fiscal year. Hold 2 years and retire to FARC. Destroy 5 years after cutoff.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
1000-04	<p data-bbox="368 132 1171 324"><u>In-House Research, Statistics, and Information Systems Study Files.</u> Documents created and maintained by LEAA personnel in originating, planning, conducting, and reporting findings of studies and surveys regarding criminal justice research and development, statistics, and information systems.</p> <p data-bbox="368 358 1187 709">a. <u>Study or Survey Case File.</u> Includes documentation of formulation and approval of the study plan, methods used, and any evaluation statements; may include documents proposing or describing the study plan and its purpose; samples of approved forms/questionnaires used in data collection; copies of interim and final reports; documentation of clearance and approval, and release of report. (NOTE: See standard 303-01 for instructions regarding official file copies of published reports.)</p> <p data-bbox="368 743 1157 936">b. <u>Workpapers and Completed Questionnaires.</u> Includes completed questionnaires and letter responses, listing and tabulations, documents accumulated in analyzing data, drafts, and modifications to final report and other workpapers used in the course of the study.</p>	<p data-bbox="1221 358 1725 486">Permanent. Cutoff at close of fiscal year in which project is completed. Hold 3 years and retire to FARC.</p> <p data-bbox="1221 743 1755 871">Cutoff when project is completed. Destroy 3 years after publication or release of related study or survey.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
1000-05	<p>Research and Development Contract/Grant Project Files. These files relate to research projects conducted by grantees/contractors and funded and monitored by LEAA for the development of new or improved approaches, techniques, systems, equipment, and devices to improve law enforcement and criminal justice; and for behavioral research designed to provide information on the causes of crime and the effectiveness of various means of preventing crime and to evaluate the success of correctional procedures.</p> <p>a. <u>R&D Project Case File.</u> Case papers reflect a complete history of each project from initiation through research, development, design, and testing to completion. Included are a copy of each R&D contract, grant, or interagency agreement associated with the project including related modifications, changes, or addendums (NOTE: documents relating to contracts are duplicates of papers maintained in the official contract file described in item 801-06); project planning papers; project authorization documents; project specifications and drawings; project test and evaluation documents; project meetings papers; technical progress or test reports; and related correspondence. (NOTE: one copy of each publication resulting from an R&D project shall be maintained in the Publication Master Files, item 303-01.)</p>	<p><u>Permanent.</u> Cutoff at close of fiscal year in which project is completed. Hold 3 years and retire to FARC. <u>Exception:</u> 3 years after cutoff and at 3 year intervals thereafter, the Director, National Institute of Law Enforcement and Criminal Justice, will make a subsequent review in order to authorize destruction after 8 years of those grant files which he determines do not warrant continued retention for administrative or research purposes.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	<p>b. R&D Project Workpapers. Includes completed questionnaires and letter responses; listings and tabulations; copies of documents contained in project case files; preliminary or intermediate source data used for analysis and reference; correspondence concerning such administrative matters as travel, transportation, and transmittal of documents; and other workpapers used in the course of the study which are not appropriate for permanent retention because they have neither evidential nor informational long-term values.</p>	<p>Cutoff at close of fiscal year in which project is completed. Destroy after 3 years.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	<p data-bbox="409 266 1151 328">CHAPTER 11. TRAINING, EDUCATION AND TECHNICAL ASSISTANCE RECORDS</p> <p data-bbox="201 363 310 394">1100-01</p> <p data-bbox="374 363 1201 779"><u>Workshop, Conference and Seminar Training Project Files.</u> These files consist of documents accumulated in planning, arranging, conducting, and following-up on regional and national training projects. Included are papers reflecting project status, working papers and other background material, project accomplishments and papers such as invitations to and replies of speakers, lists of persons in attendance, copies of participants' travel vouchers, etc. Papers relating to projects or portions of a project performed under a grant or contract are maintained in the appropriate grant or contract case file.</p> <p data-bbox="201 817 310 848">1100-02</p> <p data-bbox="374 817 1201 1071"><u>Technical Assistance Case Files.</u> Documents relating to requests by grantee/contractors or other outside participant for technical assistance. Assistance may be provided by LEAA specialists or by contract specialists. Papers include the request and related forms and correspondence, activity report, and other records reflecting accomplishments.</p> <p data-bbox="374 1110 1201 1433"> a. Papers maintained in LEAA Central Office as a part of the contract monitoring file for the Technical Assistance contractor who provides the assistance. b. Papers maintained in LEAA Regional Offices as a separate file to document the receipt, processing, and subsequent actions on technical assistance requests performed by either LEAA or contract specialists. </p>	<p data-bbox="1231 363 1749 486">Cutoff at close of fiscal year in which project is completed. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.</p> <p data-bbox="1231 1102 1749 1164">Destroy in accordance with contract monitoring files (802-01).</p> <p data-bbox="1231 1264 1749 1356">Cutoff at the close of fiscal year in which action is completed. Destroy after 2 years.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 12. AUDIT AND INVESTIGATION RECORDS	
	SECTION 1. INTERNAL AUDIT FILES	
