

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-423-85-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/16/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

ALL ITEMS EXCEPT THE ONES LISTED BELOW ARE ACTIVE

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1300-1 was superseded by DAA-0423-2018-0004-0001
Item 1300-2 was superseded by DAA-0423-2018-0004-0002
Item 1300-03 was superseded by DAA-0423-2018-0004-0003
Item 1300-04 was superseded by DAA-0423-2018-0004-0004
Item 1300-05 was superseded by DAA-0423-2018-0004-0005
Item 1300-06 was superseded by DAA-0423-2018-0004-0006
Item 1400-01 was superseded by DAA-0423-2018-0005-0001
Item 1400-02 was superseded by DAA-0423-2018-0005-0002

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NCL-42-3-85-1	DATE RECEIVED 8-5-85
1. FROM (Agency or establishment) U.S. Department of Justice		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Justice Programs		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER David W. Hickson	5 TELEPHONE EXT 724-7738	DATE 5-19-86	ARCHIVIST OF THE UNITED STATES <i>Frank R. Bunker</i>
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

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

A GAO concurrence is attached, or is unnecessary

B DATE	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
6/24/85	David W. Hickson <i>David W. Hickson</i>	Printing and Records Officer		
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)		9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
	<p>One copy of the entire OJP Handbook containing the records disposition schedule of 73 pages is attached. Those schedule items or standards describing records which have been approved previously as predecessor (LEAA) or GRS records have been lined out.</p> <p>Three copies of the pages containing the new or revised standards or items (pages 161-165) have been duplicated and are also attached.</p> <p>For the use of record center schedule conversion any previously approved standard or item renumbered on the new schedule attached has been noted.</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>Richard Williams</i> 2-25-86 NARA appraiser date</p> <p><i>Paula Merrill</i> 2-25-86 Agency representative date</p>			

Copies to Agency, NCF, K NMF, 5-30-86, emb

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**Chapter 14. Public Safety Officer Benefit Records**

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DESCRIPTION OF RECORDS

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CHAPTER 1. RECORDS COMMON TO MOST OFFICES

SECTION 1. OFFICE GENERAL ADMINISTRATIVE FILES

~~101-01~~ Files Maintenance and Disposition Plans. Documents such as OJP 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~~ Records Retirement Lists. Copies of documents created in retiring files to the Records Center 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 OJP Records Officer 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~~ Suspense Files. Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or a transitory paper being held for reference which may be destroyed on a given date. Examples of papers in suspense files are:

- a. A note or other reminder to submit a report or to take some other action.
- b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.
- c. Papers which may be destroyed in 30 days or less as being without further value.

Destroy after action is taken.

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.

Destroy on date under which suspended.

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~~101-04~~

DESCRIPTION OF RECORDS

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~~Transitory Files. 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:~~

Destroy after 90 days.

- ~~a. Requests for Information or Publications. 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.~~
- ~~b. Letters of Transmittal. Letters of transmittal that do not add any information to that contained in the transmittal material.~~
- ~~c. Quasi-Official Notices. 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.~~

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:

Transitory (JAN - MAY - SEP)
Transitory (FEB - JUN - OCT)
Transitory (MAR - JUL - NOV)
Transitory (APR - AUG - DEC)

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

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beginning of the fifth month, the contents of the folder containing the oldest material are destroyed and the folder reused for the current month.

~~101-05~~

~~Office Organization Reference Files. 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.~~

~~Destroy when superseded, obsolete, or no longer needed for reference.~~

~~101-06~~

~~Office Administrative Files. 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 OJP subject-numeric classification system or the files may be arranged according to the type of material as shown below:~~

~~Cutoff at close of fiscal year.
Destroy after 2 years.~~

- ~~a. Office General Management Files which include documents concerning internal office procedures, hours of duty, participation on charitable affairs, security and protective services, safety, involvement in similar matters not pertaining to the mission or function of the office.~~

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- b. Office Facilities Files. Include documents relating to custodian 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.
- c. Office Supply Files. 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.
- d. Office Financial Files. Papers that relate to the expenditure of funds incidental to the performance of the mission of the office, such 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.

~~101-07~~

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

Cutoff at close of fiscal year.
Destroy after 2 years.

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DISPOSAL INSTRUCTIONS

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.

~~101-09~~

Office Individual Personnel Files. Unofficial personnel folders ("operating folders") maintained by SPECIFICALLY DESIGNATED offices consist of documents which are duplicates of papers placed in official personnel folders maintained in the OJP 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, awards received, letters of appreciation/commendation, position descriptions, performance appraisals and comparable papers. Folders arranged alphabetically by employee name. NOTE: Offices not specifically designated to maintain operating folders MUST NOT create or maintain them.

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.

~~101-10~~

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~~

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.

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~~101-12~~

~~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.~~

~~Cutoff at close of fiscal year.
Destroy after 1 year or after reference value has been exhausted, whichever is sooner.~~

~~Exception: Applicable to the Assistant Attorney General's chronological file of outgoing correspondence comprised of letters signed by the AAG or copies of significant letters dispatched at lower levels but forwarded for personal information of the AAG. See Standard 201-01.~~

~~101-13~~

~~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.~~

~~101-14~~

~~Alphabetical Name Index. 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.~~

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~~101-15~~

~~Reference Publication Files. Copies of OJP 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

~~101-01~~

~~Program Correspondence Files. Correspondence, reports, forms, and other records pertaining to the administration and operation of OJP activities but excluding files described elsewhere in this handbook. Arranged according to the OJP Subject File Classification Systems.~~

a. Program Correspondence Files maintained at the office level or above. These files are accumulated by the AAG, Deputy AAG, and Heads of offices. They document policy-making decisions or significant program management functions.

Permanent. Cutoff at close of fiscal year. Hold 2 years and retire to WNRC.

b. Program Correspondence Files maintained at the division level and below.

Cutoff at close of fiscal year. Hold 2 years and retire to WNRC. Destroy 8 years after cutoff.

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CHAPTER 2. PLANNING AND MANAGEMENT RECORDS

SECTION 1. EXECUTIVE MANAGEMENT FILES

~~201-01~~

~~Executive Chronological Files. Chronological file consisting of copies of outgoing correspondence signed by the AAG or Deputy AAG and copies of significant letters dispatched at lower levels but forwarded for personal information of the Office of Administration.~~

~~Permanent. Cutoff at close of fiscal year. Hold 4 years and retire to WNRC.~~

~~201-02~~

~~Committee Management Files. 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.~~

~~Permanent. 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 WNRC.~~

~~201-03~~

~~Committee Operations Files. 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.~~

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a. Committee chairman, secretariat, or recorder's files which are designated as "office of record."

Permanent. 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

~~202-01~~

Management Objective Files. Documents that accumulate from the process of establishing short-, mid-, and long-range management objectives for the OJP. 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. The Office responsible for preparation of the plan.

Permanent. 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.

~~202-02~~

Organization Planning Files. Documents relating to the establishment of and changes in organization, functions, and relationships of OJP when

Permanent. Cutoff at close of fiscal year in which case is completed. Retain in current files area.

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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.

