

**DCAAM 5015.1**

**Files Maintenance and Disposition Manual**

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**Defense Contract Audit Agency  
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**CMR**

**Foreword**

This manual supersedes DCAA Manual 5015.1, *Files Maintenance and Disposition*, dated March 1990, and revisions 1 through 12.

It implements the requirements of DCAA Regulation 5015.2 by providing instructions for the maintenance and disposition of DCAA files. Its provisions are applicable to all elements of DCAA and govern the maintenance and disposition of all DCAA records. In addition, this manual implements the mandatory requirements of 36 CFR Chapter 12, section 1228.40, requiring the application of the General Records Schedules (GRS) disposition instructions to records that are common to many or all agencies.

Effective implementation of the policies and procedures set forth in this manual will ensure the success of the DCAA Records Management Program.

Recommendations for additions, deletions, and/or modifications to this manual are welcomed and should be addressed to Headquarters, Attn: Records Administrator, CMR.

| William H. Reed  
| Director

***Distribution:***  
C, G, P

# Chapter 1

## General

### A. -- Purpose.

To provide an official Agency medium for issuing policy statements and instructions relative to the maintenance and disposition of all DCAA records. (36 CFR 1220.30-38 and 41 CFR 201-9.101-3)

### B. -- Statutory Authority.

1. ***Files Maintenance.*** The statutory authority and the delegation of that authority are contained in DCAAR 5015.2, *Records Management*.

2. ***Disposal of Records.*** The disposal of records of the United States Government which have insufficient administrative, legal, research, or other value to warrant their further preservation is governed by the provisions of section 505(a) and 506(b) of the Federal Records Act of 1950 (44 USC 2904, 3101, 3102) and the Records Disposal Act (44 USC 3301). 44 USC 3309 prescribes that records pertaining to claims and demands by or against the Government of the United States, and accounts in which the Government is concerned either as debtor or creditor will not be destroyed without the written approval of the Comptroller General. Records created by DCAA in the course of the performance of official business will not be destroyed or removed without proper authority. It is against the law (44 USC 3106) to conduct unauthorized disposition of Federal records. Public law provides criminal penalties for the willful and unlawful destruction or removal of public records (18 USC 2071).

### C. -- Policy.

It is the policy of DCAA to ensure efficient management of files by:

1. Planning for the organizational placement of files; assigning responsibility for their maintenance; arranging files to facilitate their use; establishing procedures for adequate and proper documentation of the policies and transactions of DCAA; and establishing procedures to promote efficient and economical use of files equipment, personnel, supplies, and space.
2. Ensuring preservation of records of continuing value and systematic disposal of all other records.
3. Removing, when possible, less active records from office space to low-cost storage space at the expiration of their utility.
4. Providing safeguards against loss or unauthorized removal of DCAA records by reminding all employees annually of DCAA's recordkeeping policies and the sanctions provided for the unlawful removal or destruction of Federal Records (18 U.S.C.2071).

5. Ensuring that employees are informed of the requirements for identifying personal papers and maintaining them separately from official records.
6. Implementing the disposition periods provided by the General Records Schedules (GRS) for applicable records.
7. Distinguishing between records and nonrecord materials by appropriate application of the definition of records (see 44 U.S.C.3301 and 36 CFR 1220.14) to DCAA documentary materials and ensuring that nonrecord materials are maintained separately from office records.
8. Maintaining microform, audiovisual, and electronic records in accordance with 36 CFR parts 1230, 1232, and 1234.
9. Ensuring the delivery to the Government of all data needed for the adequate and proper documentation of contractor-operated programs.

#### **D. -- Responsibilities.**

##### 1. *Headquarters.*

a. ***Records Administrator, DCAA***, in addition to those responsibilities assigned in DCAAHI 5015.5, and DCAAR 5015.2, will:

(1) Review and submit a request to the National Archives, when justified by local situations, to retain files beyond the prescribed disposal date. Records approved for disposal shall not be maintained longer without the prior written approval of the National Archives. Upon expiration of an approved extension of retention periods, National Archives and Records Administration (NARA) will notify all affected agencies to apply normal retention requirements.

(2) Develop procedures to ensure that departing officials do not remove Federal records from DCAA custody.

b. ***Records Management Officer, Headquarters***, in addition to those responsibilities assigned in DCAAHI 5015.5, and DCAAR 5105.2, will be assigned the duties stated in D.2. below.

2. ***Records Management Officers***, in addition to those responsibilities assigned in DCAAR 5015.2, will:

a. Exercise staff supervision over the program for the maintenance and disposition of DCAA records.

b. Ensure that provisions of this manual are followed in the maintenance and disposition of DCAA records.

- c. Submit requests to the Records Administrator, DCAA, to retain files beyond the prescribed disposal date when justified by local conditions in the interest of economy and in cases of emergency.
- d. Ensure that records are properly arranged and packed prior to retirement to the appropriate Federal Records Center.
- e. Submit recommendations to the Records Administrator, DCAA, to establish appropriate disposal standards for categories of files not specifically identified in this Manual that accumulate at the rate of one or more cubic feet annually. Each such recommendation will include the title of the file, a description of the functions that the file documents, recommended retention period, the estimated volume of accumulation, and a citation to any DCAA or higher authority regulation(s) related to the functions reflected in the file.
- f. Review requests for files equipment and supplies prior to the initiation of supply action.
- g. Review adherence to the records management program in their area of responsibility to determine the adequacy of its filing program. Audit a representative sample of the files for duplication, misclassification, or misfiles.

#### **E. -- Definitions.**

1. **Accession.** Records in one series that have the same disposition authority and disposition date and that will be shelved in contiguous space in the records center.
2. **Adequate and Proper Documentation.** A record of the conduct of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of DCAA and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by DCAA's activities.
3. **Contingency Records.** Any record that must be held for final disposition after the occurrence of an event at some unspecified future time.
4. **Current Files Area.** Active files space, normally office space, utilized by the office or unit which creates the files, or files space of a records unit which maintains files for the offices or units creating them.
5. **Cutoff.** The breaking or ending of files at regular intervals to permit their disposal in complete file blocks. Under this process, a file is terminated regularly at the end of a specified period of time or after an event, and a new file is established.
6. **Destroy.** The destruction of files. Methods of destroying records include: burning, pulping, selling, or salvaging the record medium.
7. **Disposal.** Actions taken regarding temporary or nonpermanent records after their retention periods expire. Includes either destruction or in rare cases, donation.

8. **Disposition.** A comprehensive term which includes cutoff, retirement, transfer, or destroy.

9. **Disposition Standard.** A time period for cutoff, retirement, transfer, or destruction of a file. The term is used collectively to include the terms “cutoff standard,” “retirement standard,” “transfer standard,” and “disposal standard.”

10. **Documentary Materials.** A collective term for records, nonrecord materials, and personal papers that refers to all media containing recorded information, regardless of the nature of the media or method(s) or circumstances of recording.

11. **Federal Records Center.** A National Archives and Records Administration (NARA) facility established for the low-cost receipt, maintenance, servicing, and disposition of files which are required to be retired from current files areas or records holding areas in accordance with retirement standards because they can be maintained and administered more economically and efficiently in a records storage facility.

12. **Files.** The term “records” or “files” includes all letters, memorandums, messages and telegrams, papers, books, photographs, ADP printouts, microfilm, maps, machine-readable information, or any other documentary material, regardless of physical form or characteristics, created or received by offices of DCAA, accumulated or maintained in filing equipment, boxes, machine readable media, or on shelves and occupying DCAA office or storage space. The following materials will not be considered as files: Publications and blank forms stocked for filling requisitions; reference materials and books in formally organized and officially designated libraries; and reproduction materials.

13. **General Records Schedules (GRS).** A National Archives and Records Administration (NARA) issued schedule governing the disposition of specified records common to several or all agencies.

14. **Inactive Files Area.** An area set aside in less expensive space by a DCAA office for the purpose of maintaining inactive or cutoff records pending retirement to a Federal Records Center or destruction.

15. **Nonrecord materials.** Government-owned documentary materials that do not meet the conditions of record status or that are specifically excluded from status as records by statute (see 44 U.S.C.3301).

16. **Non-Textual Records.** A collective term usually applied to electronic, audiovisual, cartographic and remote-sensing imagery, and architectural and engineering records in contrast to manuscript and typescript paper records.

17. **Permanent Record.** Any record that has been determined by the National Archives and Records Administration (NARA) to have sufficient value to warrant its preservation by NARA.

18. **Personal Papers.** See Chapter 1, Section I.

19. **Record Status.** Documentary materials are records when they meet both of the following:

- a. They are made or received by DCAA under Federal law or in connection with the transaction of Agency business; and
- b. They are preserved or are appropriate for preservation as evidence of DCAA organization and activities or because of the value of the information they contain. (36 CFR 1222.34b.)

20. **Records.** The term “records” includes the same material as is included in the definition of the term “files,” except that “records” is the more inclusive term, covering the document from the time of its creation until the time of its disposal.

21. **Retirement.** The transfer of semicurrent and noncurrent records to a Federal Records Center.

22. **Series.** File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, have a particular physical form, or because of some other relationship arising out of their creation, receipt, or use.

23. **Transfer.** The movement of files to another Government agency, exclusive of the Federal Records Center.

## **F. -- Oversight**

National Archives and Records Administration (NARA) operates two different types of records facilities:

1. The Federal Records Centers provide temporary storage for records that are needed infrequently by the creating agency but are not yet eligible for disposal or transfer to the National Archives. These records remain in DCAA’s legal custody.
2. The National Archives stores the Federal Government’s permanent records, also known as the National Archives of the United States. When records are transferred to the National Archives, so is legal custody.

## **G. -- Installing the DCAA Files System**

The DCAA Files System is applicable to all DCAA records created on and after July 1, 1965, and will be installed according to the following schedule.

1. **Files Outline.** An office of record will need to use only a relatively few of the file numbers contained in DCAAM 5015.1. A file plan should be developed and kept current.
2. **Calendar-Year Files**

- a. Cut off all calendar-year files December 31.
- b. DCAA elements will organize files that are cut off on December 31 to conform to the files numbers and disposition standards contained herein.

### 3. *Fiscal-Year Files*

- a. Cut off all fiscal-year files September 30.
- b. DCAA elements will organize files that are cut off September 30 to conform to the files numbers and disposition standards contained herein.

## **H. -- Data Created Or Received And Maintained For The Government By Contractors**

Contractors performing Congressionally-mandated program functions are likely to create or receive data necessary to provide adequate and proper documentation of these programs and to manage them effectively.

1. DCAA shall specify the delivery to the Government of all data needed for the adequate and proper documentation of contractor-operated programs in accordance with recordkeeping requirements of 36 CFR Chapter 12, section 1222.48 and with requirements of the Federal Acquisition Regulation (FAR) and, where applicable, the Defense Federal Acquisition Regulation Supplement (DFARS).
2. When contracts involve the creation of data for the Government's use, in addition to specifying a final product, Agency officials may need to specify the delivery of background data that may have reuse value to the Government. Before specifying the background data that contractors must deliver to the Agency, program and contracting officials shall consult with Agency records and information managers, historians, and, when appropriate, with other Government agencies to ensure that all Agency and Government needs are met, especially when the data deliverables support a new Agency mission or a new Government program.
3. Include deferred ordering and delivery-of-data clauses and rights-in-data clauses in contracts whenever necessary to ensure adequate and proper documentation or because the data have reuse value to the Government.
4. All data created for Government use and delivered to, or falling under the legal control of, the Government are Federal records and shall be managed in accordance with records management legislation as codified at 44 U.S.C. Chapters 21, 29, 31, and 33, the Freedom of Information Act (5 U.S.C.552), and the Privacy Act (5 U.S.C.552a), and shall be scheduled for disposition in accordance with 36 CFR 1228.

## **I. -- Identification Of Personal Papers**

Personal papers are documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character that do not relate to or have an effect upon the conduct of Agency

business. Personal papers are excluded from the definition of Federal records and are not owned by the Government.

1. The following are examples of personal papers:
  - a. Materials accumulated by an individual prior to joining Government service that are not used subsequently in the transaction of Government business.
  - b. Materials relating solely to an individual's private affairs and do not relate to Agency business.
  - c. Diaries, journals, personal correspondence, or other personal notes that are not prepared, communicated, circulated, or used in the course of transacting Government business.
2. Personal papers should be clearly designated as such and should at all times be maintained separately from the office's records.
3. Materials designated "personal," "confidential," "private," or similarly designated, and used in the transaction of public business, **Are** Federal records subject to the provisions of pertinent laws and regulations.
4. If information about private matters and Agency business appears in the same document, the document shall be copied at the time of receipt, with the personal information deleted, and treated as a Federal record.