1201-01	LEAA Internal Audit Case Files. Documents accumulated in the review and examination of LEAA operations, by LEAA or Department of Justice auditors, to ensure accuracy, propriety, legality, and reliability of the use of assets. Included are communications about scheduled audits; draft and final audit reports; responses, comments, and recommendations; reports on corrective actions planned and taken; and related working papers.	Permanent. Cutoff at end of fiscal year in which audit is completed. Hold 4 years and retire to FARC.
	SECTION 2. GRANTEE/CONTRACTOR AUDIT FILES	
1202-01	State and Local Government Grant Audit Report Files. Consist of record copies of the final audit report of SPA's and selected subgrantees conducted by LEAA auditors and related papers concerning reviews and comments on draft reports by auditee of LEAA office with grant monitoring responsibility, reconciliation of recommendations and other responses, and other clearance documents. Includes also pertinent papers regarding audit resolutions and planned corrective actions. Arranged by State, thereunder by subject or grant.	Cutoff at close of fiscal year in which audit is closed. Destroy 7 years after cutoff. Exception: Audit reports designated as pre-cedential by the Director, Office of Audit, will be retained permanently.
1202-02	Other Grant Audit Report Files. Consist of record copies of the final audit report and related papers prepared by LEAA auditors for Institute grants, LEEP grants, technical assistance grants, and other grant categories except for the state and local government grants covered in standard 1202-01. Includes reviews and comments accumulated during clearance process and other papers regarding audit	Cutoff at close of fiscal year in which audit is closed. Destroy 7 years after cutoff. Exception: Audit reports designated as pre-cedential by the Director, Office of Audit, will be retained permanently.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
1202-03	<p>resolution and corrective action. Arranged by grant number.</p> <p><u>Grantee Audit Workpaper Files.</u> Documents accumulated in the review and examination by LEAA personnel of grantee/loanee operations to ensure accuracy, propriety, legality, and reliability in the use of LEAA grant funds. Included is an index to sections and subsections of the workpapers, the audit guide cross-referenced to the working papers, administrative records and reports including audit assignment and control records, notes on entrance conference, copies of grant documents, summary sheets, reviews, analyses, appraisals and conclusions, drafts of the audit report cross-referenced to the workpapers, lists of findings and recommendations, copy of any previous report for that particular auditee, and other papers incident to the audit.</p>	Cutoff at close of fiscal year in which audit is closed. Destroy 7 years after cutoff.
1202-04	<p><u>Auditee Resources Files.</u> Background documents accumulated for every organization or activity subject to audit by LEAA personnel. Includes copies of SPA/subgrantee organizational and functional charts, pertinent policies and regulations, copies of State Comprehensive Plan, description of internal controls, copies of indirect cost negotiation agreements and cost allocation plans, copies of grant/contract awards and award approvals, Dun and Bradstreet reports, newspaper clippings, and similar reference materials.</p>	Destroy when superseded, obsolete, or no longer needed for reference.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
1202-05	<u>Audit Guidance Files.</u> Documents created in preparing, clearing, and issuing special instructions and guides for use by auditors, but not documents relating to instructions issued under the directives system. Included are record copies of audit guides and instructions, clearance actions and directly related papers.	Cutoff at end of fiscal year following supersession, cancellation, or discontinuance. Hold 3 years and retire to FARC. Destroy 10 years after cutoff.
1202-06	<u>Contract Audit Case Files.</u> Documents created as a result of examining contractor operations to protect the interest of the LEAA, to determine the reasonableness of costs, or for special purposes. Included are copies of contract proposals and contracts, communications with procurement officials, draft and final reports, comments and recommendations, and directly related working papers.	Cutoff at end of fiscal year in which audit is completed. Hold 2 years and retire to FARC. Destroy 11 years after cutoff.
1202-07	<u>Transmittal Audit Reports.</u> Consists of copies of all audit reports of LEAA grantees/contractors performed by other Federal agency audit staffs, State audit staffs, and accounting firms. In addition to final report of audit and pertinent workpapers, are comments and findings from LEAA review of the audit reports.	Cutoff at close of fiscal year in which audit is closed. Hold 3 years and retire to FARC. Destroy 7 years after cutoff.
1202-08	<u>GAO Audit Files.</u> Documents accumulated in coordinating arrangements for GAO audits and in making replies to and performing follow-up actions on reports of audit. Included are notifications of forthcoming audits, draft and final audit reports, informal inquiries, comments on findings and recommendations, follow-up actions, replies to GAO, and directly related papers.	<u>Permanent.</u> Cutoff at end of fiscal year following issuance of final GAO audit report. Hold 4 years and retire to FARC.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
1202-09	<p><u>Audit Control Registers.</u> Documents used to control the assignment of numbers and other identifying data to audit reports received and sent out. Included are log or register sheets, index cards, or similar controls.</p>	<p>Destroy when all reports listed thereon are disposed of.</p>
1203-01	<p>SECTION 3. INVESTIGATION FILES</p> <p><u>Investigative Files.</u> Case files developed in investigative actions concerning alleged violations of law, policy or regulations, unethical conduct and other irregularities of agency employees and those paid with LEAA funds. Includes investigations of operations of LEAA programs involving contractors, grantees, loanees, and vendors; related correspondence; and intelligence data received from other law enforcement agencies.</p> <p>a. Cases relating to violations of a sufficiently serious nature to be classed as felonies.</p> <p>b. All other cases.</p>	<p>Permanent. Cutoff at close of fiscal year in which all action on the investigation is completed. Hold 4 years and retire to FARC.</p> <p>Cutoff at close of fiscal year in which all action on the investigation is completed. Destroy after 4 years.</p>