~~202-03~~

Organization Planning Working Files. 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~~

Program Evaluation Project Files. Documents accumulated in evaluating OJP program efforts to determine if goals were achieved, to assess the effectiveness of the program, and to identify successful and unsuccessful projects. 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 published report of the evaluation project shall be preserved permanently as required by standard 303-01.

Cutoff at close of fiscal year in which evaluation project is completed. Hold 3 years and retire to WNRC. Destroy 10 years after cutoff.

~~202-05~~

Management Survey Case Files. These consist of staff studies or management improvement projects regarding analyses of administrative policies and procedures, manpower surveys, organization and methods surveys and studies,

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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.

- a. Office conducting the survey or office sponsoring the contract to perform survey services.
- b. Office surveyed.

Permanent. Cutoff at close of fiscal year in which action is completed on survey. Hold 2 years and retire to WNRC.

Destroy on completion of next comparable survey or when no longer required for reference.

~~202-06~~

Management Survey Background Files. 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-finding or back-up purposes.

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.

SECTION 3. PAPERWORK MANAGEMENT FILES

~~203-01~~

Paperwork Management Liaison Officer Designations. Documents reflecting name and information about individuals designated to perform paperwork management duties in specific organizational entities of OJP. Includes designations for directives management officers, records liaison

Destroy when superseded by a new designation or when obsolete.

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officers, forms liaison representatives, and similar representatives. Maintained by the OJP Records Officer.

~~203-02~~

OJP Directives Record Set. Consisting of the official file copy of each internal and external directive. Included are OJP Notices, Instructions, Handbooks, Bulletins, Guidelines, and Manuals. This standard applies to the master set maintained by the office responsible for directives program.

a. Issuances related to agency program functions.

Permanent. Offer to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).

b. Issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Destroy when superseded or obsolete.

~~203-03~~

Directives Issuance Record Cards. Card files showing pertinent information about the directive such as directive identification number, subject or title, distribution, etc.

Place in inactive file when related directive is cancelled. Destroy when no longer needed for controlling the assignment of directives numbers.

~~203-04~~

Directives Case History Files.

a. Case files related to 203-02 (a).

See 203-02 a.

b. Case files related to 203-02 (b).

See 203-02 b.

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~~203-05~~

~~Forms Functional Files. A collection of forms, arranged by functional classification, used to assist in taking forms management actions as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms.~~

~~Destroy upon supersession or discontinuance of form.~~

~~203-06~~

~~Forms Numerical File. 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.~~

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

~~203-07~~

~~Form Registers. 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 cancelled, superseded, or transferred to new sheet or when no longer needed.~~

~~203-08~~

~~Records Disposition Authorizations. Documents created only by the OJP Records Management Office in requesting authority for the disposal of records. Included are Standard Form 115, Request for Authority to Dispose of Records, or similar forms, correspondence, and related papers.~~

~~Destroy when related records are destroyed or when no longer needed for administrative or reference purposes.~~

~~203-09~~

~~Records Retirement Lists. Papers maintained by the OJP Records Officer documenting the retirement of file to WNRC or similar storage areas. Included are Standard Forms 135 o4 similar lists and related papers.~~

~~Destroy when related records are destroyed or when no longer needed for administrative or reference purposes.~~

~~203-10~~

~~Reports Control Case Files. Case files maintained for each report created, cancelled, 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~~

~~Cutoff at close of fiscal year in which report is discontinued. Destroy after 2 years.~~

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	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.	
203-11	<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.
203-12	<u>Reporting Requirements Register.</u> Documents used for perpetual inventory of all reports issued under the reports management system. Included are cards, register sheets, catalogs, or similar documents.	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.
*203-13	<u>Files Maintenance and Disposition Plans.</u> Documents such as OJP Form 1337/1, Files Maintenance and Disposition Plan, which reflect file categories, disposal instructions, and other information about the files accumulated in individual file stations. This series is maintained by the OJP Records Officer. Individual office file copies of OJP Form 1337/1 are maintained under disposition standard number 101-01.	Destroy upon receipt of a revised plan.
SECTION 4. AUTOMATIC DATA PROCESSING MANAGEMENT FILES		
204-01	<u>ADP Systems Planning Project Files</u> Project files document the installation of an ADP system from	<u>Permanent.</u> Cutoff at close of fiscal year in which system is stabilized.

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	initial inception to final system operation. Files include documents containing definitions of the system, authorizing directives, source data, detailed studies reflecting advantages and disadvantages of alternate solutions, equipment requirements, tangible benefits, output requirements, schedule for completion, and related papers. Arranged alphabetically by title of ADP system.	Hold 1 year and retire to WNRC.
204-02	<u>Systems Operation Specifications and Design Files.</u> 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 tables, input/output document flow data, and similar operating instructions explaining how and when to use data system programs.	Dispose of when related magnetic tape records produced by the system have been blanked.
204-03	<u>ADP Source Data Cards.</u> Punched cards are 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	<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	<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	<u>Grants Management Information System Files.</u> These files contain descriptive and statistical data on	

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grants awarded by the OJP. 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.

a. Historical File.

Permanent. Offer to the National Archives when no longer needed for reference.

b. Master File.

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.

~~204-07~~

Civil Rights Compliance Survey Historical File. This file contains statistical information on the sex, ethnic background, and job classification of employees of criminal justice organization funded by OJP.

Permanent. Offer to the National Archives when no longer needed for reference.

~~204-08~~

Grant Application Master File. The Grant Application Master File contains descriptive and financial data relating to OJP grants. Information extracted from 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~~

National Crime Survey Incident Master File. This file contains statistical data relating to the rate, cost, demographic characteristics, and attitudes of victims of crime in various U.S. cities. The data is noncumulative and is used to prepare reports covering a limited time period.

Permanent. Offer to the National Archives when no longer needed for reference.

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~~204-10~~

~~Juvenile Detention and Correction Facilities Master File. 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.~~

~~Permanent. Offer to the National Archives when no longer needed for reference.~~

~~204-11~~

~~ADP Statistical Study Project Files. Files created as a result of a one-time survey, census, study, or other statistical research project and designed to collect data regarding criminal justice and law enforcement. Data is noncumulative and is used to prepare statistical reports covering a limited period of time.~~

~~Permanent. Offer to the National Archives when no longer needed for reference.~~

(NOTE: General Records Schedule No. 20, Machine-Readable Records, distributed by the National Archives and Records Administration should be consulted for disposition instructions on any machine-readable records not covered in the above standards, 204-01 through 204-10.

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CHAPTER 3. ADMINISTRATIVE SUPPORT RECORDS

SECTION 1. EMERGENCY PREPAREDNESS FILES

~~301-01~~

Emergency Planning Case Files. 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.

- a. Case file maintained by office responsible for preparation and issuance of plan which includes record copy of plan.
- b. Copies of plans other than those maintained in case files above.

Permanent. Cutoff when superseded or obsolete. Hold until no longer needed and retire to WNRC.

Destroy when superseded or obsolete.

~~301-02~~

Emergency Test and Exercise Files.

- a. Consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.
- b. Other papers accumulating from emergency operations tests such as instructions to participants, staff assignments, messages, tests of communications and facilities, copies of reports.

Permanent. Cutoff at close of fiscal year in which test is completed. Hold 2 years and retire to WNRC.

Cutoff at close of fiscal year in which test is completed. Destroy 3 years thereafter.