#### **J. -- Facsimile (FAX) Transmissions as Federal Records**

Facsimile transmissions have the same potential to be Federal records as any other documentary materials received in Federal offices. They are Federal records when they are

- (1) received in connection with Agency business **and**
- (2) appropriate for preservation as evidence of Agency organization and activities or because of the value of the information they contain.

Thermal paper facsimiles that are records should be reproduced on plain paper at the time of receipt, except in the case of transitory documents that do not need to be filed. The image produced on thermal paper facsimiles is highly unstable and will deteriorate significantly in a few years. Plain paper copies of facsimiles that are Federal Records should be filed in accordance with the records disposition schedules outlined in Chapter 6.



## Chapter 2

### Files Planning, Equipment, and Supplies

#### A. -- Files Planning.

1. **Purpose.** Planning the proper location of files is the first step in complying with the Federal Records Act of 1950: that all DCAA documentation is adequate and proper and that all DCAA records are economically and efficiently managed. Proper organizational location will reduce the volume of records created and maintained by reducing the number of duplicate copies generated; simplify correspondence practices by reducing the number of copies prepared; increase the accessibility of records; conserve files space; and minimize the need for files equipment and supplies.

2. **Concept.** As a general rule, a file should be maintained as near as practicable to the organizational element that uses it most frequently (Office-of-Record File Stations). However, particular records in an office of record are not always complete by themselves because of the sharing of responsibility for an action between two or more offices with each office being concerned with a different aspect of the action; but when compiled with those of other offices of record they can tell the complete story (Central File Stations). An example of a file which is frequently centralized because of wide interest is the record set of published issuances. Files are created and maintained to serve as administrative tools and many records must be excluded from central files; therefore, a coordinated network of central and office-of-record file stations may be required. Local situations based on efficiency, economy, and adequate documentation of functions will determine requirements for file stations.

#### 3. **Establishing File Stations.**

a. **Office-of-Record File Stations.** Office-of-record file stations are necessary when records must be excluded from central files. When establishing office-of-record file stations, Records Management Officers will be guided by the following criteria:

(1) Office-of-record file stations will be officially designated as such and will be responsible for the custody and maintenance of the permanent and temporary current records of the offices served.

(2) Avoid locating the records of offices unrelated by function in one office-of-record file station. The maintenance of records by the office primarily concerned with the function makes the files more useful, improves documentation of functions, and facilitates disposition of records.

(3) Records will be sufficiently accessible to the users to preclude the maintenance of duplicate files within the offices served. Maintenance of duplicate copies by users is prohibited. Reading files are not considered to be duplicate copies of files.

(4) Locate the station at the point of greatest activity for convenience of the users. If the records of an organizational element are normally used only by that element, it should be designated as the office-of-record file station.

(5) Records Management Officers will prepare a file station directory to serve as a connecting link between network stations.

4. **Central Files Stations.** When establishing central file stations, Records Management Officers will be guided by the following criteria:

- a. Central file stations will be officially designated as such and will be responsible for the custody and maintenance of the permanent and temporary current authorized records holdings.
- b. Separate central file stations will be established for classified and unclassified records.
- c. Locate the unclassified station at the point of greatest activity for convenience of users. **Classified** file stations should be located for maximum control and surveillance during duty hours and maximum protection after duty hours.
- d. The central file station will serve as a central reference unit responsible for maintaining, in the form of a master index, up-to-date information on the location of all current inactive records within the scope of the network.
- e. Creating offices are responsible for providing copies of those records designated to be filed in the central files.
- f. When a central file is used, creating offices will not retain duplicate files. Reading files are not considered duplicate copies of files.

5. **Inactive Files Stations.** Local situations will determine location and control of inactive file stations.

## **B. -- Files Equipment**

Files equipment includes all file cabinets, shelf files, visible files, machines, devices, and furniture used for maintaining and servicing files.

1. **Objective:** To ensure that equipment and supplies obtained are necessary and suitable to Agency records operations and that the equipment and supplies are available and used properly. (41 CFR 201-9.1).
2. **Conservation.** Maximum utilization of available files equipment will be accomplished through the following means:
  - a. Used or reconditioned file cabinets will be utilized in meeting requirements for additional file cabinets.

- b. Files equipment which becomes excess to local needs will be used to fill requirements of other elements in the same Headquarters or field offices.
- c. Files will be retired to records centers or destroyed in accordance with applicable instructions contained in this Manual.
- d. Filing cabinets will not be used to maintain blank forms, publications, and office supplies except when the volume is small and it is advantageous to utilize otherwise empty drawers.
- e. Filing cabinets shall not be used to store personal material.

3. ***Filing Cabinet Utilization.*** The criteria established below for the requisitioning and utilization of filing cabinets regardless of type or number of drawers will also be used as guides in determining proper utilization of other types of file containers. These criteria are not intended to require replacement of cabinets now in use.

- a. Letter size cabinets will be used to the maximum extent practicable for maintaining file material.
- b. Security filing cabinets will not be used for unclassified material except as provided in Chapter 3, Section E.
- c. Key lock cabinets will not be used except when material to be filed is required by regulations to be maintained under lock and key.
- d. Filing cabinets will not be used for material which at the time of filing is eligible for destruction.

4. ***Standard Equipment.***

- a. Standard equipment and supplies stocked by the General Services Administration (GSA) Office of Federal Supply and Services and listed in the GSA Supply Catalog and the Federal Supply Schedules will be used in preference to nonstandard items.
- b. Security filing equipment required by security regulations is to be used for housing classified documents.
- c. Select file cabinets best suited for a particular files operation. All requisitions initiated for letter size filing cabinets will request issuance of 5-drawer cabinets; however, supply officers may substitute 4-drawer cabinets if they are available. Five-drawer cabinets will not be requisitioned solely for the purpose of replacing other types of cabinets now in use or on hand.
- d. Prior to recommending supply action, records management officers will assure that the requirement cannot be filled by better utilization of equipment or by destruction or retirement of records.

e. Purchase of all new correspondence filing cabinets shall have prior approval of the Assistant Director, Resources, or Regional Director, as appropriate.

5. *Nonstandard Equipment.*

a. Requests for files equipment not listed as standard equipment will be submitted to the Regional Records Management Officer or Headquarters Records Management Officer, as appropriate, who will review the file and file operations involved prior to initiation of supply action. This review will include consideration of the factors listed below.

- (1) The type of file and its disposition instructions and the present equipment and its condition.
- (2) Basic file operations that are involved.
- (3) Total man-hours required daily for the operations utilizing present equipment versus man-hours required utilizing proposed equipment.
- (4) Estimated annual net increase in volume.
- (5) Maximum capacity of present and proposed equipment.
- (6) Accessories, such as stands, covers, locks, or others, necessary for the operation of the proposed equipment.
- (7) Unit and total cost of the proposed equipment.
- (8) Disposition of the present equipment.
- (9) Comparison of the equipment of two or more manufacturers which generally meet the requirements of the file operation involved.
- (10) Such other factors as may be considered necessary to assure selection of the most efficient and economical equipment.

b. The Records Management Officer will submit recommendations based upon the foregoing review to the Assistant Director, Resources or Regional Director, as appropriate, who shall approve or disapprove the request.

c. When requests for nonstandard equipment are approved for requisition, one copy of the approved request, together with the requesting official's justification and the Records Management Officer's recommendation, will be forwarded to the Records Administrator, DCAA.

**C. -- Files Supplies**

Files supplies include all folders, guides, fasteners, labels, forms, and other related supplies used for maintaining and servicing files.

1. **Conservation.** Folders and guides will be conserved by:
  - a. Limiting the volume of material placed in folders and file drawers to the maximum servicing capacity of the folders and drawers so that material can be inserted and withdrawn without damaging the folders and guides.
  - b. Placing folders and guides in a drawer so that their bottom edges rest flat on the bottom of the file drawer. This prevents damage to top edges when the drawer is closed.
  - c. Avoiding the use of guides in files which can be readily identified through the proper use of folder labels.
  - d. Utilizing letter size folders for files series which contain predominately letter size documents even though legal size cabinets are in use.
  - e. Reusing folders and guides when a file is destroyed whenever this is economical.
2. **Standard Supplies.** The files supplies described below will be used for maintaining letter size files unless otherwise prescribed by regulation or approved for use under the provisions of Section C.3., below.
  - a. **Folders.** Folder, file, manila, vertical, plain bottom, scored, 9.5 point, 3/4 inch expansion, 9 1/2 by 11 3/4 inches, square cut.
  - b. **Guides.** Card, guide, file, pressboard, unprinted, 25 point, self-tab, 1/3 cut, lower projection, 9 1/2 by 11 3/4 inches.
  - c. **Labels.** Labels, file folder, pressure-sensitive. Where the color of labels used has a functional significance and that color is not available in the new standard labels, use the most closely related color.
  - d. **Fasteners.**
    - (1) Fastener, paper, spaced prong type, base only without compressor, 2-3/4 inches between prongs, steel, 1 or 2 inch capacity, 100 per box.
    - (2) Compressor, spaced prong, paper fastener, metal, 2 3/4 inches between prongs, 100 per box.
  - e. **Binders.** Three-ring type, 1 or 2 inch capacity; and label holders for such binders.
  - f. **Columnar pads.** Columnar pads are available in a variety of dimensions, with column space ranging from 4-30 columns. Any size columnar pad may be purchased; however, when filed it must be folded to fit an 8 1/2 x 11 folder.
3. **Nonstandard Supplies Authorized for Use by DCAA Offices.**

a. The following file folders are authorized for use in lieu of the folders described in C.2.a., preceding, for files which are a source of constant and continuing reference or are to be retained in the current files area for an extended period of time, such as Audit Files:

**Folders, Kraft, letter size**

b. The following expandable folders are authorized for use in offices for filing papers relating to a single transaction which results in an accumulation in excess of 2 inches, and the establishment of additional standard folders would result in a loss of continuity, such as auditors' workpapers, management survey workpapers, and other large case files:

**Jacket, file, wallet, letter size**

c. *Approval of Nonstandard Supplies.* Each requisition for nonstandard supplies will be accompanied by a statement giving the reason why it is impractical to use standard supplies. Prior to supply action, the requisition will be reviewed by the Regional Records Management Officer or Headquarters Records Management Officer, as appropriate, who will approve or disapprove the request.

d. Hanging files folders are authorized for use in filing equipment structured for hanging files.

4. **Forms.** The following forms may be used for files maintenance and reference operations.

- a. Optional Form 11 -- **Reference Request -- Federal Records Centers.**
- b. Optional Form 21 -- **Cross-Reference.**
- c. Optional Form 23 -- **Chargeout Record** (Card).
- d. Optional Form 24 -- **Shelf File Chargeout Record** (letter size).

## Chapter 3

### Files Maintenance

#### A. -- Official Record Copy

One copy of DCAA Form 5020-8, *Correspondence Review and Finalization Form*, is to be prepared and placed as a cover to the official record copy of generated correspondence. For documents without a DCAA Form 5020-8, a copy of the original must be designated and clearly marked "Official Record Copy."

#### B. -- Authorizing Records For File.

1. The office creating the record is responsible for designating the file number from DCAAM 5015.1 on the original and all copies, and for designating the file number on incoming documents that support the functions of that office.
2. Except as indicated in paragraph 3, below, a file authority is required on all papers to be filed. The word "file" and the last name or initials of the individual authorizing the filing of the papers constitute the minimum file authority. When more than one paper on a single transaction or case is sent to file, a file authority is necessary on the top page only.
3. File authority is not required on documents which are obviously ready for filing, such as a suspense copy of a mail control form, a signed receipt for a classified document, or strictly reference-type collections such as reference publications files.

#### C. -- Processing Records For File

The processing and filing of records should be conducted on a daily basis.

1. ***Inspection of Papers.*** Papers processed for file should be reviewed for file authority (if required), for completeness, and to eliminate unnecessary material.

a. ***File Authority.*** Return papers, other than types identified in Section B.3., above, received without file authority to the office/originator responsible for the action.

b. ***Completeness.***

(1) Check for basic papers, enclosures, and other papers which should be included to complete the record. For case-filed records this means filing together the incoming letter, a copy of the reply, and any pertinent attachments or enclosures.

(2) Contact last action office for missing papers or copies, as that individual is most likely to know the location of the missing papers.

(3) If missing papers, or copies of such papers, cannot be obtained, place a note to that effect on the papers to be filed together with an explanation as to efforts made to locate them.

(4) See Chapter 1, Section J. Facsimile (Fax) Transmissions as Federal Records, for filing facsimile transmissions.

c. **Unnecessary Material.** Discard unnecessary documents such as used envelopes, routing slips, unused drafts, and extra copies, when the original of a paper is available; except that an extra copy containing coordination, concurrences, or other important information essential to the file will be retained and filed. SF labels 706, 707, 708 and DCAA label 4 will not be attached to a classified document when the document is filed in the security container.