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
	CHAPTER 13. CIVIL RIGHTS COMPLIANCE RECORDS	
1300-01	<u>Civil Rights Compliance Reports.</u> Documents accumulated as a result of the LEAA compliance reporting system. Included are civil rights compliance reports submitted by police agencies, courts and correctional institutions, and contractors; related correspondence; and ADP printouts.	Cutoff at close of fiscal year in which updated report is received. Destroy after 3 years.
1300-02	<u>Civil Rights Compliance Review Case Files.</u> Documents accumulated in performing pre-award, routine, and special reviews of the employment policies and procedures of police agencies, courts, and correctional institutions funded by LEAA and of contractor employment practices; reviewing and clearing reports of reviews, and recommending and directing corrective action or sanctions against contractors and recipients of LEAA funds. Included are minutes and reports of meetings and interviews conducted during the review, employee information reports, drafts and final review reports and recommendations, clearance actions, documents recommending or directing corrective action, and related papers and correspondence.	<u>Permanent.</u> Cutoff at close of fiscal year in which action on the review is completed. Hold 2 years and retire to FARC.

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
1300-03	<u>Civil Rights Complaint Case Files.</u> Documents created in investigating inquiries/complaints about discrimination in employment by construction contractors and by recipients of LEAA funds including police agencies, court and correctional institutions, and State Planning Agencies; preparing and reviewing investigation reports to determine if discrimination was practiced; resolving complaints, and directing and monitoring corrective actions. Included are complaints, requests for investigation, preliminary analyses and investigative reports, minutes or summaries of meetings and interviews, recommendations, clearance actions, investigative determinations, documents directing corrective action or sanctions, final reports, and related papers and correspondence.	Cutoff at close of fiscal year in which action on the case is completed. Hold 2 years and retire to FARC. Destroy 10 years after cutoff.
1300-04	<u>Complaint Control Logs.</u> Documents used to control the assignment of numbers and other identifying data to grant or contract equal employment inquiries/complaints. Included are log or docket sheets, index cards, and similar control records.	Destroy on completion of action on the inquiry/complaint.
1300-05	<u>Civil Rights Litigation Reference File.</u> Documents relating to actual legal proceedings on civil rights matters in which the LEAA or its grantees have an interest, although not necessarily as a litigant. Included are non-record material such as printed investigation reports, litigation reports, copies of processes and pleadings, communications with the Department of Justice and U.S. Attorneys, and similar papers maintained for reference purposes. Arranged by litigation case number.	Destroy when superseded, obsolete, or no longer needed for reference.

APR 16 1974

HB 1330 .2
Appendix 3-1

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
1300-06	<p><u>Civil Rights Project and Statistical Report Case Files.</u> Documents created in the preparation, coordination, and consolidation of regular and special studies, surveys, and reports on civil rights activities, functions, policies, and procedures. Included are reports on grantee/contractor employment, analyses and forecasts, studies of women and minority groups, and other comparable reports concerning various aspects of civil rights compliance activities. Arranged by project name or number.</p> <p>a. Study projects concerning significant research which contribute toward policy development, changes, or revisions.</p> <p>b. Other projects.</p>	<p>Permanent. Cutoff at close of fiscal year in which report or project is completed. Hold 3 years and retire to FARC.</p> <p>Cutoff at close of fiscal year in which report or project is completed. Hold 2 years and retire to FARC. Destroy 6 years after cutoff.</p>
1300-07	<p><u>Contractor Listings.</u> Documents reporting names, addresses, and facility locations of construction contractors subject to equal employment reporting requirements. Included are feeder reports (LEAA Forms 7400/1, Construction Projects) and directly related printouts and papers.</p>	<p>Cutoff at close of fiscal year. Destroy after 2 years.</p>

APPENDIX 3-2. INDEX TO DISPOSITION STANDARDS

A

Access to Classified Material Files	306-08
Accident, Motor Vehicle Report Files	308-06
Accountability	
Classified Documents Accountability Files	306-07
Forms, Transportation Requests Accountability Files	308-02
Accounting	
Grant Accounting Files	703-08
LEEP Accounting Files	703-16
Top Secret Document Accounting and Control Files	306-07
Accounting Officer Designee Files	701-02
Accounts Ledgers	
Allotment	703-12
General	703-13
Subsidiary	703-11
Action Grant Case Files	902-01
Actions, Personnel	
Legal Assistance Files	603-02
Notification Files	402-06
Active Applications for Employment Files	402-02
Administrative Files	
Budget	702-01
Office	101-06
ADP (see Automatic Data Processing)	
Agreements, Interagency Files	801-07
Allocation and Utilization of Space Files	307-12
Allotment Ledgers	703-12
Alphabetical Name Index	101-14
Analysis, Management Files	202-05
Announcement of Position Vacancy Files	402-08
Appeals of Contract Legal Files	603-03
Appeals and Grievances, Employee	
Adverse Actions and Disciplinary Measures	405-01
Performance Rating	403-04
Application/Proposal Case Files, Grant	901-05
Application Status Form Files, Grant	901-03
Applications for Employment	
Active	402-02
Inactive	402-03
Applications, Student, and Renewal Notes (LEEP)	703-17
Appointments, Potential Employee	402-01
Apportionment and Reapportionment Schedule Files	702-04
Appropriation and Apportionment Report Files	702-05
Art or Graphic Service	
Illustration Files	304-02
Job Control Files	304-01