SECTION 2. COMMUNICATIONS FILES

~~302-01~~

Telephone Directory Files. 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.

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~~302-02~~

~~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 1 year thereafter.~~

SECTION 3. PUBLICATIONS MANAGEMENT, PRINTING
AND REPRODUCTION FILES

~~303-01~~

~~Publications Master Files. Official file copy of each OJP publication such as technical reports, booklets, pamphlets, posters, monographs, or other issuances published by the central or regional OJP 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 OJP Library.~~

~~Permanent. Cutoff when publication is superseded, cancelled, or 3 years after issuance, whichever is sooner. Hold 2 years and retire to WNRC.~~

~~303-02~~

~~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 2 years thereafter.~~

~~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.~~

~~303-04~~

~~Job Control Registers. Registers used to control the receipt of requisitions and work~~

~~Cutoff at close of fiscal year in which compiled or when register is filled,~~

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DISPOSAL INSTRUCTIONS

whichever is applicable. Destroy 1 year thereafter.

~~303-05~~

~~Job or Project Files. 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.~~

- ~~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.~~

~~Cutoff at close of fiscal year in which job is completed. Destroy 1 year thereafter.~~

~~Cutoff at close of fiscal year in which job is completed or requisition is cancelled. Destroy 4 years thereafter.~~

~~303-06~~

~~Negative Printing Plate Files. 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~~

~~Job History Card Files. 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.~~

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SECTION 4. ART, GRAPHICS, AND PHOTOGRAPH FILES

304-01	Graphic Services Job Control Files. Files contain graphic services requisition forms, requestor's notes or drawings or other instructions, notes to illustrators or graphic contractor. Arranged by job number.	Cutoff at close of fiscal year in which job is completed. Destroy 2 years thereafter.
304-02	Art or Graphic Service Illustration Files. 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	Photograph Files. Files consist of still photographic prints, negatives, and related caption material pertaining to OJP programs, functions, and important individuals or groups of individuals.	Permanent. Cutoff after 10 years and offer to the National Archives (MNV).
304-04	Motion Picture and Video Tape Files. Files consist of motion pictures and video tapes produced by or for OJP and used for promotional, educational, and information purposes.	Permanent. Cutoff after 10 years and offer to the National Archives (MNV).
	a. Record set maintained by OJP 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.	Permanent. Cutoff after 10 years and offer to the National Archives (MNV).
	b. Other copies.	Destroy when obsolete or no longer needed for reference.
	SECTION 5. MAIL, MESSENGER AND DISTRIBUTION FILES	
305-01	Postal Records. Files consist of Post Office forms and supporting papers such as receipts for	Cutoff at close of fiscal year. Destroy 1 year thereafter.

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DISPOSAL INSTRUCTIONS

STANDARD NUMBER	DESCRIPTION OF RECORDS	DISPOSAL INSTRUCTIONS
305-02	registered and certified mail, insured mail, and special delivery receipts and forms, reports of loss, etc. Arranged chronologically.	
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 1 year thereafter.
305-03	<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 3 months thereafter.
305-04	<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	<u>Mailing Lists and Related Material.</u>	
	a. Correspondence, request forms, and other records relating to changes in mailing lists.	Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier.
	b. Cards.	Destroy individual cards when canceled or revised.
	c. Plate or Stencil Mailing Lists.	Dispose of plates or stencils when canceled or revised.

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DISPOSAL INSTRUCTIONS

SECTION 6. SECURITY FILES

~~306-01~~

~~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 Office of Personnel Management 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.~~

- ~~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.~~
- ~~b. Case files containing derogatory information.~~
- ~~c. Case files containing no derogatory information.~~

~~Permanent. Cutoff at close of fiscal year in which action is completed. Hold 5 years and retire to WNRC.~~

~~Cutoff at close of fiscal year in which action is completed. Hold 5 years and retire to WNRC. Destroy 30 years thereafter.~~

~~Cutoff at close of fiscal year in which action is completed. Hold 2 years and retire to WNRC. Destroy 10 years thereafter.~~

~~306-02~~

~~Personnel Security Clearance Status Files. Records maintained in security units to show the security clearance status of individuals. Records may be in the form of lists, rosters, or cards.~~

~~Destroy when superseded, obsolete, or upon transfer or separation of related individual.~~

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DISPOSAL INSTRUCTIONS

~~306-03~~

Security Violations Files. Papers relating to investigations of alleged security violations. Included are investigative reports and related papers. Excludes papers placed in official personnel folders.

- a. Files relating to alleged security violations of a sufficiently serious nature to be classed as felonies.
- b. Other files relating to alleged security violations.

Permanent. Cutoff after fiscal year in which action is made. Hold 5 years then retire to WNRC.

Cutoff at close of fiscal year in which final corrective or disciplinary action is made. Destroy 2 years thereafter.

~~306-04~~

Classified Document Receipt Files. Papers relating to the receipt, transfer, and issue of classified documents maintained by other than control points.

Cutoff at close of fiscal year. Destroy 2 years thereafter.

~~306-05~~

Classified Document Destruction Certificates. Papers relating to the destruction of classified documents. Arranged chronologically. control poin

Cutoff at close of fiscal year. Destroy 2 years thereafter.

~~306-06~~

Classified Document Inventory Files. 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 2 years thereafter.

~~306-07~~

Top Secret Document Accounting and Control Files.

- a. Registers maintained at control points to indicate accountability over Top Secret

Cutoff at close of fiscal year in which documents shown on forms are downgraded,

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	documents, reflecting the receipt, dispatch, or destruction of the documents.	transferred, or destroyed. Destroy 5 years thereafter.
	b. Forms accompanying documents to insure continuing control, showing names of persons handling documents, intra-office routing, and comparable data.	Destroy when related document is downgraded, transferred, or destroyed.
306-08	Classified Material Access Files. 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.	Cutoff on transfer, reassignment, or separation of individual or when access authorization is withdrawn or cancelled. Destroy 2 years thereafter.
306-09	Classified Document Container Security Files. 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.	Destroy when superseded by a new form or list, or upon turn-in of containers.
306-10	Safety and Security Inspection Case Files. 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.	Cutoff at close of fiscal year. Destroy 3 years thereafter.
306-11	Visitor Control Files. 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 2 years thereafter.

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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 3 months thereafter.
306-14	<u>Key Control Files.</u> Documents relating to account ability for keys issued. Arranged by organizational unit.	Cutoff after turn-in of key. For areas under maximum security, destroy 3 years thereafter. For other areas, destroy 6 months thereafter.
306-15	<u>Lost and Found Files.</u> Reports, loss statements, receipts, and other papers relating to non-OJP lost and found articles.	Cutoff at close of fiscal year. Destroy 1 year thereafter.
SECTION 7. PROPERTY AND SPACE MANAGEMENT FILES		
307-01	<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.
308-02	<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.
307-03	<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 2 years thereafter.