2. **Assembly of Papers.** Arrange file copies of correspondence as indicated below and file by the date of the latest action (i.e. the earliest papers should be at the bottom of the file).

a. **Separate Correspondence.** A separate “chain” of correspondence consists of the basic papers (paper starting the action), any replies continuing the action, enclosures, and supporting papers forming a part of the whole action. The method for assembling such papers, in top-to-bottom order, is given below:

(1) The latest action (by date) with enclosures, if any.

(2) The basic paper with enclosures, if any.

(3) Other comments and/or concurrences, beginning with the earliest paper with enclosures, if any.

(4) Other replies with enclosures, if any.

(5) Internal supporting papers with enclosures, if any.

b. **Structured Files.** For some files, such as audit files, a standard sequence of documents has been developed and will be followed to allow continuity Agency-wide.

c. **Related Papers.** These are papers which are directly related or contain reference to earlier papers on the same subject or transaction.

(1) **When to Combine Related Papers.** Combine papers of a later date which are directly related to or refer to papers of an earlier date only when reference requirements clearly require such action. Such papers as the following should be combined to assure complete documentation and to avoid split files: replies with the basic communication; changes in a policy or procedure that is changed; and all papers regarding one individual, one contract, etc. These are commonly known as “case files.”



(2) ***When Not to Combine Related Papers.*** A reference in later papers to earlier papers does not necessarily require that the papers be combined. Do not combine such papers as recurring reports with the policy document requiring the report or papers on the same subject relating to different transactions, such as two separate requisitions for filing supplies or reports of inspections of two different organizations.

(3) ***Combining Papers Dated in Different Years.*** Frequently there are papers which clearly relate to and should be combined with earlier papers which are included in a file of a previous year (a cutoff file). Remove the earlier related papers, attach them in back of the current papers and file in the current file.

(4) ***How to Assemble and Combine Related Papers.*** Assemble related papers separately under the method prescribed in paragraph 2.a., above. Then, staple the papers together and place them on top of the earlier case and place in file according to the date of the latest action. If cross-references have been made to earlier papers, it is desirable to withdraw and update the cross-reference, or make a new cross-reference to file under the date which the earlier papers were filed.

3. ***Placing Papers in Files.*** Straight pins, paper clips, and rubber bands will not be used for fastening papers which are filed. A single set of assembled papers should normally be filed loose within the proper folder. Fastening together all papers within a folder is justified when the entire contents to be fastened together constitute a single case or when it is necessary to preserve a fixed arrangement necessary to facilitate utilization. Do not affix papers to file folders in any manner when the file will be retired to a Federal Records Center. The fasteners described below will be used to hold assembled papers together.

a. ***Staples.*** Use wire staples to the maximum extent to fasten related loose papers together. Stapling in the upper right and left corners will facilitate filing and searching within a folder.

b. ***Prong Fasteners.*** Use to fasten related file material together only when the thickness of the material on a completed action, or related actions filed as a case, precludes the use of wire staples. If there are more than 30 to 35 pieces of general correspondence, a prong fastener may be used.

c. ***String and Cloth Tape.*** Use to hold bulky material together only when use of other fasteners is impractical or when an impression seal is required over the fastening.

d. ***Backing Sheets.*** Use only when the papers are sufficiently thick to require the use of the prong fastener and when the paper begins to fray or wear through chargeout. When used, the papers with the backing sheet should then be filed within folders for protection of the file.

4. ***Files Classification and Numbering.*** Proper file numbers for documents will be determined as provided in Chapter 6 of this Manual.

## 5. *Posting File Numbers.*

- a. Place the appropriate file number from DCAAM 5015.1 in the “In reply refer to” section on the original and all copies of correspondence at the time of typing. When the physical characteristics of a document make it self-identifying for filing purposes, posting the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are: Reference copies of publications, mail control forms, bills of lading, and documents appropriate only for filing in a specific type of case file such as the official personnel folder. When posting of the file number is required, write or type it in the upper right corner.
- b. When the file material under a single file number is subdivided into several folders each having appropriate subtitles, a brief identification of the subtitle should also be written immediately after the file number.
- c. If cross-references are necessary, they are indicated under and indented to the right of the file number. The cross-reference is preceded by an “X” to distinguish it from the file number and to indicate that it is a cross-reference.

## 6. *Cross-References.*

- a. A cross-reference is a paper filed under one file number and date to show the location of material filed elsewhere. Cross-references will be prepared only when essential to finding needs.
- b. Frequently, an extra copy of a paper can be appropriately annotated to show where the original is filed and then filed under the cross-reference number. If this is not feasible, then Optional Form 21, Cross-Reference, may be used.

7. *Sorting Papers for File.* After papers have been arranged and fastened, and all necessary cross-references prepared, the papers and cross-references should be sorted and arranged in proper filing order according to the actual arrangement of the files. This facilitates the filing of papers and cross-references and aids in locating papers rapidly in the event they are requested prior to filing.

8. *Placing Papers in File.* Match the file designations of each paper with the folder labels prior to placing in folder. Documents should be placed in the folder with the latest dated material on top, with the top sheet toward the left of the file drawer as the reader faces it so all filed documents can be read as a book. Fold or clip all oversize papers at the margin so as not to hide a file folder label and consequently cause the folder to be lost.

## **D. -- Labels.**

File folders, guides, and containers will be appropriately labeled to facilitate files maintenance, utilization, and disposal.

1. **Files Containers.** File drawers or other containers should be identified, as a minimum, to show file number and year (if applicable) of the first item in the drawer or container.
2. **Guides.** Guides should always be used to separate primary functions, and may be used for further subdivisions if the volume is such that utilization of the files is facilitated by guides. Hand lettered or typewritten labels may be used.
3. **Folders.** Folders are used to keep papers relating to the same subject together, to provide a guide to those papers, and to protect the papers. When the material in any folder reaches the normal capacity (three-fourths of an inch) of the folder, the folder should be cut off, the inclusive dates of the contents listed on the caption and a new folder, appropriately labeled, placed in the file immediately in front of the cut off folder. This second folder should begin at a logical point, such as at the beginning of a month, calendar quarter, etc.
  - a. **Color of Folder Labels.** The standard prescribed folder labels are available in different colors. The different colors may frequently be used to advantage to differentiate between types of files or retention periods.
  - b. **Content of Folder Labels.** See Chapter 6, Section B.4.
  - c. **Visibility of Folder Labels.** Folder labels should be readily visible. When papers rise in the folder and obscure the folder label, the contents should be gently shaken down. As folders become filled with papers, the scoring at the bottom of the front folder leaf should be creased to allow the papers to rest squarely on the bottom of the file drawer. This will prevent the papers from rising and covering the folder label. Do not crease the scoring until required by the increasing volume of papers.

#### **E. -- Security Classified Records**

Security classified records will be filed in separate folders and in separate file containers from unclassified papers, except:

1. When the record of an action or transaction consists of both classified and unclassified documents and it is essential for reference purposes that both be filed together; or
2. When the volume of classified material is so small that it is advantageous to utilize otherwise empty drawers for unclassified material.

#### **F. -- Filing Bulky Material**

Bulky material, such as large exhibits, manuscripts, oversized charts and drawings, and similar items that are too large or unwieldy to place in a file drawer, will be filed separately in storage equipment suited to its size. A cross-reference to the bulky material will be prepared and filed with the file papers or a notation of the location of the bulky material will be placed in a conspicuous location on the file papers. The bulky material should be marked to show storage location, file classification, and sufficient identifying information to associate it with the related

file papers. A copy of the cross-reference prepared for the regular file can be attached to the bulky material to serve this purpose.

### **G. -- Files Reference Procedures.**

1. **General.** The effectiveness of any file or file room operation can be judged in large measure by the speed and accuracy with which requested files or information can be found and furnished. To the maximum extent possible, only designated personnel should file and withdraw papers from the file. This saves time, limits misfiled papers, and provides a control over the papers in the file.

2. **Chargeout Procedures.** A chargeout record may be made and substituted for all papers removed from a file for reference purposes. Information entered on the chargeout record is used for locating material that is removed from the file and also serves as a “suspense” control. Placing the chargeout card in the file also facilitates finding the proper position in the file when refiling the papers. Normally, only the required papers are charged out (i.e., the folder itself and any other documents remain in the file series). However, in “case” filing when, because of special requirements, documents are attached to the folder (e.g., official personnel folders), the entire file should be charged out. In such instances, if it is necessary to accommodate papers received for adding to the file, an unlabeled folder should be used and the papers and the chargeout card filed therein.

#### **a. *Unclassified Files.***

(1) **Optional Form 23 (Chargeout Record).** When papers are charged out for use, use this card-type form, making appropriate entries on the next available line. Place it in the filing location from which the file material is removed so that the word “*Out*” is visible. When charged-out papers are refiled, line out the entries on the form and the form is then available for reuse.

**Note:** *In the case of shelf files, Optional Form 24 or 25, as applicable, should be used in lieu of Optional Form 23.*

(2) **Suspense and Follow-up.** Chargeout cards also serve as a suspense control on documents which have been charged out for use. Chargeout cards in the file should be checked periodically to ensure that file material is not kept out of the file for excessively long periods. A uniform follow-up tracing time for charged-out material should be established (normally, 5 to 10 working days). Papers which have been out of file longer than the established date should be traced, normally verbally, to prevent loss.

(3) **Local Procedures.** When the files are not of the type maintained in letter size containers, the above methods for charging out files may be used if feasible; if not, other appropriate methods may be devised.

b. ***Security Classified Files.*** The procedures above for unclassified files may be used also to charge out classified files; however, when used, they must be supplemented by procedures prescribed for the control and receipting of classified material.

## Chapter 4

### Files Disposition

#### A. -- Specific Disposition Procedures

Files will be cut off at given intervals, and a new file begun. This technique facilitates files reference by keeping files in smaller sized and more easily managed blocks, and also facilitates the proper disposition of files at later dates.

1. *The cutoff intervals* indicated are minimum requirements. More frequent cutoff is authorized when such would be beneficial.
2. *The holding periods* indicated before retirement are maximum unless an exception has been granted as provided for in Chapter 1, Section D.1.a.
3. *Specific time periods* for the cutoff and disposition of files are as follows, *except* as otherwise indicated in Section E.4. and Chapter 6, Appendix B.
  - a. *Event or Action*. Contingency files which are disposable upon the occurrence of an event, such as supersession or obsolescence or the accomplishment of an administrative action, will be withdrawn from the current file upon the event or accomplishment and destroyed.
  - b. *Time Period After an Event or Action*. Contingency files which are disposable after a specified retention period following the occurrence of an event (such as audit, final payment, completion of a project, or separation from service) will be withdrawn from the current files upon occurrence of the event and placed in an inactive file. Further disposition will be effected by applying appropriate criteria in paragraphs c. through j., below.
  - c. *One Month*. Files having a retention period of 1 month will be cut off at the end of each month, held 1 month in the current or inactive files area, then destroyed.
  - d. *Three Months*. Files having a retention period of 3 months will be cut off at the end of each quarter, held 3 months in the current or inactive files area, then destroyed.
  - e. *Six Months*. Files having a retention period of 6 months will be cut off semiannually, as of June 30 and December 31 of each year, held 6 months in the current or inactive files area, then destroyed.
  - f. *One Year*. Files having a retention period of 1 year will be cut off at the end of the calendar or fiscal year, as applicable, held 1 year in the current or inactive files area, then destroyed.

g. **Two Years.** Files having a retention period of 2 years will be cut off at the end of the calendar or fiscal year, as applicable, held 2 years in the current or inactive files area, then destroyed.

h. **Three Years.** Files having a retention period of 3 years will be cut off at the end of the calendar or fiscal year, as applicable, held 3 years in current or inactive files area, then destroyed.

i. **Temporary Files With a Retention Period of Four or More Years.** Temporary files having a retention period of 4 or more years will be cut off at the end of the calendar or fiscal year, as applicable, held 1 year in current or inactive files area, then retired to the appropriate Federal Records Center. The current policy of Federal Records Centers is to accept records for storage in the Records Centers only if the records will remain in the Center at least 1 year before their scheduled destruction.

j. **Permanent Files.** Permanent files will be cut off at the end of the calendar year, fiscal year, event, or action, as appropriate, held 5 years in the current or inactive files area, then retired to the appropriate Federal Records Center.

## **B. -- Transfer Procedures.**

1. **Intra-DCAA Transfers.** Records may be transferred from one DCAA activity to another when required in the conduct of official business. Records so transferred will be cut off and new files begun, to the extent feasible.