APR 16 1974

Assignment Control Files, Grant	901-01
Assistance, Legal	
Audit Activities	603-04
Interpretations of Enacted Laws/Regulations	603-01
Personnel Matters	603-02
Procurement and Contract Activities	603-03
Assistance, Technical	
Contract Monitoring Files	802-01
Official Contract Files	801-06
Grant Files	902-01
Request Files	1100-02
Assistance, Tuition	406-04
Audit	
Control Registers	1202-09
Guidance Files	1202-05
Legal Assistance	603-04
Audit Records/Reports, Internal	1201-01
Audit Records/Reports, Grantee/Contractor	
Auditee Resources Files	1202-04
Contract Audit Files	1202-06
State and Local Grant Audit Files	1202-01
Other Grant Audit Files	1202-02
Transmittal Audit Reports	1202-07
Workpapers	1202-03
Audits, GAO	1302-08
Authorizations, Records Disposition	203-08
Automatic Data Processing	
ADP Source Data Cards	204-03
ADP Statistical Study Files	204-11
ADP Systems Planning Project Files	204-01
Civil Rights Compliance Survey Historical File	204-07
Error/Edit Listing Files	204-04
Grant Application Master File	204-08
Grants Management Information System Files	204-06
Juvenile Detention and Correction Facilities Master File	204-10
National Crime Survey Incident Master File	204-09
Systems Operations Specifications and Design	204-02
Awards, Incentive	
Case Files	403-01
Reports	403-02

B

Background Files for Management Surveys	202-06
Bidder Records	801-03
Bid Files	801-04
Bills of Lading Registers	308-03
Biographical Files	501-01

APR 16 1974

HB 1330.2
Appendix 3-2

Block Action Grant Case Files	902-01
Board of Survey and Loss or Theft Files	307-10
Bond Surety, Files	701-03
Budget	
Administrative Files	702-01
Estimates	702-02
Working Files	702-03
Building Maintenance, Work Requests	307-13

C

Cards	
ADP Source Data	204-03
Directives Issuance Record	203-03
Employee Record	401-06
Inventory Control	307-09
Job History, Printing and Publications	303-07
Publication Stock Record	305-04
Reports Control Record	203-10
Training Record	406-02
Career Management, Training Files	406-01
Carrier Records	
Passenger Transportation	703-02
Freight	703-03
Cash and Check Remittances Received and Forwarded	701-01
Catalog Files, Library	303-03
Certificates	
Classified Document Destruction	306-05
Performance Rating	403-03
Eligibles (for employment)	402-05
Settlement	703-15
Check Remittances and Cash Received and Forwarded	701-01
Chronological Files	
Executive	201-01
Reading	101-12
Civil Rights Compliance	
Complaint Case Files	1300-03
Compliance Reports	1300-01
Litigation Reference File	1300-05
Project and Statistical Reports	1300-06
Review Case Files	1300-02
Survey Historical File, ADP	204-07
Claims Case Files, Legal	
Contract	603-03
Other Claims	602-01
Classification Surveys, Position	404-02
Classified Documents	
Access Control Files	306-08
Container Security Files	306-09

APR 16 1974

Classified Documents (Cont)	
Destruction Certificates	306-05
Inventory Files	306-06
Receipt Files	306-04
Clearance, Personnel Security	
Case Files	306-01
Status Files	306-02
Coding Sheets, Property Management	307-07
Committee Management Files	201-02
Committee Operations Files	201-03
Communications	
Mail Control Files	305-02
Mailing Lists	305-05
Telephone Directories	302-01
Teletype Messages	302-02
Complaints, Discrimination, LEAA	405-04
Compliance, Civil Rights, Grantee/Contractor	
Complaint Control Logs	1300-04
Complaint Case Files	1300-03
Reports	1300-01
Review Files	1300-02
Concept Paper Files	1000-03
Conference, Seminar and Workshop Training Project Files	1100-01
Congressional Relations	
Congressional Investigations	502-01
Congressional and White House Correspondence	502-02
Contracting and Procurement	
Audit Case Files	1202-06
Contract Monitoring Files	802-01
Legal Activities, Disputes and Appeals	603-03
Official Contract Files	801-06
Contractor Listings, Construction (for Civil Rights Review)	1300-07
Control Files, Logs, Cards, Registers, etc.	
Audit Control Registers	1202-09
Civil Rights Complaint Control Logs	1300-04
Directives Control Cards	203-03
Forms Registers	203-07
Grant Number Control Files	901-01
Key (Room) Control Files	306-14
Mail Control Files	305-02
Printing Job Control Files	303-04
Reports Control Record Cards	203-11
Reports Control Case Files	203-10
Stock Control Cards	307-09
Top Secret Document Accounting Control Files	306-07
Visitor Control Files	306-11
Correspondence	
Congressional and White House Files	502-02
Program Correspondence Files	102-01

Cost Rates, Indirect	801-08
Credit, Letters of, Payment Vouchers	703-07
Credit Reports, Pre-employment, and Letters of Reference	402-04
Crime Survey, National Incident Master File	204-09