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DISPOSAL INSTRUCTIONS

307-05	Property Record Receipt Files. Copies of purchase orders maintained as property receipt records.	Cutoff at close of fiscal year. Destroy 2 years thereafter.
307-06	Supply Activity Reports. Reports on supply requirements and procurement matters submitted for supply management purposes.	Cutoff at close of fiscal year. Destroy 2 years thereafter.
307-07	Property Transmittal and Coding Sheets. Papers used to document and control the acquisition, transfer, loan, and disposition of non-expendable property.	Cutoff at close of fiscal year. Destroy 1 year thereafter.
307-08	Inventory Lists. Inventories of capitalized and controlled property assets and property on loan.	
	a. Computer prepared inventories.	a. Cutoff at close of fiscal year. Destroy 2 years thereafter.
	b. Manually prepared inventories.	b. Cutoff when superseded or a new or revised inventory. Destroy 2 years thereafter.
*		
307-09	Inventory Control Cards. Inventory control cards used for stock control and property maintenance.	Place in inactive file under disposition or transfer of property. Cutoff at close of fiscal year. Destroy 2 years thereafter.
307-10	Board of Survey and Loss or Theft Files. Reports and other documents relating to the damage, loss, or theft of property.	
	a. Reports involving Pecuniary Liability.	Place in inactive file upon completion of final action. Cutoff inactive file at close of fiscal year. Destroy 10 years thereafter.
	b. All other reports.	Place in inactive file upon completion of final action. Cutoff inactive file

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DISPOSAL INSTRUCTIONS

at close of fiscal year. Destroy
3 years thereafter.

~~307-11~~

~~Excess Personal Property Files. Reports of
excess personal property and reports of the
transfer of excess personal property.~~

~~Cutoff at close of fiscal year. Destroy
3 years thereafter.~~

~~307-12~~

~~Space Allocation and Utilization Files.
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 can-
celed, or when plans are superseded or
become obsolete. Destroy 2 years there-
after.~~

~~307-13~~

~~Work Requests for Building Maintenance.
Request forms or work orders for building
maintenance work.~~

~~Cutoff after work is performed or
requisition canceled. Destroy 3 months
thereafter.~~

~~307-14~~

~~Space Reporting Files. Documents relating to
reporting agency space requirements and
holdings.~~

- ~~a. Reports submitted to General Services
Administration.~~
- ~~b. Other reports and related work papers.~~

~~Cutoff at close of fiscal year.
Destroy 2 years thereafter.~~

~~Cutoff at close of fiscal year.
Destroy 1 year thereafter.~~

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SECTION 8. TRAVEL, TRANSPORTATION AND
MOTOR VEHICLE FILES

Employee Travel Files. 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~~

Passport Files. 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~~

Transportation Request Accountability Records. 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~~

Bills of Lading Register Files. Registers used to account for bills of lading.

Destroy 3 years after final entry on register.

~~308-04~~

Government Losses in Shipment Act Files. 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 thereafter.

~~308-05~~

Motor Vehicle Operator Files. 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 3 years thereafter.

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~~308-06~~

Motor Vehicle Report Files.

a. Accident Reports.

Cutoff at close of fiscal year in which case is closed. Destroy 6 years thereafter.

b. Maintenance Reports.

Cutoff at close of fiscal year. Destroy 2 years thereafter.

c. Operating Reports.

Cutoff at close of fiscal year. Destroy 3 months thereafter.

d. Other Vehicle Reports.

Cutoff at close of fiscal year. Destroy 3 years thereafter.

~~308-07~~

Vehicle Release Files. 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 4 years thereafter.

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DISPOSAL INSTRUCTIONS

CHAPTER 4. PERSONNEL MANAGEMENT RECORDS

SECTION 1. GENERAL PERSONNEL PROGRAM FILES

~~401-01~~

~~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~~
- ~~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~~

~~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 when 1 year old or upon transfer (except in a transfer of functions) or separation of employee, whichever is sooner.

~~401-03~~

~~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 3 years thereafter.

~~401-04~~

~~Personnel Statistical Reports. Records created in the preparation, coordination, and consolidation of regular and special personnel reports to the Office of Personnel Management (OPM). Included are reports on Federal civilian employment,~~

Cutoff at close of fiscal year. Destroy 2 years thereafter.

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DISPOSAL INSTRUCTIONS

acquisition of handicapped persons, and geographical distribution of employment; biennial reports on occupations; other comparable reports, and related papers.

~~401-05~~

Employee Locator Files. 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~~

Employee Record Cards. 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~~

Appointment Files. Correspondence, letters, and telegrams offering appointments to potential employees. Arranged alphabetically by name.

a. Accepted appointments.

File on left side of official personnel folder.

b. Declined appointments.

File inside application and destroy in accordance with 402-03.

~~402-02~~

Active Applications for Employment. Documents created in receiving applications, conducting interviews, making selections, and placing applicants qualified and available for employment. Included are applications for employment, qualification rating sheets, control logs, applicant referrals, and related papers.

File on right side of official personnel folder if individual is employed. Place files of unsuccessful applicants in inactive file (402-03).

~~402-03~~

Inactive Applications for Employment. Files established when decision is made that an applicant is not qualified, declines, or will not be

Cutoff at close of fiscal year. Destroy after 2 years or upon receipt of OPM report of inspection, whichever is

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DISPOSAL INSTRUCTIONS

selected for appointment for other reasons. Included are applications for Federal employment and related papers.

earlier, providing the requirements in the Federal Personnel Manual are observed.

~~402-04~~

Letters of Reference and Pre-employment Credit Report Files. 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.

File in a plain manilla envelope on left side of official personnel folder and destroy in accordance with 401-02.

b. Rejected applicants.

File inside applications and destroy in accordance with 402-03.

~~402-05~~

Certificate Files. Requests for certificates of eligibles and certificates of eligibles for appointment.

Cutoff at close of fiscal year. Destroy 2 years thereafter.

~~402-06~~

Notification of Personnel Action Files 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 the Personnel Office.

Cutoff monthly. Destroy 2 years thereafter.

~~402-07~~

Internal Promotion Plan Files. 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~~

Position Vacancy Announcement Files. Copies of promotion plan position vacancy notices maintained by personnel offices.

Cutoff at close of fiscal year. Destroy 2 years thereafter.

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~~402-09~~

Reduction-In-Force Files.

- 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.

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.

Destroy after RIF is completed, unless they are used as retention register.

One copy is placed in official personnel folder of employee.

~~402-10~~

Employee Examination Records.

- a. Completed Test Materials. These consist of test booklets in which answers have been recorded, and results recorded on test or qualification records.
- b. Test Record of Individual Employees. This is a record showing all test scores attained by an employee and is maintained on the right side of his official personnel folder.

Follow appropriate Civil Service Commission regulations.

Follow instructions in the FPM.

SECTION 3. EMPLOYEE PERFORMANCE AND
UTILIZATION FILES

~~403-01~~

Incentive Awards Case Files. Records documenting an employee suggestion or superior performance award. Arranged chronologically.

Cutoff upon close of fiscal year. Destroy 2 years thereafter.

~~403-02~~

Incentive Awards Report Files. Awards program reports, including copies of feeder reports prepared within OJP and copies of summary reports to Civil Service Commission.

Cutoff at close of fiscal year. Destroy 2 years thereafter.