2. **Intra-DoD Transfers.** The transfer of files from a DCAA activity to another DoD activity is authorized only when such records accompany a transfer of functions. Similarly, a DCAA activity may accept custody of records transferred to it with a transfer of functions. Records so received will be cut off and new files begun, to the extent feasible. The Records Administrator, DCAA, will be notified prior to such transfers.

3. **Transfer to Other Government Agencies.** The regulations of the National Archives and Records Administration (NARA) prohibit the transfer of files from one Government agency to another without the prior written approval of the Archivist of the United States, unless the transfer of records or functions or both is required by statute, Executive order, Presidential reorganization plan, Treaty, or by specific determinations made thereunder, or when the records are transferred to a Federal Records Center or the National Archives. When none of these conditions exists, a recommendation for transfer will be submitted to the Records Administrator, DCAA. Such recommendation will include a concise description of the files to be transferred including an estimate of the volume in cubic feet, a statement of restrictions imposed on the use of records, a statement of the agencies and persons using the records and the purpose of this use, a statement of the current and proposed physical and organizational locations of the records, information as to why the proposed transfer is in the best interests of the Government, and the reasons for the transfer.

4. **Transfer of Permanent Records to the National Archives.** DCAA records will be transferred to the National Archives of the United States *only* if they are listed on an SF-115

and noted as permanent records in Chapter 5, appendix B, of this manual. Transfers are initiated by the submission of a SF 258, Request to Transfer, Approval and Receipt of Records to the National Archives of the United States.

a. ***Nonrecurring series scheduled for immediate transfer.*** NARA will provide the SF 258 for records scheduled for immediate transfer on an SF 115 approved after 30 September 1987. NARA will send the SF 258 to DCAA with the approved SF 115. The Headquarters Records Management Officer or the appropriate Regional Records Management Officer, will sign and return the SF 258 to the Office of the National Archives (NN), National Archives and Records Administration, Washington, DC 20408, or to the appropriate National Archives Field Branch if so provided on the SF 115. A copy of the signed SF 258 should be retained by the Headquarters Records Management Officer for offices in the Washington, D.C. geographical area or by the appropriate Regional Records Management Officer for all other areas.

b. ***Future transfers of series in Agency space.*** Sixty days before the scheduled date of transfer to the National Archives of the United States, the Regional Records Management Officer, or Headquarters Records Management Officer, whichever is appropriate, shall submit an SF 258 to the Office of the National Archives (NN) or to the appropriate National Archives Field Branch if so provided on the SF 115. NARA will determine whether specified restrictions are acceptable and whether adequate space and equipment are available. A copy of the SF 258 should be retained by the Headquarters Records Management Officer or the Regional Records Management Officer.

c. ***Future transfers of series in Federal Records Centers.*** NARA will initiate the SF 258 and send it to DCAA 90 days before the scheduled transfer date. The Regional Records Management Officer, or Headquarters Records Management Officer, whichever is appropriate, shall approve or disapprove the SF 258 and send it to the address indicated on the form 60 days before the scheduled transfer date. A copy of the SF 258 should be retained by the Records Management Officer.

5. ***Physical and Legal Transfer.*** The Office of the National Archives will provide shipping or delivery instructions to DCAA or the Federal Records Center. Legal custody of the records passes to NARA when the NARA official signs the SF 258 acknowledging receipt of the records.

### **C. -- Accidental Destruction Of Files**

In cases of accidental loss or destruction of temporary or permanent files by fire or other causes, the following actions will be taken.

1. Reconstruct as much of the lost or destroyed files as possible. For example, a permanent record set of publications may be reconstructed by replacing the lost or destroyed publications with copies withdrawn from reference sets, by obtaining copies of the publications from stocks, or from other organizations.



2. When it is not possible to reconstruct records, they will be identified on the appropriate records retirement list at the time of retirement of records of the same date period to the records center. Along with the description of the records, an explanatory note regarding the accidental disposal of the records will be included.

3. All accidental or unauthorized disposal of records must be reported to the DCAA Records Administrator, CMR, who in turn must notify the National Archives and Records Administration (NIR) as prescribed by 36 CFR 1228.104.

#### **D. -- Destruction Of Files.**

1. ***Unclassified Files.*** Unclassified files authorized for destruction will be sold as waste paper or destroyed. Such files will be reported to the property disposal officer who will determine whether they will be destroyed or sold as waste paper; however, contracts for the sale of files as waste paper will prohibit their resale unless they have been treated in such a manner as to destroy their content. Disposal of FOUO information will be accomplished in accordance with the provisions of DCAAR 5410.8, *DCAA Freedom of Information Act (FOIA) Program*. Records containing personal information which are eligible for disposal will be destroyed by tearing or shredding into pieces, burning, or in the case of magnetic tape by degaussing.

2. ***Classified Files.*** Classified documents authorized for destruction under disposal standards in Chapter 6, Appendix B, will be destroyed in the manner prescribed in DCAA security regulations. Security regulations do not constitute authority for disposal of such documents, but only prescribe the manner or method by which such documents are to be destroyed.

#### **E. -- Retirement of Files**

Noncurrent DCAA files which are not authorized for retention in current or inactive file areas until eligible for destruction will be retired to the appropriate regional Federal Records Center of the National Archives and Records Administration. Only Federal Records Centers of the National Archives and Records Administration will be used to hold noncurrent DCAA files.

1. ***Combining Central Files and Office of Record Files.*** Prior to packing for retirement, the Records Management Officer and the Central Files personnel will combine records of the Central Files and the Office of Record files, discarding duplicate records.

2. ***Liaison With Federal Records Centers.*** To the extent feasible, direct contact with Federal Records Center representatives is encouraged. Most problems can be resolved by informal contacts; however, informal negotiations will not be used as a substitute for the requirements of formal documentation specified in this manual.

3. ***Retirement Rule.*** Normally, small quantities of records (less than 1 cubic foot) should be retained at the Agency location until at least one cubic foot accumulates.

4. ***Retirement of Classified Files.***

a. **General.** Security classified files will not be retired to an inactive files area unless the inactive files area meets the security requirements for the storage of classified files.

b. **Top Secret Files.** Files bearing this security classification will not be retired to an inactive files area or to a Federal Records Center until reduced to a lower classification.

c. **Confidential and Secret Files.** Files bearing these security classifications will be retired to the appropriate Federal Records Center when eligible for retirement under the provisions of Section A., above; however, prior to retirement, these files will be reviewed for downgrading or declassification in accordance with appropriate security regulations.

d. Classified records will be retired as separate retirement actions from unclassified records. Separate transmittal documents will be prepared and separate accession numbers will be obtained. This procedure will apply even when the retirement of both classified and unclassified records is physically handled by the same shipment.

5. **Retirement of Contingency Records.** Contingency records are defined as any set of records that must be held for final disposition after the occurrence of an event at some unspecified future time. 36 CFR section 1228.152 prohibits the transfer of contingency records to a Federal Records Center without the authority of a National Archives exception to this regulation. By letter dated 5 November 1984, DCAA requested and was granted an exception to this regulation by GSA letter dated 21 November 1984 for Contract Audit Case Files only. When preparing SF-135s for transferring contingency records to Federal records centers, column 6(i) of the SF-135 should read: Review date 19XX (6 years and 3 months after the date of the last audit and associated follow-on communication with the contracting officer). Federal Records Centers are authorized to accept only 820 (formerly 762) series of records for contingency disposal. Exceptions to this policy will be considered and requested of the National Archives (NC) for other series that meet the following criteria.

a. The contingency upon which the disposal of the records is based is unavoidable, i.e., disposal after a set retention period would unduly hamper the operation of the agency, endanger legal rights or obligations of individuals or the Government, or prevent an agency from carrying out statutory responsibilities.

b. The annual volume of the series justifies the shipping and processing expenses of retirement.

c. The Federal Records Centers have sufficient space to accommodate the records on an indefinite basis.

d. The agency provides a review date for the periodic, systematic review of the records to determine if any can be destroyed. To request an exception, regional offices must write to the National Archives, (NC), Washington, DC 20408 and provide the following information: series title, records disposition schedule and item numbers, approximate volume accumulated annually, periodic review date, and justification for retirement. Copies of all requests for an exception to the above policy and notifications of approvals or disapprovals are to be provided the Records Administrator, Headquarters, DCAA. See 36 CFR 1228.152.

6. ***Combined Retirements of Permanent and Temporary Files.*** DCAA activities retiring temporary records will retire such records as separate retirement actions from their permanent records. Separate transmittal documents will be prepared and separate accession numbers will be obtained so that each series of records is retired as a separate accession. This procedure will apply even when the retirement of both permanent and temporary records is physically handled by the same shipment.

7. ***Shipping Containers and Supplies.***

a. The containers and supplies described below will be used for packing and shipping files to Federal Records Centers:

(1) Corrugated fiberboard box used exclusively for retiring, storing, and shipping noncurrent paper and magnetic tape records to Federal Archives and Records Centers, with lapped joints secured by wire stitching, the weather-resistant box is without hand holds, meets national Archives and Records Service standards. NSN 8115-00-117-8249 size 14-3/4" x 12" x 9-1/2"

(2) Filament reinforced tape, 2 inches wide, NSN 7510-00-159-4450.

(3) Permanent black marker or black crayon.

(4) Standard Form 135, **Records Transmittal and Receipt**, and Standard Form 135a, **Records Transmittal and Receipt (Continuation)**. (See Chapter 7).

b. ***Requisitioning Shipping Containers and Supplies.*** Shipping containers and supplies will be obtained through regular supply channels.

8. ***Preparation of Transmittal Documents (SF 135, SF 135a)***

a. Standard Form 135, **“Records Transmittal and Receipt,”** any continuation thereof (SF 135a), and a sufficient number of copies to meet the following requirements will be prepared when retiring records to Federal Records Centers:

(1) The original and one copy will be transmitted to the appropriate Federal Records Center to arrive two weeks (10 workdays) before the desired records shipment date. Records ***May Not*** be shipped until the Federal Records Center (FRC) returns to DCAA a copy of the SF 135 authorizing shipment. If approved, the records center may annotate block 6(j) of the SF 135 with the FRC shelf location where each accession will be stored. This copy will be placed in the first carton of the shipment when the records are shipped to the center.

(2) A copy will be retained by the preparing office as a suspense and reference copy pending return of a receipted copy from the records center.

(3) When retiring records at the field office level, a copy will be forwarded to the Regional Records Management Officer for retention.

(4) When retiring permanent records, a copy will be forwarded to the Records Administrator, DCAA, for retention.

b. The following instructions govern the entry of information on Standard Form 135 and 135a: See Chapter 7 for example.

(1) **Item 1. “To” block.** Enter the correct address as shown in 36 CFR 1228.150; for the Records Center to which the records are being transferred for retirement.

(2) **Item 2. “Transfer Authorization” block.** Enter the name, title, and signature of the Records Management Officer or their designee.

(3) **Item 3. “Agency Contact” block.** Enter name, office, and telephone number of individual who is to be the point of contact for the Federal Records Center.

(4) **Item 4. “Records Center Receipt” block.** Leave Blank.

(5) **Item 5. “From” block.** Enter the full name and address of the DCAA activity retiring the records.

**Note: The internal organization elements which created and maintained the files are indicated in Item 6(f).**

(6) **Item 6. “Accession Number” blocks 6(a) -- 6(c).** See (6)(a) -- (6)(c) below and instructions on the reverse of the SF 135.

(a) Enter the sequential accession number that is to be obtained from the DCAA Headquarters Records Management Officer by all activities in the Washington, D.C. area. Other activities outside the Washington, D.C. geographical area will contact the appropriate regional Federal Records Center.

(b) Accession numbers may be obtained from the DCAA Headquarters Records Management Officer and some regional Federal Records Centers prior to the shipment of records; others may not assign accession numbers until after receipt of the SF 135. DCAA activities are encouraged to obtain such numbers in advance when the servicing records center operates in this manner.

(c) Must be obtained for each separate series of records and all records in a box must have the same disposal date, **except for contract audit case files, which may be retired to centers in mixed accessions/years.**

(7) **Item 6(d). “Volume” block.** Enter the total cubic feet of records covered by the accession. When all the containers are standard records boxes, this entry is identical to the total number of boxes.

(8) **Item 6(e). “Agency Box Numbers” block.** Enter box numbers in consecutive sequence opposite the first line describing its contents, e.g., 1/12, 2/12, etc. See paragraph 9.d., below.

(9) **Item 6(f). “Series Description” block.**

(a) As the first entry in this column, indicate the complete name of the organizational element creating and maintaining the files, normally the activity retiring the files. If the files were “inherited” from a predecessor organization, also identify that organization and explain.