D

Data Processing Management (see Automatic Data Processing)	
Debarred/Disqualified Bidders Files	801-03
Description, Position	
Office Copies	101-11
Official (Personnel) Copies	404-01
Design, ADP Systems	204-02
Designations	
Paperwork Management Liaison Officer	203-01
Accountable Officer	701-02
Destruction Certificates, Classified Documents	306-05
Digest, Legal Opinion	601-02
Directives	
Directives Case History Files	203-04
Directives Issuance Record Cards	203-03
Directives Record Set, LEAA	203-02
Directives Reference Set, LEAA	101-15
Directory, Telephone	302-01
Disciplinary Action, Employee Appeals	405-01
Discretionary Grant Case Files	902-01
Discrimination Complaints, EEO	405-04
Dispensaries, Logs or Register of Visits	405-05
Disposition	
Authorizations for Records Disposition	203-08
Files Maintenance and Disposition Plans	101-01
Disputes, Contract (Legal Matters)	603-03
Documents, ADP Source, G.M.I.S.	204-05
Documents, Classified	
Accounting and Control, Top Secret	306-07
Container Security	306-09
Destruction Certificates	306-05
Inventory	306-06
Receipt	306-04
Security Inspections	306-10

E

Edit/Error Listing Files	204-04
Educational Development Grant Case Files	902-01
Emergency Preparedness	
Emergency Planning Files	301-01
Emergency Test and Exercise Files	301-02

APR 16 1974

Employee	
Appeals and Grievances	405-01
Examination and Tests	402-10
Financial Statements	405-02
Health Insurance	405-07
Health Records	405-08
Interview Files	405-03
Locator Files	401-05
Master Control File	401-03
Performance Rating Appeals	403-04
Property Issue or Charge-Out Files	307-03
Record Cards	401-06
Training Files	406-01
Employee Travel	
Accounting Files	703-01
Office Travel Files	101-07
Employment Applications	
Active	402-02
Inactive	402-03
Equal Employment Opportunity Complaints	405-04
Equipment Technical Manuals and Operating Instructions	307-01
Error/Edit Listing, ADP	204-04
Estimates, Budget	702-02
Evaluation, Program, Project Files	202-04
Examination	
Employment Tests	402-10
Medical	405-08
Exception, GAO, Notice of	703-14
Exercise, Emergency Preparedness	301-02
Excess Personal Property Files	307-11
Executive Chronological Files	201-01

F

Facilities Files, Office	101-06
Federal Personnel Surety Bond Files	701-03
Fellowships, Graduate Research, Grant Case Files	902-01
Files Maintenance and Disposition Plans	101-01
Financial Files, Office	101-06
Financial Statement, Employee	405-02
First Aid Rooms, Logs or Register of Visits to	405-05
Fiscal Files, Grant, Regional Office	703-09
Folders, Personnel	
Official	401-01
Office	101-09
Formal Legal Opinions Establishing Precedent	601-01

Forms	
Functional Files	203-05
Numerical Files	203-06
Registers	203-07
Freight Records (Carrier)	703-03
Functional Files (Forms)	203-05
Funds, Request for	703-06

G

GAO Audits	1202-08
GAO Exception, Notice of	703-14
General Accounts Ledgers	703-13
Government Losses in Shipment Act Files	308-04
Graduate Research Fellowship Case Files	902-01
Grant:	
Accounting Files	703-08
Application Master File	204-08
Application Status Form	901-03
Applications/Proposals	901-05
Assignment Control Files	901-01
Award and Supplement Lists	901-04
Case Files	902-01
Grant Fiscal Files, Regional Office	703-09
Legal Activity Files	603-05
Management and Information Reports	901-02
Management Information System Files	204-05
Monitoring Case Files	902-01
Official Document Case Files	902-01
Grantee/Contractor Audit Records	
Grant Audit Reports, State and Local Government	1202-01
Grant Audit Reports, Other	1202-02
Grantee Audit Workpaper Files	1202-03
Graphic Services	
Illustration Files	304-02
Job Control Files	304-01
Grievances and Appeals Files	405-01

H

Health	
Health Insurance Files	405-07
Health Record, Employee	405-08
Health Statistical Summaries and Reports	405-06
Health Units, Logs or Registers of Visits	405-05
History Card, Printing and Publications Job	303-07

APR 16 1974

History Files

Directives	203-04
Forms	203-06

I

Identification	306-12
Illustration Files, Art or Graphic Service	304-02
Inactive Applications for Employment	402-03
Incentive Awards	
Case Files	403-01
Reports	403-02
Index, Alphabetical Name	101-14
Indirect Cost Rate (A-88) Negotiation Agreements	801-08
Individual Personnel Files, Office	101-09
Information	
Grants Management Information Reports	901-02
Routine Requests for Information	101-04
Information Systems, Research and Statistics Records	
Concept Papers	1000-03
Contract/Grant Project Files	1000-05
In-House Study Files	1000-04
Liaison Contact Files	1000-01
Technical Reference Files	1000-02
In-House Research, Statistics and Information Systems	
Study Files	1000-04
Inspection, Safety and Security	306-10
Institute Grant Case Files	902-01
Institutional Grant Case Files, LEEP	902-01
Insurance, Health	405-07
Interagency Agreements	801-07
Internal Audit Files	1201-01
Internal Promotion Plan	402-07
Internship Grant Case Files	902-01
Interpretation of Enacted Laws and Regulations	603-01
Interviews, Employee	405-03
Inventory	
Classified Document	306-06
Property Inventory Lists	307-08
Stock Control Cards	307-09
Investigations, Congressional	502-01
Investigative Files, Alleged Violations	1203-01
Issuance, Directives, Record Cards	203-03