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DISPOSAL INSTRUCTIONS

~~403-03~~

~~Certificates of Performance Rating. Excludes
copies filed in official personnel folders.~~

~~Cutoff at close of fiscal year.
Destroy 2 years thereafter.~~

~~403-04~~

~~Performance Rating Appeal Files. 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~~

~~Position Description Files. Documents which
describe duties, responsibilities, and super-
visory relationships of each position within
the organization. These include copies of
position descriptions of General Schedule
and wage board positions, position description
amendments, certifications, check-lists 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 descrip-
tions 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 5 years thereafter. Descrip-
tions which may be of continuing value
may be retained as non-record reference
material.~~

~~404-02~~

~~Position Classification Surveys. 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 certification, 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~~

~~Appeals and Grievances Files. Files related to
reviewing, hearing, and disposing of employee~~

~~Cutoff at close of fiscal year after
final decision. Destroy 7 years after~~

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DISPOSAL INSTRUCTIONS

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, OPM reports and related papers. Arranged alphabetically by employee name.

cutoff. Exception: Decisions designated as precedential by Director of Personnel Division are permanent.

~~405-02~~

Employee Financial Statement Files. 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 OJP or statement is superseded, whichever is earlier. Destroy 2 years thereafter.

~~405-03~~

Employee Interview Files. 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 6 months thereafter.

~~405-04~~

Discrimination Complaint Case Files. Documents created in investigating or requesting the investigation of formal and/or informal complaints of discrimination by employees of, and applicants for employment with, OJP; 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 WNRC. Destroy 7 years after cutoff.

~~405-05~~

Logs or Registers of Visits to Dispensaries, First Aid Rooms, and Health Units

Cutoff at close of fiscal year in which last date on log or register is entered. Destroy 2 years thereafter.

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DISPOSAL INSTRUCTIONS

~~405-06~~

Health Statistical Summaries and Reports.
Regarding employee health and related papers,
retained by reporting unit.

Cutoff at close of fiscal year.
Destroy 2 years thereafter.

~~405-07~~

Health Insurance Files.

- 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 4 years thereafter.

Cutoff at close of fiscal year. Destroy 4 years thereafter.

~~405-08~~

Health Record Case Files. Files contain correspondence, reports, forms, and other papers documenting employee medical history. Arranged alphabetically by employee name.

- a. Pre-employment physical examination, Health Qualification Placement Records, disability retirement examination, and fitness for duty examination.
- b. All other papers.

Upon separation, place in a sealed envelope and file on right side of official personnel folder. Destroy in accordance with 401-01.

Destroy when file has been inactive for 5 years.

SECTION 6. EMPLOYEE TRAINING FILES

~~406-01~~

Individual Employee Training Files. 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.

Cutoff at close of fiscal year in which training is completed. Destroy 3 years thereafter.

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DISPOSAL INSTRUCTIONS

~~406-02~~

~~Training Report Card Files. Training achievement records and cards showing history of individual employees. Arranged alphabetically by employee name.~~

~~Destroy individual record upon separation of employee.~~

~~406-03~~

~~Training Report Files. 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 OJP Central Office.~~

~~Cutoff at close of fiscal year. Destroy 5 years after cutoff or after OPM review, whichever is sooner.~~

~~406-04~~

~~Tuition Assistance Files. 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.~~

~~Cutoff at close of fiscal year in which course is completed or 2 years after date of last action, if completion is unknown. Destroy 3 years thereafter.~~

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DISPOSAL INSTRUCTIONS

CHAPTER 5. INFORMATION AND PUBLIC RELATIONS RECORDS

SECTION 1. PUBLICITY AND PROMOTION FILES

~~501-01~~

~~Biographical Files. Biographies, photographs, newspaper clippings, and related items pertaining to the Assistant AG (OJP) and Deputy maintained in the Public Information Office.~~

~~Permanent. Cutoff when individual leaves. Hold 4 years and retire to WNRC.~~

501-03 ~~501-02~~

~~Speech Files. Copies of speeches and other papers created in the process of writing, reviewing, clearing and delivering speeches by OJP officials.~~

~~a. Speeches delivered by top OJP staffs.~~

~~Permanent. Cutoff at close of FY. Hold 4 years and retire to WNRC.~~

~~b. All other speeches.~~

~~Cutoff at close of FY. Hold 3 years and retire to WNRC. Destroy 6 years after cutoff.~~

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501-04 ~~501-03~~

~~News Releases. Documents relating to the preparation, coordination, clearance, and dissemination of information to any public communications media. The files include drafts, clearance documents, forms, press releases, and related papers. Maintained in the releasing office.~~

~~Permanent. Cutoff at close of FY. Hold 1 year and retire to WNRC.~~

SECTION 2. CONGRESSIONAL RELATIONS FILES

502-02 ~~502-01~~

~~Congressional and White House Correspondence Files. Correspondence, memoranda, reports, and other papers accumulated in the course of preparing replies to Congressional and White House inquiries.~~

~~a. Papers containing policy and precedent and requiring extensive research which document relations with the Executive Office of the President and Congress.~~

~~Permanent. Cutoff at close of fiscal year. Hold 2 years and retire to WNRC.~~

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b. All other routine correspondence.

Cutoff at close of fiscal year.
Hold 2 years and retire to WNRC.
Destroy 6 years after cutoff.

c. Notification to MC on grants awarded to states consisting of copies of grants and summary sheets. Filed by name of state.

Cutoff at close of fiscal year.
Hold 2 years and retire to WNRC.
Destroy 6 years after cutoff.

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CHAPTER 6. LEGAL AND LEGISLATIVE RECORDS

SECTION 1. GENERAL LEGAL FILES

~~601-01~~

Formal Legal Opinions Establishing Precedent. 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 OJP. 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.

Permanent. Cutoff on obsolescence or discontinuance but retain in current files area.

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~~601-02~~
601-04

Legislation Files. 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 WNRC when no longer needed for current operations.

SECTION 2. CLAIMS AND LITIGATION FILES

~~602-01~~

Claim Case Files. Documents relating to claims by or against the OJP resulting from personal injury, delinquent accounts, property losses, and other business transactions.

a. Settled claims.

Cutoff at close of fiscal year in which settlement is made. Destroy 6 years thereafter.

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b. Disallowed claims.

Cutoff at close of fiscal year in which disallowance decision is made. Destroy 7 years thereafter.

c. Delinquent accounts.

Cutoff at close of fiscal year in which delinquent account is settled. Destroy 1 year thereafter.

~~602-02~~

Litigation Case Files. Documents relating to actual legal proceedings in which the OJP has an interest. Included are advisory reports, investigation reports, litigation reports, statement 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. Retire to WNRC when no longer needed for current operations.

b. Other cases.

Cutoff at close of fiscal year in which case is closed. Destroy 10 years thereafter.

SECTION 3. LEGAL SERVICES FILES

~~603-01~~

Interpretation of Enacted Laws and Regulations. Documents accumulated in providing legal advice and assistance on enacted legislation and interpreting the impact of laws and regulations on OJP 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 WNRC when no longer needed for current operations.