(b) Following the information provided in (9)(a) above, enter the description of the file number, file title, and year(s) of accumulation for each file series. Titles of files subdivisions, or an indication of method of subdivision, will be shown as appropriate to facilitate later references to the files. When a series extends into more than one box, repeating the file description is not required; instead, indicate the inclusive contents of each box (e.g., A-K, L-Z, or 1-250, 251-500). A folder title list of the box contents or equivalent detailed records descriptions **Must** be prepared on plain paper and provided to the FRC in the case of permanent records and should be retained by DCAA for BOTH permanent and temporary records. In lieu of this normal “box-by-box” listing, the inclusive numbers (e.g., 10/48 -- 44/48) may be indicated for temporary records. Labeling the exterior of cartons with information concerning their contents is **Not** recommended. This method is sometimes desirable with regard to large volumes of a single records series having a low reference rate. In the case of more active records, box-by-box listings on the SF 135 is desirable as it permits the retiring office to specify the specific box number involved when making reference requests, thus facilitating the reference service.

(c) For non-textual records, provide descriptive information on such records (e.g., black and white photographic negatives, reel to reel sound recordings, silver halide negative microfiche, etc.).

(d) When storing Accountable Officers’ Records (GRS 6), indicate in writing whichever of the following statements is appropriate: The records described above do not pertain to American Indians. **Or** The records described above do pertain to American Indians.

(10) **Item 6(g). “Restriction” block.** Enter one of the codes shown on the reverse of the SF 135. If the records are security classified, see paragraph c. below.

(11) **Item 6(h). “Disposal Authority” block.** For each series, enter **either** DCAAM 5015.1, the specific file series number and job number authorizing disposal **or** for those files series citing the General Records Schedule (GRS) enter the GRS citation that applies.

(12) **Item 6(i). “Disposal Date” block.** Compute the disposition date using the disposition authority cited in Item 6(h). Since disposition is accomplished in quarterly cycles, advance the date to the beginning of the next calendar quarter (for example, 1/89, 4/89, 7/89, 10/89) to obtain the actual date of disposition. Enter the month and year the records may be destroyed, e.g., March 1989. For Contingency

records, enter "Review Date 19XX" (6 years and 3 months from the date of the most recent document in the box). If records are permanent, enter "Permanent." The retiring office should compute and place on the SF 135 the date when a permanent series will be transferred to the legal custody of the National Archives. Activities retiring files will promptly notify the records center if unforeseen events indicate that any records series should not be destroyed on a projected disposal date.

(13) *Items 6(j) -- (m)*. Are to be completed by the records center.

c. *Transmittal Documents for Classified Files*. Classified files which are authorized for retirement will be described on transmittal documents in a manner similar to that prescribed in paragraph b., above. In addition, the following instructions apply to such retirements:

(1) Classified files will be identified on a separate set of transmittal documents, and treated as a separate files retirement action.

(2) The highest security classification of any document included in the retirement will be shown immediately following the description of records in Item 6(f).

(3) The inclusion of classified information on the Standard Form 135 will be avoided, insofar as possible. If classified information is shown, the Standard Form 135 will be classified accordingly.

## 9. *Packing Procedures*.

### a. *Arrangement*.

(1) Files will be packed in boxes in such a manner that the original filing arrangement is retained for each office retiring files. A Federal Records Center may refuse a shipment of records which are not in searchable order unless the Agency agrees to request the records in whole box increments. Non-textual media may require different packing arrangements but should still be placed in the box in searchable order. More than one type of media (e.g. paper, microfilm, motion picture film, or magnetic tape) should not be retired in the same accession.

(2) Folders will be placed in an upright position with letter size folders the 12-inch way facing the front of the box; legal size folders will face the left side of the box. Records which have been charged out should be recalled prior to packing records for retirement insofar as practical. Containers will be filled to capacity leaving one inch of space in each box to permit later files reference service. However, when charged-out records are not recalled, adequate space must be left in the appropriate box to permit refiling after retirement.

(3) When classified documents are retired, care must be exercised that either the documents, the folder titles, or anything written on the folder is not visible through the hand holes. While standard packing of letter size files in the boxes normally meets the requirement, blank opaque folders may be placed in the box at both ends.

b. ***Partially Filled Containers.*** A box should be packed so that approximately one inch of space remains, unless it is the last box of an accession. When it is necessary to retire partially filled boxes, the space between the files and the inner walls of the box will be packed with crumpled or wadded paper or other suitable packing material to prevent movement of the contents. Excelsior, shredded paper, waxed paper, additional file material or surplus file folders will not be used as packing material.

c. ***Box Contents.*** Generally, only one series should be packed in a single box. However, when a particular series consists of less than 1 cubic foot at the time of its scheduled retirement, more than one series may be packed in the same container, provided all of the series have the same retention period. Such transfers should be approved by the Office of Federal Records Centers before the records are packed for transfer. Blank copies of forms, duplicate copies of material, and material preserved solely for convenience of reference are non-record and are not eligible for retirement to a Federal Records Center.

d. ***Numbering Boxes.*** After the files are boxed, number the boxes consecutively for each accession. Box numbers will include the consecutive number of the box, a diagonal, and the total number of boxes in the accession. Thus, box number 12 of an accession of 42 boxes will be shown as "12/42." Packages of odd-sized files will be included in their respective sequence within the numbering system. Indicating box numbers is a part of the labeling process described in the next paragraph.

e. ***Marking Boxes.*** Boxes retired to a records center will be marked in the following manner using a heavy black permanent marker or black crayon. The accession number and box number should be written directly on the box in numbers 1-1/2 to 2 inches high. Do not put tape over the accession and box numbers or write the accession and box numbers on the tape used to seal the box.

On the front of the box (unstitched 12-inch side), in the upper left corner, boldly print the accession number of each box in the accession. In the upper right corner of each box boldly print the agency box number as indicated in paragraph d. above. Additional identifying information is not necessary, but may be written directly onto the lower half front of the box. This can assure that boxes do not become intermingled with other retirements when the accession number is not assigned in advance of shipment.

f. ***Closing Boxes.*** Boxes containing unclassified files being retired to a local records center and being handled by local or records center personnel need be closed only by interleaving the tip flaps of the box. In all other instances, the boxes will be sealed with the tape described in Section 7.a.(2)., above.

## 10. ***Shipping Procedures.***

### a. ***Unclassified Files.***

(1) If the records are picked up by records center personnel, an overall package receipt will be obtained at the time of pickup. If the records are delivered to the records center by the retiring office, an overall package receipt will be obtained at the time of delivery.

(2) Unclassified records shipped by commercial means will be handled in the same manner as other commercial shipments. To obtain a lower freight rate for office records, shippers using commercial carriers should put the following statement on bills of lading and shipping orders:

**“The agreed and declared value of the property is hereby specifically stated by the shipper to be not exceeding 3 1/2 cents per pound.”**

The most economical means of shipment which provides reasonably prompt delivery will be utilized; generally, freight shipments will suffice. When time elements are such as to require rapid transportation, shipment will be made by parcel post or United Parcel Service (UPS). Weight restrictions must be observed. If the volume of the files is too large for shipment by parcel post or UPS, and rapid shipment is required, express will be utilized. Shipments of 20 cubic feet or more **MUST** be shipped in numerical order. Prior to shipment to a records center, each box will be either stenciled or labeled to show clearly the name and address of the shipper, designation and address of the receiving records center, gross weight, outside cubic measurement, and box number. The stencil or label will be placed on the top of the box after the box has been sealed. When filled to capacity with records, the shipping box weighs approximately 25 pounds. The outside cubic measurement of the box is 1 cubic foot.

b. ***Classified Files.*** In addition to the packing and shipping procedures specified above, the following procedures will be followed in making shipments of security classified records. ***Nothing in this manual will be construed as superseding or compromising current security directives or regulations issued by HQ, DCAA, or higher authority. In the event of conflict, the governing security directive will be followed.***

(1) Files classified ***Secret*** or ***Confidential*** of sufficient volume to warrant use of the records shipping box will be wrapped in two packages of approximately equal size with heavy brown paper and sealed with tape. The outside of each wrapper will be marked with designation of the sender and addressee and proper security markings. These packages will be placed in the shipping box, and the box will be sealed. No indication of the classified nature of the contents will be placed on the outside of the shipping box.

(2) When shipment by commercial means is necessary, files classified ***Secret*** or ***Confidential*** will be shipped by REA Express, using Armed Surveillance Service, after advance arrangements have been made with REA Express for special handling from the time the files leave the hands of the customer until delivered to the consignee.

(3) Small quantities of ***Secret*** or ***Confidential*** files not warranting the use of the records shipping container will be packed for transmission in two covers. The inner cover will completely cover the files, preventing their disclosure to view, and will be sealed and marked in accordance with security procedures for transmitting security



classified mail. *Secret* material may be transmitted by U.S. Post Office registered mail. *Confidential* material may be transmitted by U.S. Post Office certified mail.

#### **F. -- Records Center Reference And Retrieval Service.**

1. Records can be readily retrieved from Federal Records Centers. Routine requests should be made by completing Optional Form 11, “**Reference Request -- Federal Records Centers.**” (See Chapter 7). Boxes or individual folders (if properly identified) may be obtained. When requesting this service:

a. Use a separate OF 11 for each folder, or box requested, the last copy (yellow) of the OF 11 is used by the records center as a chargeout card. Two or more contiguous file items, folders, or cartons, however may be treated as one item and requested on one OF 11.

b. The original copy of the OF 11 is used to service the request and the last copy is used to charge out the records. DCAA retains the pink middle copy as its suspense copy, except when the records are security classified. If the requested records are “secret” or higher, send the records center all three OF 11 copies, and retain a photocopy of the form as the suspense copy.

c. The information required in preparing the Optional Form (OF) 11 is obtained from the Standard Form (SF) 135. When requesting this service the following should be furnished on the OF 11:

(1) Identify the records by accession number, box number, precise description of records, and the complete Records Center location.

(2) Describe the records or information requested. Write “Entire Box” if the entire box is wanted. If a file folder is needed, type or write title of folder, number of folder and descriptive information in the “Description of Records or Information Requested” column. Provide only enough information to identify the folder or document.

(3) If the records are classified, indicate in the “Remarks” section of the OF 11 either “Confidential” or “Secret.”

(4) If records are being requested under the provisions of the Freedom of Information Act (FOIA) or the Privacy Act (PA), make a notation to that effect in the “Remarks” section of the OF 11 to ensure priority handling and immediate return.

(5) Indicate the nature of service desired.

(6) Furnish complete delivery information to include Agency name, telephone number, office code, street address, building, room number, city, state, and ZIP code of the person for whom the request is being made.

2. Withdrawn records should be returned in the order in which they were originally sent. When necessary to withdraw original documents for legal or other purposes, substitute copies

should be provided to complete the file. Return the file to the records center promptly with a list of the original documents retained. The borrower is responsible for returning the original documents when they are no longer needed.

### **G. -- Federal Records Centers**

1. See current issue of Disposition of Federal Records, a records management handbook published by National Archives and Records Administration.
2. No records in the DCAA record group will be destroyed by Federal Records Centers without DCAA concurrence.

Upon receipt of the NA Form 13001, **Notice of Intent to Destroy Records**, contact the respective DCAA office to verify whether the records in question can be destroyed. If the records are pertinent to pending claims by or against the Government, litigation, or similar actions, notify the relevant Federal Records Center Director that the records should not be destroyed. If there is ***no reason to delay destruction***, the Intent to Destroy Records should be signed and mailed back to the Records Center. A copy of the signed 13001 should be retained by Headquarters, Records Management Officer, for offices in the Washington, D.C. geographical area and by the appropriate Regional Records Management Officer, for all other areas.

## Chapter 5

### Audit Files Maintenance

The audit files have been separated into two categories:

#### **Audit Administration, Management, and Policy/Guidance/Direction Contract Audit Case Files and Services**

##### **A. -- Audit Administration, Management, And Policy/Guidance/Direction.**

1. This series of files has been designated as the 700 series. This primary functional series relates to records created by Headquarters and regional offices whose primary mission is the management, evaluation, and supervision of audit services provided by DCAA Field Audit Offices (FAOs). FAOs should use the 700 series for originating documents or for filing documents received from Headquarters or regional offices which relate to audit administration, management, and policy/guidance/direction.
2. *Files Arrangement and Numbering Systems.* Arrangement of files and further subdivisions not otherwise prescribed herein shall be as determined by each DCAA element; however, all file folders shall carry the specific 700 series number prescribed herein as identification for disposal standards. To the maximum extent possible, numbering systems should first use the 700 series number as the primary functional category and then further subdivide using the Field Audit Office Management Information System (FMIS) 5 digit code. For example, a technical programs review of relocation costs would be 730.5/14300, a Regional analysis of the Requirements Plan would be 720.3/49500, or an FAO generated recurring report on financial jeopardy would be 720.6A/17600.
3. This series incorporates the previous 760 series entitled Contract Audit Administration. A cross-reference between the old 700/760 files series and the revised 700/800 files series is enclosed.