J

Job Control Files, Graphic Services	304-01
---	--------

Job Description Files	
Office Copies	101-11
Personnel (Official) Copies	404-01
Job, Printing and Publications	
Job Control Registers	303-04
Job History Card	303-07
Job or Project Files	303-05
Juvenile Detention and Correction Facilities Master File	204-10

K

Key Control, Security	306-14
---------------------------------	--------

L

Laws and Regulations, Legal Interpretations	603-01
LEAA Directives Record Set	203-02
LEAA Internal Audit Case Files	1201-01
Ledgers	
Allotment	703-12
General Accounts	703-13
Subsidiary	703-11
LEEP	
Accounting File	703-16
Institutional Grant Case Files	902-01
Student Applications and Renewal Notes	703-17
Legal and Legislative Records	
Audit Legal Assistance	603-04
Claims	602-01
Contract and Procurement Activities	603-03
Formal Opinions Establishing Precedent	601-01
Grant Legal Activity	603-05
Interpretation of Laws and Regulations	603-01
Legal Assistance, Personnel Actions	603-02
Patent Case Files	601-03
Proceedings	602-02
Legislation Files	601-04
Letters of Reference and Pre-employment Credit Reports	402-04
Letters of Transmittal (Routine)	101-04
Liaison Contact, Criminal Justice Research, Statistics and Information Systems	1000-01
Liaison Officer Designation, Paperwork Management	203-01
Library Catalog Files	303-03
Lists	
Contractor, Construction (Civil Rights Compliance)	1300-07
Error/Edit, ADP	204-04
Mailing	305-05
Records Retirement (Office Copies)	101-02
Records Retirement (Records Officer Copies)	203-09

APR 16 1974

Litigation Case Files	602-02
Litigation Reference File, Civil Rights	1300-05
Local and State Government Grant Audit Reports	1202-01
Locator Files, Employee	401-05
Logs	
Civil Rights Complaints	1300-04
Grant Assignment Control	901-01
Visits to Dispensaries, First Aid Rooms, and Health Units	405-05
Loss or Theft and Board of Survey Files	307-10
Losses in Shipment Act, Government	308-04
Lost and Found Files	306-15

M

Mail Control Files	305-02
Mailing Lists and Related Material	305-05
Maintenance Files, Building	307-13
Maintenance and Disposition Plans for Records	101-01
Management	
Committee Files	201-02
Information Reports, Grants Management	901-02
Paperwork, Liaison Officer Designation	203-01
Objectives	202-01
Office General Management Files	101-06
Management Surveys:	
Background Files	202-06
Case Files	202-05
Manpower Development Grant Case Files	902-01
Manpower Surveys	202-05
Manuals, Technical, and Operating Instructions for Equipment	307-01
Manuscript Files, Publications	303-02
Master Control File, Employee	401-03
Master Files, ADP	
Grant Application Master File	204-08
Juvenile Detention and Correction Facilities Master File	204-10
National Crime Survey Incident Master File	204-09
Master Files, Publications	303-01
Message (Teletype), Original	302-02
Messenger Service Files	305-03
Monitoring Files, Grants	902-01
Morgue Files	501-02
Motion Picture and Video Tape Files	304-04
Motor Vehicle	
Operator Files	308-05
Release Files, Vehicle	308-07
Reports	308-06

N

Name Index, Alphabetical	101-14
National Institute Grant Case Files	902-01
Negative Printing Plate Files	303-06
Negotiation Agreements, Indirect Cost Rate (A-88)	801-08
News Release Files	501-04
Notice of GAO Exception Files	703-14
Notification of Personnel Action Files	402-06
Numerical Files, Forms	203-06

O

Objectives, Management	202-01
Office Files	
Administrative Files	101-06
Facilities Files	101-06
Financial Files	101-06
General Management Files	101-06
General Personnel Files	101-08
Individual Personnel Files	101-09
Organization Reference Files	101-05
Personnel Locator Files	101-10
Supply Files	101-06
Officer Designation	
Accounting	701-02
Paperwork Management Liaison	203-01
Official Contract Files	801-06
Official Grant Document Files	902-01
Official Personnel Folders	401-01
Operating Instructions, Equipment Technical Manuals	307-01
Operations Files, Committee	201-03
Operator Files, Motor Vehicle	308-05
Opinions, Legal	
Formal Opinions Establishing Precedent	601-01
Opinion Digest	601-02
Organization Files	
Office Organization Reference Files	101-05
Organization Planning Files	202-02
Organization Planning Working Files	202-03
Original Message (Teletype) Files	302-02

P

Paid Vouchers (Vendor File)	703-04
Paperwork Management Liaison Officer Designation	203-01
Part B, Part C, and Part E Grant Case Files	902-01