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~~603-02~~

~~Personnel Action Legal Assistance Case Files. Documents accumulated in representing OJP 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 thereafter.~~

~~603-03~~

~~Procurement and Contract Activities Legal Case Files. Documents accumulated in connection with providing pre-award contract advise; replying to protests of award; evaluating the OJP 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 OJP or by OJP 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 WNRC when no longer needed for current operations. Destroy 8 years thereafter.~~

~~603-04~~

~~Audit Legal Assistance Case Files. 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 WNRC when no longer needed for current operations. Destroy 8 years thereafter.~~

~~603-05~~

~~Grant Activity Legal Case Files. 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 WNRC when no longer needed for current operations. Destroy 8 years thereafter.~~

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CHAPTER 7. FINANCIAL MANAGEMENT RECORDS

SECTION 1. GENERAL FINANCIAL FILES

~~701-01~~

Records of Cash and Check Remittances Received and Forwarded. Records pertaining to the receipt of checks payable to the U. S. Treasury and the transmittal of the checks to the OJP Central Office with primary responsibility for deposit with the Treasury.

Cutoff at close of fiscal year.
Destroy after 4 years.

~~701-02~~

Accounting Officer Designee Files. 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~~

Federal Personnel Surety Bond Files. Copies of Federal personnel surety bonds and attached powers of attorney.

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~~

Budget Administrative Files. 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.

~~702-02~~

Budget Estimates. Budget estimates prepared or consolidated in OJP Headquarters budget office comprising appropriation language sheets,

Permanent. Cutoff at close of fiscal year. Hold 3 years and retire to WNRC.

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	<p>narrative statements, and related schedules and data. Arranged chronologically.</p>	
702-03	<p><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.</p>	<p>Cutoff at close of fiscal year. Destroy after 1 year.</p>
702-04	<p><u>Apportionment and Reapportionment Schedule Files.</u> Consist of schedules proposing quarterly obligations under each authorized appropriation. Arranged chronologically.</p>	<p>Cutoff at close of fiscal year. Destroy after 2 years.</p>
702-05	<p><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.</p> <p>a. End of Fiscal Year reports.</p> <p>b. All other reports.</p>	<p>Cutoff at close of fiscal year. Hold 1 year and transfer to WNRC. Destroy 5 years after cutoff.</p> <p>Cutoff at close of fiscal year. Hold 1 year and transfer to WNRC. Destroy 4 years after cutoff.</p>
	<p>SECTION 3. ACCOUNTING AND DISBURSEMENT FILES</p>	
703-01	<p><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 OJP employees, dependents, or others authorized to travel. Arranged alphabetically by name of</p>	<p>Cutoff file at close of fiscal year. Destroy 3 years after cutoff.</p>

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employee. This standard applies to records maintained in accounting office. See standard 101-07 for travel files maintained in other offices for administrative purposes.

~~703-02~~

~~Passenger Transportation (Carrier) Records. 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~~

~~Freight Records (Carrier). 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~~

~~Paid Voucher File (Vendor File). 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 WNRC. (WNRC will destroy in accordance with instructions of the General Accounting Office.)~~

~~703-05~~

~~Voucher and Schedule of Payments. 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 WNRC. (WNRC will destroy in accordance with instructions of the General Accounting Office.)~~

~~703-06~~

~~Request for Funds Files. Grantee's Request for Funds, Form 151; Request for Advance or Reimbursement, Form 7160/3; and Grantee's Quarterly Authorization Request Under Letter of Credit Funding, and other records 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 WNRC. Destroy 3 years after cutoff.~~

~~703-07~~

~~Payment Vouchers on Letters of Credit. Vouchers documenting payments made to States on the basis~~

~~Cutoff file at close of fiscal year. Hold 3 years and transfer~~

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of letters of credit. Arranged chronologically by month.

to WNRC. (WNRC will destroy in accordance with instructions of the General Accounting Office.)

~~703-08~~

~~Grant Accounting Files. 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 WNRC. Destroy 6 years after cutoff.~~

~~703-10~~ 703-09

~~Records Relating to the Status of Funds. 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 WNRC. Destroy 3 years after cutoff.~~

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~~703-11~~ 703-10

~~Subsidiary Ledger Files. 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 WNRC. Destroy 3 years after cutoff.~~

~~703-12~~ 703-11

~~Allotment Ledgers. Computer printouts showing status of obligations and allotments under each authorized appropriation.~~

~~Cutoff at close of fiscal year. Hold 1 year and retire to WNRC. Destroy 10 years after cutoff.~~

~~703-13~~ 703-12

~~General Accounts Ledgers. Computer printouts showing debit and credit entries and reflecting expenditures in summary.~~

~~Cutoff at close of fiscal year. Hold 1 year and retire to WNRC. Destroy 10 years after cutoff.~~

~~703-14~~ 703-13

~~Notice of GAO Exception Files. 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.~~

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~~703-15~~ ~~703-14~~

~~Certificates of Settlement Files. 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.~~

SECTION 4. PAYROLL FILES

(NOTE: Department of Justice performs payrolling functions for OJP and thus maintains most of these files.)

*704-01

Time and Attendance Reports. Copies maintained by Time and Attendance Clerks for administrative purposes. Originals are forwarded to Department of Justice for payroll preparation. Arranged by pay period. Time and attendance reports may also be maintained in the Office General Personnel Files, disposition standard 101-08.

Cutoff at end of pay period.
Destroy after 2 years.

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CHAPTER 8. CONTRACTING AND PROCUREMENT RECORDS

SECTION 1. PROCUREMENT FILES

~~801-01~~

~~Procurement Registers. Registers maintained in 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 6 years thereafter.~~

~~801-02~~

~~Purchase Transaction Files. 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 \$10,000 or less.~~

~~Place in inactive file when transaction is completed. Cutoff inactive file at end of fiscal year. Destroy 3 years thereafter.~~

~~b. Purchase orders or comparable instruments for amounts of more than \$10,000.~~

~~Place in inactive file when final payment is made. Cutoff inactive file at close of fiscal year and retire to WNRC. Destroy 6 years thereafter.~~

~~c. Purchase order working files maintained by operating offices.~~

~~Cutoff at close of fiscal year in which final payment is made. Destroy 2 years thereafter.~~

~~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~~

~~Bid Files. Case files of bids received from prospective contractors for various supplies, equipment, and/or services.~~

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a. Successful Bids.

File in official contract or purchase transaction file.

b. Unsuccessful Bids.

Cutoff at end of fiscal year in which denied. Hold 1 year and retire to WNRC. Destroy 6 years after cutoff.

~~801-05~~

Unsolicited Proposal Files. Consisting of individual and outside contractor's unsolicited proposals and supporting papers; OJP findings evaluations; acknowledgement receipts; denial information and other related papers.

a. Awarded.

Place in official contract or purchase transaction case file.

b. Rejected.

Cutoff at end of fiscal year in which denied. Destroy 1 year thereafter.

~~801-06~~

Official Contract Files. These files consist of the following papers and are grouped as follows: A - Pre-award documentation; B - Successful contract proposals and supporting papers and contract; C - Modifications and supporting documents; D - Payment record; 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,

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contract primary proposals, Rank Order evaluations, proposal numerical, rating sheet, report and recommendations of proposals, classification of proposals by acceptability, approval of OJP 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 Contracts Branch.

a. Routine Procurement Files:

(1) Contracts for \$10,000 or less.

Place in inactive file when closed or upon final payment. Cutoff inactive file at close of fiscal year. Destroy after 3 years thereafter.

(2) Contracts for more than \$10,000.