##### **B. -- Contract Audit Case Files And Services.**

1. This series of files has been designated as the 800 series. These files series have been created for use by Field Audit Offices (FAOs). They document the primary mission or function of the FAO, and relate to either a contract or contractor rather than general audit topics.
2. *Files Arrangement and Numbering System.*
  - a. All file folders shall carry the 800 file series number prescribed herein as identification for disposal standards. Records may be filed by contractor first and then subdivided as prescribed herein.

b. The numbering system to be used by the FAO for series 820, 840, and 850 should use the Field Audit Office Management Information System (FMIS) 5 digit coding system to further breakdown the file numbers. The 820, 840, or 850 series codes would serve as the primary functional category, and the 5 digit FMIS codes would serve as subject files. An example would be that records relating to Forward Pricing Estimating System Surveys (Joint Labor Cost Charging and Allocation) would have the file number 820.6D/24010.

***Note: Series 720.6A shall be used for reports made from FMIS; series 590 shall be used for FMIS input.]***

### ***3. Maintenance, Retention, and Disposal Standards for FAO Files.***

a. ***Disposal Standards.*** Listed are ultimate destruction dates based on the value of and need for the records.

b. ***Disposition of Contract Audit Case Files.***

(1) There is no one specific event which determines when final settlement of claims and final audit action on the related contract has been completed. Therefore, every contract needs to be reviewed individually.

(2) The final audit action that is usually taken on contracts depends upon a number of factors, including

- (1) the type of contract involved,
- (2) the FAO's plan for postaward audits, and
- (3) the likelihood of contractor claims.

For most cost-type contracts, the final scheduled DCAA audit action will be the issuance of a Contract Audit Closing Statement (FMIS Code 15400) at the completion of the contract, or a postaward (defective pricing) audit FMIS Code (420XX) conducted on cost-plus-fixed-fee (CPFF), cost-plus-incentive-fee (CPIF), and cost-plus-award-fee (CPAF) contracts. For firm-fixed-price contracts, the final scheduled audit action will be a defective pricing review (FMIS Code 420XX), if one is scheduled for the contract. For fixed-price-incentive or fixed price redeterminable contracts, the final scheduled audit action may be either a DP audit or a final pricing audit (FMIS Code 15300), depending upon the FAO's timing. In addition to these scheduled audits, unscheduled events such as contractor claims (FMIS Codes 17200, 17300, and 17400) and Government terminations (FMIS Code 17100) may result in additional audit effort at any time prior to or after physical completion of the contract.

(3) Final settlement of claims includes Government claims against the contractor as well as contractor claims. Further, Government claims could entail claims against the contractor which are brought in criminal or civil actions as well as contractual or administrative claims. Thus, before documents are destroyed, FAOs should be required to verify that settlement of all claims has occurred.

(4) Based on the above information, it is necessary to:

- (1) wait until contract completion,
- (2) determine the final scheduled audit action for the type of contract in question using the above information as a guide,
- (3) retain the files in accordance with this manual, and
- (4) destroy the files in accordance with this manual.

4. ***Cutoff Standards.*** While audit case files should be cut off at the end of the fiscal year in which the audit report was issued, specific standards have not been included; however, each FAO manager shall designate a specific cutoff standard for each files series. “Cutoff” of files means that cutting off point for making another file folder. The purpose is to separate older file matter from new, more active material. This should be done at regularly designated periods, such as the end of the fiscal or calendar year, during records clean out campaigns, or after a specific action is completed. For instance, a folder which generates an inch or more of paper a year would probably be broken into separate folders every year at the same time, when material is generated faster. A file may be broken quarterly. When material is generated more slowly, the file may be broken every two years.

5. ***Holding Period Standards.*** Insofar as is feasible, audit case files should be retained at FAOs until cut off. Holding periods between cutoff and retirement to Federal Records Centers have not been designated; however, each FAO manager shall designate a specific holding period for each file series. The holding period should not exceed 2 years, except when the chargeout card indicates the file is being referenced more than once each quarter, the file has less than 1 year remaining before date of destruction, when the volume is insufficient to fill at least one storage box, or when critical files are needed at the FAO for final contract closeout actions. The regional National Archives and Records Administration (NARA) facility, if requested, will conduct surveys of the records accumulated and recommend retirement of records that have been held too long.

6. ***Retention Periods.*** Cutoff records shall be retired to the Federal Records Centers at the end of the holding period established by the FAO manager. Contract audit records are to be retained for 6 years and 3 months after final settlement of claims and final audit action on the related contract.

- a. Final settlement of cost-type contracts includes settlement of all items specifically excepted in the final release, the satisfaction of all assignments of interest executed by the contractor as conditions precedent to the payment of the completion voucher under a completed contract and defective pricing adjustments.
- b. Final settlement of fixed-price contracts containing price redetermination, escalation, or partial payment provisions means payment for the final delivery under a completed contract or payment of the final termination claim under a terminated contract. This also includes adjustments for defective pricing.

c. Because some contracts may run for many years by continued extensions and modifications, no precise date can be prescribed for destroying contract audit case files. See paragraph 7 below for instructions to complete the SF 135. Also, see Chapter 4 for instructions regarding series of records meeting contingency disposal criteria.

d. All the files series in the 820 (820.1 -- 820.9) subfunction have the same retention period and each series may contain records relating to the audit of the same contract. The decimal digits represent subject files for the use of DCAA offices and are interrelated and for retention/disposal purposes forms one series, 820 Contract Audit Assignment Case Files.

**7. Retirement to Federal Records Centers (FRCs).** Records pertaining to contracts settled in different years cannot be retired in the same accession. However, records pertaining to a single contract that spans a number of years may be retired in the same accession with disposition instructions based on the final settlement date of the contract. Complete the SF 135, Records Transmittal and Receipt, as follows:

a. Column (f) must contain the inclusive years of the records with the most recent year agreeing with the final settlement date of the contract to which the records pertain, for example: "1982-1986." Since disposition is based on the final termination date of the contract, 1993 (1986 + 6 years and 3 months disposition) would be entered as the disposal date in column (i) for the records in this example. In addition, contingent records (file series 820) should be reviewed 6 years and 3 months after the date of the most recent document in the box. For example: column (i) for contingency records transferred to a records center in January 1984 would reflect: Review Date March 1990.

b. Column (f) must contain a complete description of the records, if the records are to be retrieved for future needs. This is particularly important because of the mobility of field audit office staff. The description may also contain the decimal digits representing subject files. Indicate the organizational component that created the records when it differs from that shown in item 5 of the SF 135.

c. Column (g) indicates the restriction placed on the use of the records. The proper code is selected from the back side of the SF 135. All records that do not have a security classification restriction will be coded "R" (Restricted use -- witnessed disposal not required). In column (f) the following statement will be added at the bottom of each page of the SF 135: **Records Restricted to DCAA Officials Only.**

d. In column (h), enter the Agency schedule and specific item number authorizing disposal.

e. Column (m) is used only by FRC. DCAA offices receiving NA Form 13000, "Agency Review for Contingent Disposal," must verify, by signing and returning the form to the FRC, that the records are not pertinent to pending claims by or against the Government, litigation, or similar actions and that the contract is closed and thus the audits eligible to be destroyed. If the final litigation was less than the 6 years and 3 months in the past, a destruction date will be established based on the date of completion of the final litigation

and the 6 year and 3 month retention requirement. If final litigation has not been completed, another review date within 3 years must be established and NA Form 13000 signed and returned to the FRC. When the NA Form 13000 is returned, the boxes that must be retained will be clearly identified and the remaining boxes within the accession number identified for destruction if appropriate. Return of these forms must be made promptly in order for our storage arrangements for these records with NARA to continue.

8. Special concern must be exercised when working with the *Contractor Files*, file series 810. These records, maintained by individual contractors, are those commonly referred to as the “permanent file.” Refer to DCAAM 7640.1 paragraph 4-405 for guidance in distinguishing between “permanent” and “current” files. The purpose is to provide a central repository of information which has continuing value and use to subsequent audits expected to be performed at the same contractor. Such records are maintained on a current basis by updating the file as additional information is obtained and may contain duplicates of official record copies filed elsewhere. It is suggested that these files be further subdivided by type of audit for ease in filing and retrieval. For example, information relating to floorchecks could be filed as 810.1/13030. At FAOs such as branch offices which handle a multitude of small non-major contractors, it may be practical to accumulate files into one centrally located “Summary Non-Major” contractor file.

## Chapter 6

### The DCAA Files System and Records Control Schedules

#### A. -- DCAA Records Control Schedules.

1. **Statutory Requirements.** The Records Disposal Act of 1943, as amended, the Federal Records Act of 1950, as amended, the Paperwork Reduction Act of 1980 and amendments to sections 3303a and 1503 of U.S. Code Title 44 requiring mandatory application of the General Records Schedules to all Federal agencies established the standards for retention, destruction, and transfer of Federal records. Public Law 98-497 amended the records management statutes to divide records management responsibilities between the National Archives and Records Administration (NARA) and the General Services Administration (GSA). Under the Act, NARA is responsible for adequacy of documentation and records disposition and GSA is responsible for economy and efficiency in records management. The Director of the Defense Contract Audit Agency, as head of a Federal agency, is required to establish and maintain an active, continuing program for the economical and efficient management of the records of the Agency.

2. **Background.** The DCAA Files Series Identification and Disposition Standards are printed as Appendix B to this Chapter. These standards supersede all previous records disposition standards used in DCAA and have been approved by NARA and GAO.

3. **Purpose.** The DCAA Disposition Standards are *mandatory* and provide for:

- (1) the preservation of records which are of long-term or permanent value;
- (2) the prompt disposal of records which do not warrant further retention;
- (3) the retirement of records to Federal Records Centers which are no longer needed in current business but are not eligible for immediate destruction; and
- (4) the application of the General Records Schedules (GRS).

4. **Relationship to the Privacy Act of 1974.**

a. The Privacy Act of 1974 requires that the Agency identify and publish in the Federal Register all records systems containing information about an individual that is maintained by the Agency, including, *but not limited to*, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph. The files series contained in Appendix 6-B constitute the only authorized records systems within DCAA and form the basis for making the publication requirements of the Privacy Act.



b. Accordingly, records systems other than those specifically authorized in this Manual will not be established or maintained. If offices are presently holding files that do not conform to this Manual, the Records Administrator shall be notified promptly of the nature, purpose, and use made of such files. Determination will be made by this Headquarters whether such files should continue to be maintained. If the files are determined to be relevant and necessary, the Records Administrator shall arrange for appropriate publication in the Federal Register.

## **B. -- DCAA Files System**

The DCAA Files System is designed to provide a system for identifying and organizing records for filing, reference, and their eventual disposition on an orderly and systematic basis. It shall be used for both classified and unclassified documents. The control and accountability of classified documents shall be as prescribed by the cognizant security control officer; however, authorities contained herein to destroy files do apply to classified documents.

1. **Concept.** The DCAA Files System is a modified functional filing system. The subject categories chosen for filing titles or guides reflect the Agency's purpose, mission, programs, projects, or activities -- commonly expressed as functions -- and the filing titles and guides do reflect subject matter. Therefore, a document is generally filed according to the function it relates to and not necessarily according to the subject of the document. Such a grouping of files permits easy additions, deletions, or modifications to the system; permits functions to be transferred from one office to another with only minor modifications; and precludes loss by misfiling of documents which may occur from the sharing of responsibility for an action by several offices. Briefly, this concept is that functions represent the most significant work areas within the Agency regardless of the office performing the work.

2. **Organization.**

a. The system is organized into seven primary functional areas, as follows:

<b><u>Number</u></b>	<b><u>Primary Function</u></b>
100	Administration
200	Planning and Review
300	Personnel Administration
400	Financial Management
500	Information Systems and Services
600	(Reserved)
700	Audit Administration, Management, and Policy/Guidance/Direction
800	Contract Audit Case Files and Services

b. File numbers consist of a minimum of four digits which represent a progressive subdivision of the primary function. For example:

400	Financial Management (Primary Function)
20	Accounting (Secondary Function)
2	Allotments (Subfunction)
.5	Disbursement Vouchers (Subject Files)

Thus file number 422.5 contains disbursement vouchers. Certain files have been further subdivided for filing and reference as well as to separate categories of records which have different disposition standards within a file series. (See Subsection C, following).

c. Additional four-digit file numbers may not be added locally. Requests for additional four-digit file series numbers will be submitted to the Records Administrator, DCAA, for approval.