APR 16 1974

Pass Files, Property	306-13
Passenger Transportation	
Carrier Files	703-02
Individual Files	703-01
Passport Files	308-01
Patent Case Files	601-03
Payments, Schedule of, and Voucher	703-05
Payment Vouchers on Letters of Credit	703-07
Performance, Employee	
Performance Rating Appeal Records	403-04
Performance Rating, Certificates of	403-03
Personal Property, Excess	307-11
Personnel, Office Files	
General Personnel Files	101-08
Individual Personnel Files, Unofficial	101-09
Personnel Locator Files	101-10
Personnel Management	
Legal Assistance	603-02
Master Control File, Employee	401-03
Notification of Personnel Action	402-06
Official Personnel Folders	401-01
Personnel, Federal, Surety Bond	701-03
Record Cards, Employee	401-06
Statistical Reports	401-04
Temporary Materials in Official Personnel Folders	401-02
Personnel Security	
Clearance Case Files	306-01
Clearance Status Files	306-02
Photograph Files	304-03
Plan	
Files Maintenance and Disposition Plan	101-01
Internal Promotion Plan	402-07
Planning Files	
ADP Systems Planning Files	204-01
Emergency Preparedness Planning Files	301-01
Organization Planning Files	202-02
Planning Grant Case Files	902-01
Plate, Negative Printing	303-06
Policy and Precedent, Office Reference Files	101-13
Position Classification Surveys	404-02
Position Description Files	
Office Copies	101-11
Personnel (Official) Copies	404-01
Position Vacancy Announcements	402-08
Postal Records	305-01
Precedent	
Office Policy and Precedent Reference Files	101-13
Legal Opinion Files	601-01
Pre-Employment Credit Report Files	402-04

APR 16 1974

HB 1330,2
Appendix 3-2

Preparedness, Emergency	301-01
Printing, Reproduction, and Publications	
Job Control Registers	303-04
Job History Cards	303-07
Job or Project Files	303-05
Negative Printing Plate Files	303-06
Procurement	
Contract Monitoring Files	802-01
Legal Assistance Files	603-03
Official Contract Files	801-06
Purchase Transaction Files	801-02
Registers	801-01
Program Correspondence Files	102-01
Program Evaluation Project Files	202-04
Project Files	
In-House Research, Statistics, and Information Systems	1000-04
Management Improvement	202-05
Printing and Publications	303-05
Program Evaluation	202-04
Research and Development Contract/Grant	1000-05
Workshop, Conference, and Seminar Training	402-07
Promotion Plan, Internal	402-07
Property	
Employee Issue or Charge-Out Files	307-03
Excess Personal Property Files	307-11
Passes	306-13
Record Receipts for Property	307-05
Transmittal and Coding Sheets, Property Management	307-07
Proposals/Applications, Grant	901-05
Proposals, Unsolicited, Contract	801-05
Publications	
Manuscript Files	303-02
Master Files	303-01
Reference Files	101-15
Requests for Publications	101-04
Stock Record Cards	305-04
Purchase Transaction Files	801-02

Q

Questionnaires, Completed	
In-House Research Projects	1000-04b
Contract/Grant Research Projects	1000-05b

R

Rating, Performance	
Appeal Files	403-04
Certificates	403-03

APR 16 1974

Reading or Chronological Files	
Executive	201-01
Office	101-12
Reapportionment and Apportionment Schedule Files	702-04
Receipt Files:	
Classified Document	306-04
Property Record	307-05
Record Set, Directives	203-02
Records Disposition	
Authorizations	203-08
Maintenance and Disposition Plans	101-01
Retirement Lists (Office Reference Copies)	101-02
Retirement Lists (Official Copies)	203-09
Reduction-In-Force	402-09
Reference Files:	
Letters of Reference for Employment	402-04
Office Organization Reference Files	101-05
Policy and Precedent Reference Files	101-13
Publications Reference Files	101-15
Technical Reference Files, Research and Development	1000-02
Vendor Reference Materials	307-02
Regional Office Grant Fiscal Files	703-09
Registers	
Audit Control	1202-09
Bills of Lading	308-03
Forms	203-07
Job Control (Printing)	303-04
Procurement	801-01
Reporting Requirements	203-12
Visits to Dispensaries, First Aid Rooms, and Health Units	405-05
Regulations and Enacted Laws, Interpretation	603-01
Rejected Applications for Employment	402-03
Release Files	
News	501-04
Vehicle	308-07
Remittances, Check and Cash, Received and Forwarded	701-01
Renewal Notes and Student Applications, LEEP	703-17
Report, Audit	
Contract	1202-06
Internal Audits	1201-01
State and Local Grant	1202-01
Other Grant	1202-02
Transmittal Audits	1202-07
Reporting Requirements Registers	203-11
Reports	
Appropriations and Apportionment	702-05
Civil Rights Compliance	1300-01
Civil Rights, Statistical	1300-06
Emergency Test and Exercise	301-02

APR 16 1974

HB 1330.2
Appendix 3-2

Reports (Cont)	
Grant Management Information	901-02
Health	405-08
Incentive Awards	403-02
Investigation	1203-01
Management Survey	202-05
Motor Vehicle	308-06
Personnel, Statistical	401-04
Supply Activity	307-06
Time and Attendance	704-01
Training	406-03
Reports Control	
Case Files	203-10
Record Cards	203-11
Requests	
Building Maintenance	307-13
Funds	703-06
Information or Publications	101-04
Technical Assistance	1100-02
Transportation	308-02
Requisitions	307-04
Research and Development Contract/Grant Project Files	1000-05
Research, Statistics, and Information Systems Records	
Concept Papers	1000-03
Contract/Grant Case Files	1000-05
In-House Study Files	1000-04
Liaison Contact	1000-01
Technical Reference	1000-02
Retirement Lists, Records	
Office Copies	101-02
Records Officer Copies	203-09
Review, Civil Rights Compliance Files	1300-02