Place in inactive file when closed or upon final payment. Cutoff inactive file at close of fiscal year. Hold 2 years and retire to WNRC. Destroy 6 years after cutoff.

b. Contracts for more than \$25,000 which deviate from established precedents with respect to OJP procurement programs, and contracts which have been selected as samples as described in chapter 3, section 5, of this handbook.

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 WNRC.

~~801-07~~

Interagency Agreement Case Files. 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

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miscellaneous reports; press releases, information bulletins, and related papers.

a. Sample case files selected in accordance with chapter 3, section 5, of this handbook.

Permanent. Place in inactive file when final payment is made. Cutoff inactive file at close of fiscal year. Retire to WNRC when sufficient volume accumulates.

b. All other interagency agreement case files.

Place in inactive file when final payment is made. Cutoff inactive file at close of fiscal year. Hold 2 years and retire to WNRC. Destroy 6 years after cutoff.

~~801-08~~

Indirect Cost Rate (A-88) Negotiation Agreement Files. 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 Agreement Form, copies of indirect cost rate audits, and related correspondence and other papers. Arranged by institution.

Cutoff when superseded by new indirect cost rate. Destroy after 3 years.

SECTION 2. CONTRACT ADMINISTRATION FILES

~~802-01~~

Contract Monitoring Case Files. Working files maintained by offices and program/project monitors responsible for administering or monitoring OJP 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

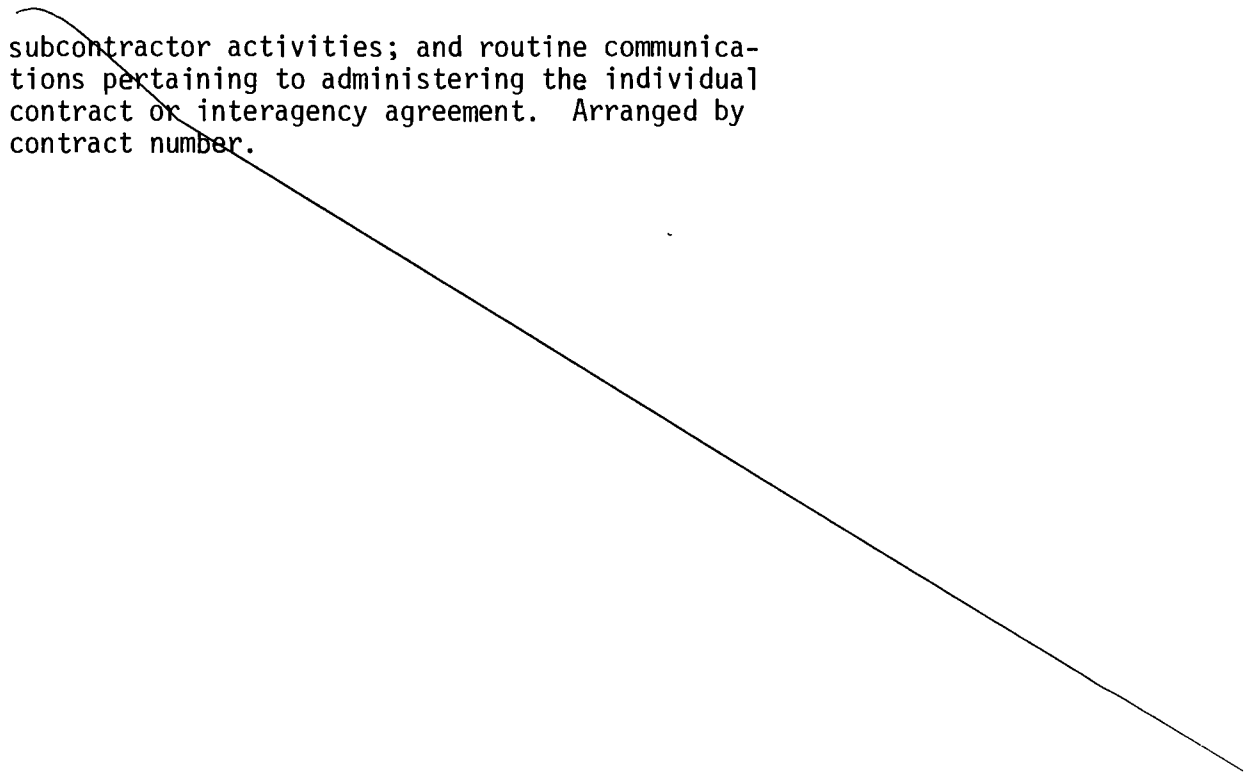
Cutoff at close of fiscal year in which final payment is made. Hold 2 years and retire to WNRC. Destroy 6 years after cutoff.

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subcontractor activities; and routine communications pertaining to administering the individual contract or interagency agreement. Arranged by contract number.



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CHAPTER 9. GRANT PROGRAM RECORDS

SECTION 1. GENERAL GRANT PROGRAM FILES

~~901-01~~

~~Grant Assignment Control Files. 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~~

~~Grant Management Information Report Files. 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~~

~~Grant Application Status Form Files. 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.~~

901-05

~~901-04~~

~~Grant Application/Proposal Case Files. 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.~~

~~a. Withdrawn and rejected applications.~~

~~Cutoff at close of fiscal year in which action is completed. Hold 2 years and retire to WNRC. Destroy 5 years after cutoff.~~

~~b. Accepted applications or proposals.~~

~~File in appropriate grant case file at the time the grant is awarded.~~

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SECTION 2. OFFICIAL GRANT CASE FILES

~~902-01~~

Grant Case Files. 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 OJP for law enforcement assistance programs authorized by the Omnibus Crime Control and Safe Streets Act of 1968, as amended.

Disposal criteria given below apply to the following types of grants:

- Technical Assistance
- National Institute (except research and development grants, see item 1000-05)
- Systems and Statistics
- Graduate Research Fellowships

a. Official Categorical/Block Grant Documents Files (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.

(1) Sample grants.

(2) All other grants.

b. Grant Monitoring Case Files. Files maintained by organizational units and individuals responsible for monitoring or supervising

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 WNRC. 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.

Permanent.

Destroy 8 years after cutoff.

Place in inactive file upon termination. Hold 3 years and consolidate grant monitoring case files with

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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 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.

official (valuable papers) files. Disposition will be made in accordance with instructions for the official Grant Document Files.

- c. All Other Copies. Included are duplicate working files and reference files such as copies of grants maintained in the OJP Reading Room. Files consist SOLELY of duplicates of documents found in the official and/or monitoring case files.

Destroy when superseded, obsolete, or no longer needed for reference. In no case, however, should such files be kept more than 3 years after grant termination.

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

~~1000-01~~

~~Liaison Contact Files. Documents accumulated in carrying out the liaison and coordination program which calls for regular and personal contacts and visits between the BJS staff 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.~~

~~Cutoff at close of fiscal year.
Destroy after 3 years.~~

~~1000-02~~

~~Research, Statistics and Information Systems Technical Reference Files. 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~~

~~Concept Paper Files. Documents accumulated in the review and evaluation of pre-proposal papers submitted to BJS 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 WNRC. Destroy 5 years after cutoff.~~

~~1000-04~~

~~In-House Research, Statistics, and Information Systems Study Files. Documents created and maintained by BJS personnel in originating, planning, conducting, and reporting findings of studies and surveys regarding criminal justice research and development, statistics, and information systems.~~

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a. Study or Survey Case File. 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.)