3. ***Subdivision of Subject Files.*** Documents filed under a single four-digit file number will be subdivided as necessary to facilitate filing and reference. When, due to the general nature of the function represented by the file number or when the volume of papers under a file number is or is expected to be in excess of one folder, the material should be subdivided under whatever means will best serve reference requirements. Subdivisions may well be made within one folder, particularly in low activity subject areas, to conserve space and supply costs.

a. ***File Series Number Suffixes.*** A numerical or alphabetical suffix may be added to four-digit file numbers for ready identification of subdivisions within the series. Many files series in Appendix 6-B have prescribed suffixes for ease of filing and reference as well as to separate categories of records which have different disposition standards within a file series.

b. ***Methods for Files Subdivision.*** One of the basic sequence methods for files subdivision specified below should be selected.

(1) ***Subject Arrangement.*** This term describes the arrangement of files identified by digits following the decimal in the four-digit DCAA Files System Numbers. Such files may also need to be further divided by sub-subject. This subdivision arrangement is most frequently used in “general” files.

(2) **Numerical Arrangement.** This system is used to subdivide records that are normally identified and referred to by number such as requisitions, contracts, assignment numbers, etc. Other records, such as accounting documents, are often arranged by allotment numbers, voucher numbers, etc.

(3) **Chronological Arrangement.** This system is used to arrange documents in date sequence when the date is the primary means of reference. It is the most useful method for keeping documents in small manageable groups, usually by year, month, and day. Chronological arrangement is frequently used in conjunction with other systems of subdivision. Reading and suspense files are examples of records which are generally arranged by date.

(4) **Geographical Arrangement.** This arrangement is by geographical location such as area, country, state, county, etc. It is used when geographical location is of primary importance in referring to records. Usually, the file is arranged in alphabetical sequence first by the name of the main geographical division such as state, then by the next most important subdivision required for reference purposes such as county and city.

(5) **Organizational Arrangement.** This file arrangement is used when the grouping of documents by the name of the organization is of primary importance in referring to the records. Organizational arrangement is fundamentally an alphabetical and/or numerical arrangement of organizations as they relate to each other. For instance, in Headquarters many files are subdivided by Regional Headquarters in alphabetical order.

(6) **Alphabetical Arrangement.** This arrangement is used to file documents by names of persons, companies, agencies, etc., in alphabetical order. It is used when the name is of primary importance in referring to the records, as in the case of official personnel folders.

4. **Mandatory Use of DCAA Files System -- Series Numbers.** At a minimum, all file folders will contain the file series number prescribed in Appendix 6-B which designates the standard for the documents filed thereunder.

### **C. -- Selecting File Numbers.**

1. **General.** All offices are reminded that the DCAA Files System is intended to preserve and protect those records when **created** by DCAA offices, the Official Record Copy (ORC), for their specified lifetime.

a. An ORC may have attached as backup a document created by another office or agency, but this is not always the case; e.g., contracts are not retained as backup to contract reports. Generally, if a backup document is clearly identified in the ORC, readily available elsewhere, and very large, it need not be retained with the ORC.

b. Documents received that serve only for future reference shall be filed only in reference files and not under functional file series numbers.

c. Documents received that require no action on the part of the office and which will not serve as future reference documents shall not be retained.

## 2. *Who and When.*

a. ***Creating Offices.*** The creating office is responsible for selecting the file number, based on the function supported, when the record is created.

On letterhead correspondence, the file number should be included as part of the “In Reply Refer To” section:

CMA 500.1	RD-1 500.1	1101 300.110
OR CMA-81	RD-1-81	1101-81
500.1	500.1	500.1

if sequentially numbered memorandums.

This is particularly valuable to the writer upon receipt of a response to the correspondence, because the file is identified in the reference section of the response:

“In reply, refer to CMR-81 500.1. . . .”

b. The file number should be shown on all file copies. This is particularly valuable in reading and chronological files, which may be used as an index to the office’s files system.

c. ***Recipients.*** Recipients are not required to file a document under the number assigned by the creating office; however, in many instances, such will be the case. The recipient must file the document under the file series number for the function supported. Documents received by an office will be filed based on the criteria set forth in Subsection 1., above, and Subsection 3., below.

## 3. *How.*

a. ***Types of Files in DCAA.*** Records created and maintained by DCAA offices are of three types:

(1) ***Office Housekeeping Files.*** These records accumulate from operations performed in “running the office;” they do not document the mission of the office. Series numbers 100.1, 100.2, and 371.2 are examples of such files.

(2) ***Common Mission Files.*** Certain files accumulate in the performance of secondary functions and subfunctions that are common to all offices. Series numbers

relating to recurring reports and information requirements and many of the series contained in the 200 primary function are common mission files.

(3) **Mission Files.** These files consist of records which document actions and processes taken in performing the mission for which the office exists. The mission of an office may be determined by a review of the DCAA Organization Manual. These files are generally identified by a secondary function file series number.

b. In selecting file numbers, it is important to keep in mind the type of record, as described in a., above; the functional approach discussed in Section B.1., preceding; and to think in terms of the significance of the paper in connection with the secondary functions and subfunctions. While applicability to a specific organizational level or office of DCAA has been designated when possible, the organizational structure and the dispersion of DCAA field audit offices preclude such designation for all files series.

c. So that the System will provide basic file numbers for all categories of documents, the first file number in most primary and secondary functions is a “general” file. Such numbers are to be used **Only** when there is no other file number within the group appropriate for filing of the paper. Care must be used in filing papers in “general” files and such files shall be frequently reviewed for improper filing procedures.

#### **D. -- Files Outlines.**

Most offices will need to use only a relatively few of the file numbers contained in the DCAA Files System; however, all offices will probably require many files listed in the 100, 200, and 500 series. For purposes of day-to-day files operations, offices will find it helpful to develop and keep current a file plan. Such a plan should show the file number, file title, and a brief description of each file required by the office. In addition, when appropriate, information as to the specific subdivisions or subtitles in use or the method of subdivision should be included in such lists. Do not set up guides and folders for categories until the need is indicated.

#### **E. -- Disposition Standards**

Disposition standards are ultimate disposal standards based on the value of the records. Instructions for cutoff and retirement of records are contained in Chapter 4. Supplemental instructions for field audit offices are also contained in Chapter 5.

<b><u>Old Files Series</u></b>	<b><u>Cross-Reference</u></b>	<b><u>Revised Files Series</u></b>
700.1	General (Audit Management)	720.1
700.2	Recurring Reports (Audit Management)	720.6A
700.3	One Time Information Requirements (Audit Management)	720.6B

700.4	Review/Coordination on Non-DCAA Publications (Audit Management)	730.6
700.5	Post Review of Technical Instructions (Audit Management)No longer used as of 30 Sept 92	
700.6	Seminars and Conferences (Audit Management)	710.4
700.7	Indoctrination and Training (Audit Management) Use file series 322.1	
700.8	Committee Representation (Audit Management)	710.5
700.9	Research Projects and Special Studies (Audit Management)	730.4
700.10	Reference Files (Audit Management)	720.2
701.1	General (Policies and Guidance)	730.1
701.2	DCAA Policy File (Policies and Guidance)	710.3
701.3	Policy Formulation (Policies and Guidance)	730.3.a., b.
701.4	Audit Guidance (Policies and Guidance)	730.3.a., b.
701.5	Technical Data Bank (Policies and Guidance)	710.3
701.6	Testimony Before Judicial or Quasi-Judicial Bodies (Policies and Guidance)	720.4
702.1	General (Special Projects)	730.1
702.2	Advanced Audit Techniques (Special Projects)	730.4
702.3	Special Audits (Special Projects)	730.4
702.4	Cost Accounting Standards (Special Projects)	730.3.a., b.
702.40	Review and Analysis of Material Published by CASB	730.3.a., b.
702.41	Guidance for DCAA Auditors Regarding CAS	730.3.a., b.
702.42	Briefing and Training Regarding CAS	730.3.a., b.
702.43	Field Requests for Information Regarding CAS	730.3.a., b.
702.44	Comments on Matters Referred by CASB and Staff	730.3.a., b.
702.45	Coordination of CAS Activity in DoD	730.3.a., b.
702.46	Liaison with DAR Section XV, Part 2 Subcommittee Regarding CAS	730.3.a., b.

702.47	Assistance to Government Member of CASB	730.3.a., b.
702.48	DAR Subcommittee on CAS	730.3.a., b.
703.1	General (Operations Management Supervision)	720.1
703.2	Operations Evaluation (Operations Management Supervision)	720.3
703.3	Operations Management (Operations Management Supervision)	720.3
703.4	Technical Audit Programs (Operations Management Supervision)	730.5
704.1	Case Files	
	(Standing Part 2, Section XV, DAR Subcommittee) No longer used as of 30 Sept 92	
760.1	General (Contract Audit Administration)	710.1
760.2	Scheduling (Contract Audit Administration)	720.3
760.3	Audit Guidance Memorandums (Contract Audit Administration)	710.7
760.4	Recurring Reports and Information Requirements (Contract Audit Administration)	720.6A 720.6B
760.5	Reference Files (Contract Audit Administration)	710.2
761.1	Contractor Correspondence (Contractor File)	810.1
761.2	Contractor Background (Contractor File)	810.1
762.01	Contract Correspondence (Contract Audit Case Files)	820.1
762.02	Contracts (Contract Audit Case Files)	820.2
760.30	Relate to several chapters	710.7
760.31	Chapter I	710.7
760.39	Chapter IX	710.7
760.310	Chapter X, continuing through final chapter	710.7
760.3A	Appendix A	710.7
760.3B	Appendix B, continuing through final appendix	710.7
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## **Chapter 7**

### **Forms**

#### **Forms**

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# Records Control Schedules and Disposition Instructions

## 100 -- Office Administration

**100 Office Administration.** Records accumulated in individual offices relating to the internal management and administration of the office, *Excluding* mission files which will be filed under the appropriate primary or secondary function.

**100.1 Office Internal Management.** Records relating to the internal management of the office including responsibilities of individuals and subelements of the office; standard operating procedures; and similar office administration records. (Destroy when 2 years old). GRS 23.1.

**100.2 Office Reference.** Files which are comprised of extra copies of papers, publications, and other records which are maintained for reference rather than for documenting the official mission assigned to the office. (Destroy when superseded, obsolete, or upon discontinuance of the office). NC-372-75-1.

**100.3 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 23.10.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 23.10.b.

## **Facilities And Space Administration**

**110 Facilities And Space Administration.** Relates to acquisition, allocation, utilization, and release of space, including related correspondence and reports; requests for building and facility services; compilation of the Directory of DCAA Offices; identification credentials; and files reflecting the activities of the office responsible for liaison between DCAA and other agencies who provide real property space through cross-service support agreements.

**110.1 General.** Documents relating to facilities and space administration which, due to their general nature, cannot logically be filed elsewhere in the 110 series. (Destroy after 2 years). GRS 11.1.

**110.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on facilities and space, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**110.3 Directory of DCAA Offices.** Correspondence, forms, and other records relating to the compilation of the Directory of DCAA Offices. See 545.6 series for distribution lists. (Destroy 2 months after issuance of the Directory or Change thereto). GRS 11.3.

**110.4 Space Assignments.** Copies of documents relating to space assignments, agreements, building plans, requests for building and equipment alterations and maintenance, and related records accumulated by offices whose mission is space planning, assignment, and adjustment. (Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete). GRS 11.2.a.

**110.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to facilities and space use and management. (Destroy after 3 years). NC-372-75-1.

**110.6 Building Management.** Documents relating to building management matters accumulated when a DCAA office has such responsibility, **Excluding** physical security. See 153. (Destroy 2 years after termination of responsibility). NC-372-75-1.

**110.7 Family Housing.** Documents relating to the utilization of military family housing by DCAA civilian employees. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**110.8 Parking Permits and Vehicle Registration.** Documents relating to the allotment of parking spaces and the registering of privately owned vehicles for employees of DCAA. (Destroy credentials 3 months after return to issuing office). GRS 11.4.a.

**110.9 Temporary Passes and Permits for Visitors and Vehicles.** Documents which reflect the request for, issuance of, and use of visitor passes and vehicle permits to gain access to and exit from Government facilities on a one-time basis, including visitor registers. (Destroy credentials 3 months after return to issuing office). GRS 11.4.a.

**110.10 Reference Files.** Files relating to the general field of facilities and space consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**110.11 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a

recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 11.6.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 11.6.b.

### **Supply and Property Administration**

**120 Supply And Property Administration.** Relates to the requisitioning of supplies, equipment, and services; and to personal property administration matters, such as accountability, inventory, storage, maintenance, and disposal, *Excluding* financial documents. See 400 series.