S

Safety and Security Inspection Files	306-10
Schedule of Payments, Voucher and	703-05
Secret Document Accounting and Control	306-07
Security	
Classified Document Container Files	306-09
Clearance Case Files, Personnel	306-01
Clearance Status Files, Personnel	306-02
Inspections	306-10
Violations	306-03
Seminar, Workshops, and Conference Training Projects	1100-01
Settlement Files, Certificate of	703-15
Shipment Act Files, Government Losses in	308-04
Source Documents, ADP, GMIS	204-05

APR 16 1974

Space Management	
Allocation and Utilization Files	307-12
Requirements and Holdings Reports	307-14
Specifications, ADP Systems Design	204-02
Speech Files	501-03
State and Local Government Grants	
Audit Reports	1202-01
Official Document Case Files	902-01
Statistical Reports	
Civil Rights	1400-06
Health	405-06
Personnel	401-04
Statistics, Information Systems, and Research Records	
ADP Statistical Study Files	204-11
Concept Papers	1000-03
Contract/Grant Project Files	1000-05
In-House Study Files	1000-04
Liaison Contact Files	1000-01
Technical Reference Files	1000-02
Status Forms, Grant Application	901-03
Status, Funds	703-10
Stock, Publications Record Card Files	305-04
Study, In-House Research, Statistics and Information Systems	1000-04
Subsidiary Ledger	703-11
Supply Activity Reports	307-06
Supply Files, Office	101-06
Student Applications and Renewal Notes, LEEP	703-17
Study or Survey Case Files	1000-04
Supplement and Grant Award Lists	901-04
Surety Bond Files	701-03
Survey, Board of	307-10
Surveys	
ADP Studies (See ADP)	
Management	202-05
Position Classification	404-02
Research Statistics and Information Systems (In-House)	1000-04
Suspense Files	101-03
Systems	
GMIS Files	204-06
GMIS Source Documents	204-05
Systems Operation Specifications and Design Files	204-02
Systems Planning Project Files, ADP	204-01
Systems and Statistics Grant Case Files	902-01

T

Tapes, ADP	
Civil Rights Compliance Survey Historical File	204-07
Grant Application Master File	204-08

APR 16 1974

HB 1330.2
Appendix 3-2

Tapes, ADP (Cont)	
Grants Management Information System	204-06
Juvenile Detention and Correction Facilities Master File	204-10
National Crime Survey Incident Master File	204-09
Task Force (Committee) Files	201-03
Technical Assistance	
Contract Monitoring Files	802-01
Grant Case Files	902-01
Official Contract Files	801-06
Request Case Files	1100-02
Technical Manuals and Operating Instructions, Equipment	307-01
Technical Reference Files	1000-02
Telephone Directory Files	302-01
Teletype, Original Message	302-02
Temporary Materials in Official Personnel Folders	401-02
Test and Exercise, Emergency	301-02
Tests, Employment	402-10
Theft or Loss and Board of Survey	307-10
Time and Attendance Reports, Payroll	704-01
Top Secret Document Accounting and Control	306-07
Training	
Employee Case Files	406-01
Record Cards, Individual Employee	406-02
Report Files	406-03
Training Grant Case Files	902-01
Transactions, Purchase	801-02
Transitory Files	101-04
Transmittal	
Audit Reports	1202-07
Letters	101-04
Property and Coding Sheets	307-07
Transportation	
Passenger Records, Carrier	703-02
Passenger Records, Individual	703-01
Transportation Request Accountability Record	308-02
Travel, Employee	
Accounting Files	703-01
Office Travel Files	101-07
Tuition Assistance Files	406-04

U

Unsolicited Proposals, Contracts	801-05
Utilization and Allocation of Space Files	307-12

V

Vacancy Announcements, Position	402-08
---	--------

APR 16 1974

Vehicle, Motor	
Operator Files	308-05
Release Files	308-07
Reports - Accident, Maintenance, Operation	308-06
Vendor	
Lists and Performance Files	801-03
Paid Vouchers File	703-04
Reference Materials	307-02
Video Tape and Motion Picture Files	304-04
Violations, Security	306-03
Visitor Control Files	306-11
Visits to Dispensaries, First Aid Rooms, and Health Units, Logs or Registers	405-05
Vouchers	
Paid Vendor File	703-04
Payment, Letters of Credit	703-07
Schedule of Payments	703-05

W

White House and Congressional Correspondence	502-02
Work Requests for Building Maintenance	307-13
Working Files	
Budget	702-03
Organization Planning	202-03
Workpapers	
Contract Audit	1202-06
Grantee Audit	1202-03
In-House Research, Statistics, and Information Systems Study . .	1000-04b
Internal Audit	1201-01
Research and Development Contract/Grant Projects	1000-05b
Workshop, Conference and Seminar Training Project Files	1100-01