Permanent. Cutoff at close of fiscal year in which project is completed. Hold 3 years and retire to WNRC.

b. Workpapers and Completed Questionnaires. 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.

Cutoff when project is completed. Destroy 3 years after publication or release of related study or survey.

~~1000-05~~

Research Contract/Grant Project Files. These files relate to research projects conducted by grantees/contractors and funded and monitored by BJS for the development of new or improved methodologies, techniques, systems, equipment, and devices to improve law enforcement and criminal justice; and for statistical 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.

a. Case File. 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 contract, grant, or inter-agency agreement associated with the project including related modifications,

Permanent. Cutoff at close of fiscal year in which project is completed. Hold 3 years and retire to WNRC. Offer to NARA 10 years after cutoff.

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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 such projects shall be maintained in the Publication Master Files, item 303-01.)

- b. 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.

Cutoff at close of fiscal year in which project is completed. Destroy after 3 years.

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CHAPTER 11. TRAINING, EDUCATION AND TECHNICAL
ASSISTANCE RECORDS.

~~1100-01~~

~~Workshop, Conference and Seminar Training Project Files. 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.~~

~~Cutoff at close of fiscal year in which project is completed. Hold 2 years and retire. Destroy 6 years after cutoff.~~

~~1100-02~~

~~Technical Assistance Case Files. Documents relating to requests by grantee/contractors or other outside participant for technical assistance. Assistance may be provided by OJP specialists or by contract specialists. Papers include the request and related forms and correspondence, activity report, and other records reflecting accomplishments.~~

- ~~a. Papers maintained in OJP Central Office as a part of the contract monitoring file for the Technical Assistance contractor who provides the assistance.~~
- ~~b. Papers maintained in OJP Regional Offices as a separate file to document the receipt, processing, and subsequent actions on technical assistance requests performed by either OJP or contract specialists.~~

~~Destroy in accordance with contract monitoring files (802-01).~~

~~Cutoff at the close of fiscal year in which action is completed. Destroy 2 years thereafter.~~

STANDARD
NUMBER

DESCRIPTION OF RECORDS

DISPOSAL INSTRUCTIONS

CHAPTER 12. AUDIT RECORDS

1200-01

Audit Report Case Files.
Copies of Department of Justice and General Accounting Office audit reports resulting from the review and examination of agency operations. Included are agency formal responses to audit findings, reports on corrective action planned and taken, and related correspondence.

Destroy one year after all corrective actions on auditors recommendations have been taken by the agency.

STANDARD
NUMBER

DESCRIPTION OF RECORDS

DISPOSAL INSTRUCTIONS

CHAPTER 13. CIVIL RIGHTS COMPLIANCE RECORDS

1300-02
* ~~1300-01~~

Civil Rights Compliance Review Case Files. 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 OJP; reviewing and clearing reports of reviews, and recommending and directing corrective action or sanctions against contractors and recipients of OJP 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.

Permanent. Cutoff at close of fiscal year in which action on the review is completed. Hold ~~3~~ years and retire to WNRC.

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~~1300-01~~ 1300-02

Civil Rights Complaint Case Files. Documents created in investigating inquiries/complaints about discrimination in employment by recipients of OJP funds including police agencies, court and correctional institutions, private non-profit organizations and research institutions, 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 3 years and retire to WNRC. Destroy 10 years after cutoff.

* Handwritten item numbers are those from the previous edition of this manual. The typed, crossed off numbers are the operative item numbers for this job.

STANDARD
NUMBER

DESCRIPTION OF RECORDS

DISPOSAL INSTRUCTIONS

1300-03	<u>Resolution Agreement Monitoring Files</u> Documents accumulated as a result of OJP's responsibility to monitor Grantee's Civil Rights Compliance activities in accordance with their agreement.	Cutoff at end of 2 years monitoring period. Destroy one year later.
1300-04	<u>"No Jurisdiction" Correspondence.</u> Correspondence accumulated as a result of inquiries regarding cases where it has been determined that the agency has no jurisdiction in civil rights compliance.	Cutoff when determination has been made. Destroy 2 years thereafter.
1300-05	<u>Equal Employment Opportunity Program Review Files.</u> Files relating to OJP review of grantee Equal Employment Opportunity Program.	Cutoff after review is completed. Destroy 3 years thereafter.
1300-06	<u>Enforcement Employment Action Files.</u> Case files relating to OJP enforcement actions regarding grantee non-compliance with Civil Rights requirements and resulting in suspension or termination of grant.	Cutoff after resolution termination. Destroy 6 years thereafter.

STANDARD
NUMBER

DESCRIPTION OF RECORDS

DISPOSAL INSTRUCTIONS

1400-03

PSOB Claim Index Card File. Index card used for claim control and identification purposes. Includes claim number and summary information about the decedent and his survivors. Also includes administrative process data. *Serves to track progress of case only; contains no substantive information about a case.*

Place in inactive approved or denied file when claim is closed. Hold 10 years then destroy after verifying that basic claim data has been entered into the PSOB Automated Data Base (1400-04). Do not transfer to WNR.

1400-04

PSOB Automated Data Base File. Includes basic information on each claim. Data includes claim number, decedent's name, marital status, sex, date of death, age, occupation, level of government, state, cause of death, line of duty action, reason ineligible, process milestones, and a narrative describing the circumstances leading up to the decedent's death.

Permanent Offer ^{copy of} existing data base upon approval of schedule.

Offer future additions in 1 year blocks, by fiscal year, when all cases in that year are closed.

STANDARD
NUMBER

DESCRIPTION OF RECORDS

CHAPTER 14. PUBLIC SAFETY OFFICER BENEFIT RECORDS

1400-01

PSOB Claim Files. Includes claim forms signed by claimant and decedent's employer, certified copies of family documents, police or fire investigation records, and medical records including death certificate, autopsy/toxicology reports, and hospital records. Also included are original payment and denial documents, appeal determinations and correspondence relative to claim development and determination.

a. Original records

1. Authorization documents, investigation + medical records
2. Correspondence, payment documents, family documents.

b. Microfilm

This certifies that the records described above will be microfilmed in accordance with standards set forth in 36 CFR Part 1230

The microfilm will be stored in accordance with standards set forth in 36 CFR Part 1230.20. The first inspection of this film, required by 36 CFR Part 1230.22 will be carried out in 1988.

1400-02

PSOB Appeal Files. Includes original agency appeal determinations, and where applicable, copy of court decision, appeal hearing transcript, medical/legal advisory opinions, and correspondence relative to the appeal process.

NOTE: Original records may be retired to WNRC if microfilming is delayed significantly and retention in office space becomes a problem in terms of space and equipment utilization and costs.

- a. 1. Microfilm 3 years after final payment. Then transfer entire file to WNRC.
Destroy 6 years + 3 months after final payment.
2. Not authorized for microfilming. Transfer to WNRC with 1 above.
Destroy 6 years + 3 months after final payment.

b. Permanent.

Silver halide original negative plus one positive offer to National Archives 10 years after final payment. Transfer in 5 year blocks.

All other copies: Destroy when no longer needed for administrative use.

Place in inactive file when claim is closed. Consolidate appeal file with PSOB Claim File (1400-01) before microfilming.