**120.1 General.** Documents relating to supply and property administration which, due to their general nature, cannot logically be filed elsewhere in the 120 series. (Destroy after 2 years). GRS 3.2.

**120.2 Policies and Procedures.** Documents relating to the development preparation, issuance, and interpretation of directives or regulatory instructions on supply and property, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**120.3 Routine Procurement Files.** Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment. *Excludes* files relating to real property and tax exemptions.

- a. **Procurement Office copy and related papers.**
  - (1) Transactions of **More** than \$25,000 and all construction contracts **Exceeding** \$2,000. (Destroy 6 years and 3 months after final payment). GRS 3.3.a.(1).
  - (2) Transactions of \$25,000 or **Less** and construction contracts **Under** \$2,000. (Destroy 3 years after final payment). GRS 3.3.a.(2).
- b. **Obligation copy.** (Destroy when funds are obligated). GRS 3.3.b.

c. Other copies of records described above used by component elements of a procurement office for administrative purposes. (Destroy upon termination or completion). GRS 3.3.c.

d. ***Data submitted to the Federal Procurement Data System (FPDS)***. Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required for transfer to the FPDS. (Destroy when 5 years old). GRS 3.3.d.

**120.4 Property Officer Designations.** Use 205.9.

**120.5 Property Inventory Records.** Files and records maintained by the Property Officer which reflect the receipt, inventory, and disposition of personal property. (Destroy 1 year after all adjustment vouchers have been prepared and have reached final approval and the next comparable inventory has been completed). NC-372-75-1.

**120.6 Property Adjustment Approvals.** Documents maintained by the Property Officer reflecting the circumstances concerning the loss, unserviceability, or destruction of property and serving to determine pecuniary or other responsibility for the absence or condition of the articles, and the writing off of property accountability by reason of theft, loss, etc. (Destroy after 3 years). NC-372-75-1.

**120.7 Excess Personal Property.** Relates to reports maintained by the Property Officer of personal property which has been determined to be excess to the needs of a particular activity and to the release of excess or surplus personal property to a property disposal officer or by donation to authorized non-Government agencies. (Destroy after 3 years). GRS 4.2.

**120.8 Property Pass Files.** Documents maintained by the Property Officer authorizing the loan or removal of property or materials. (Destroy 3 months after expiration or revocation). GRS 18.12.

**120.9 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to supply and property matters. (Destroy after 3 years). NC-372-75-1.

**120.10 Specific Personal Property Record.** Record maintained by the Property Officer relating to maintenance, repair, and modification of DCAA-owned personal property. (Destroy 1 year after the writing off of property accountability). NC-372-75-1.

**120.11 Reference Files.** Files relating to the general field of supply and property consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**120.12 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 3.18.a. & 18.30.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 3.18.b. & 18.30.b.

## **Safety Program**

**130 Safety Program.** Relates to the program to reduce the frequency and severity of accidental injuries to personnel on the premises of DCAA or while performing assignments incident to DCAA operations, and compensation for such injury.

**130.1 General.** Documents relating to the safety program which, due to their general nature, cannot logically be filed elsewhere in the 130 series. (Destroy after 2 years). NC-372-75-1.

**130.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on safety, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**130.3 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to accidents and accident experience, including reports of accidents of motor vehicles, fire, and personal injury, **Excluding** case files. See 130.4. (Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff). GRS 1.31.

**130.4 Individual Accident Case Files.** Case files of reporting and reviewing offices consisting of reports and related papers regarding accidents incident to DCAA operations pertaining to injuries of individuals or accidents involving motor vehicles and other equipment and property damage. (Destroy 10 years after all aspects of the case are closed). NC-372-75-1.

**130.5 Reference Files.** Files relating to the general field of safety consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**130.6 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes

electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Environment and Energy Conservation**

**140 *Environment And Energy Conservation.*** Relates to functions performed by offices administering programs involving protection of the environment and the conservation of energy.

**140.1 *General.*** Documents relating to environment and energy which, due to their general nature, cannot logically be filed elsewhere in the 140 series. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**140.2 *Policies and Procedures.*** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on environment and energy conservation matters, including copies of interim policy statements issued prior to publication in official DCAA numbered policy publications.

- a. ***Issuing Office.*** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. ***Other Offices.*** (Destroy when superseded or canceled). NC-372-75-1.

**140.3 *Recurring Reports and Information Requirements.*** Recurring reports and one-time information requirements regarding DCAA's participation in environment and energy conservation programs. (Destroy after 3 years). NC-372-75-1.

**140.4 *Specific Project Case Files.*** Case files relating to specific programs and projects to protect the environment and conserve energy, such as car pool programs, paper conservation, and energy reduction programs. (Destroy after 5 years). NC-372-75-1.

**140.5 *Reference Files.*** Files relating to the general field of energy and conservation consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**140.6 *Electronic Mail and Word Processing System Copies.*** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes

electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 23.10.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 23.10.b.

## **Security and Intelligence**

**150 Security and Intelligence.** Records relating to security and intelligence matters including the safekeeping, control, and dissemination of classified information and other sensitive information, security classification management; personnel security investigation and clearance; special access programs; physical security; special personnel identification; visits of foreign nationals and related security and intelligence matters.

**150.1 General.** Documents relating to security and intelligence which, due to their general nature, cannot logically be filed elsewhere in the 150 series. (Destroy after 2 years). GRS 18.1.

**150.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on security and intelligence, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**150.3 Designation of Security Control Officers.** Use 205.9.

**150.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements maintained by the Security Control Officer regarding security and intelligence matters. (Destroy after 3 years). NC-372-75-1.

**150.5 Defense Investigative Program.** Records maintained by the Security Officer, DCAA, relating to the development and administration of Agency-wide implementation of the Defense Investigative Program, including register of plans, programs, regulations, and related records pertaining to the areas included in the Defense Investigative Program, **Excluding** records described in 150.2. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.



**150.6 Reference Files.** Files relating to the general field of security and intelligence consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**150.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 18.30.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 18.30.b.

## **Information Security**

**151 Information Security.** Relates to the general administration of the security classification system and the measures required to safeguard security classified information.

**151.1 General.** Documents relating to information security which, due to their general nature, cannot logically be filed elsewhere in the 151 series. (Destroy after 2 years). GRS 18.1.

**151.2 Regrading and Declassification.** Records maintained by the Security Control Officer relating to the administration of a security classification or grading system involving regrading or downgrading of documents, including correspondence on downgrading, requests for and notifications of regrading or declassification actions. (Destroy after 3 years). NC-372-75-1.

**151.3 Top Secret Controls.** Forms used by the Security Control Officer to ensure positive control of *Top Secret* documents, showing security classification, date of the document, distribution dates, intraoffice routing data, and names of persons handling the documents. (Destroy when related document is downgraded, transferred, or destroyed). GRS 18.5.b.

**151.4 Top Secret Accountability.** Registers and forms maintained by the Security Control Officer to reflect the receipt, dispatch, destruction, or other disposition of *Top Secret* documents received or generated by DCAA offices, including receipts used for the transfer of documents outside DCAA offices, and certificates reflecting the destruction of the documents. (Destroy 5 years after the related document is downgraded, transferred, or destroyed). GRS 18.5.a.

**151.5 Secret and Confidential Accountability.** Registers and forms maintained by the Security Control Officer to reflect the receipt, dispatch, destruction, or other disposition of *Secret* and *Confidential* documents received or generated by a DCAA office, including receipts used for the

transfer of documents outside DCAA offices; and certificates reflecting the destruction of the documents. (Destroy when 2 years old). GRS 18.2 and GRS 18.3.

**151.6 Classified Document Inventory.** Records maintained by the Security Control Officer reflecting inventories of all classified documents, including *Top Secret*. (Destroy when 2 years old). GRS 18.4.

**151.7 Classified Titles Index.** A cross-reference listing maintained by the Security Control Officer of classified documents, the titles or subjects of which are classified, containing the classified document control number as a means of ready identification. (Destroy listings when all classified titles or subjects of the documents listed thereon are declassified or when the documents are declassified, transferred or destroyed). NC-372-75-1.

**151.8 Internal Classified Document Receipt.** Receipts used by the Security Control Officer in making temporary loan of classified documents inside the DCAA office of custody. Such loans are normally of short duration and the borrowed documents are generally returned within the same workday. (Destroy signed copy upon return of the document; duplicate, unsigned copy may be retained until no longer needed for reference). NC-372-75-1.

**151.9 Classified Document Container Records.** Records of combinations and related information identifying security safes, cabinets, or other containers, including names, addresses, and other information of individuals having knowledge of combinations; and forms placed on safes used for recording the unlocking, locking, and checking of the container. (Destroy when superseded by a new form or list, or upon turn-in of containers). GRS 18.7.

**151.10 Inspections.** Documents maintained by the Security Control Officer reflecting scheduling, implementation, and reports of security inspections, including reports, checklists, correspondence regarding recommendations and corrective actions taken, and related documents. (Destroy when 3 years old, or upon discontinuance of the facility inspected, whichever is earlier). GRS 18.9.

**151.11 Training and Orientation.** Records maintained by the Security Control Officer reflecting security training and orientation for Agency personnel, special security training for Security Control Officers, including schedules, rosters of attendance, and training materials. (Destroy 2 years after completion of training, *Except* that training material may be destroyed when superseded, obsolete, or no longer needed for reference). NC-372-75-1.

**151.12 Administrative Violations.** Case files maintained by the Security Control Officer relating to investigations of alleged security violations where no possibility of the compromise of classified information exists, *Excluding* papers placed in Official Personnel Folders. Included are records created in determining the conditions surrounding the minor violation. (Destroy 2 years after completion of final action). GRS 18.24.b.

**151.13 Major Violations.** Records relating to investigation and circumstances surrounding security violations involving loss or possible compromise of classified information of a sufficiently serious nature to be classified as felonies. Included are reports of preliminary inquiry; final report of investigation; appointment orders on investigating officers; all written notes, statements, photographs, recordings, and related exhibits; reports of action taken; and all

related correspondence, **Excluding** original records of disciplinary action filed in the Official Personnel Folder, and **Excluding** files held by Department of Justice or Defense offices responsible for making prosecutive determinations.

a. **Security Officer, DCAA.** (Destroy 5 years after close of case). GRS 18.24.a.

b. **Security Control Officer.** (Destroy duplicate files 2 years after completion of final action). GRS 18.24.b.

**151.14 Foreign Visitor Records.** Records maintained by the Security Control Officer relating to visits of foreign nationals to DCAA activities, including requests and authorizations to visit or receive training, notifications of security clearances, itineraries, reports, and related documents. (Destroy after 2 years). GRS 18.17.b.

**151.15 Reference Files.** Files relating to the general field of information security consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**151.16 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 18.30.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 18.30.b.

## **Personnel Security**

**152 Personnel Security.** Relates to the administration of the personnel security program involving the clearance of DCAA personnel.

**152.1 General.** Records relating to personnel security which, due to their general nature, cannot logically be filed elsewhere in the 152 series. (Destroy after 2 years). GRS 18.21.

**152.2 Personnel Security Clearance Data Files.** Files created under Office of Personnel Management procedures and regulations and related indexes. These files include copies of security investigative forms and employment applications completed by applicants and employees; requests for pre-appointment security processing and investigation; requests for and approvals of emergency appointments prior to completion of investigative requirements; requests

for security clearance actions; security clearance and eligibility certificates; security briefing certificates; appointment orders to security control officer duties; supervisor suitability/security statements. This file is maintained by the Security Officer, DCAA only. (Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable). GRS 18.22.a.

**152.3 Reports of Personnel Security Investigations.** Files created under Office of Personnel Management procedures and regulations and related indexes. These files include non-record copies of reports of personnel security investigations and related documents concerning DCAA applicants and employees conducted by Federal investigative agencies and furnished to DCAA for security/suitability determinations. This file is maintained by the Security Officer, DCAA only. (Dispose of in accordance with specific instructions of the investigating agency concerned, within one year after non-appointment of an applicant, or upon separation of an employee, whichever is earlier). NC-372-75-1.

**152.4 Personnel Security Adjudication File.** Internal Agency memorandums and related correspondence concerning actions to be taken on the results of personnel security investigations. Such memorandums contain summaries or extracts of the results of classified or unclassified personnel security investigations; analyses of the relationship of such information to the DoD security standards for appointment to or retention in sensitive positions, or the granting of access to classified information; recommendations of the Washington Headquarters Services Consolidated Adjudications Facility (WHS/CAF) adjudicative authority with related documents; former DCAA adjudication authority documents and security determinations by the Director, DCAA; and notifications thereof to Agency officials concerned. These files may contain an unfavorable personnel security determination, or a favorable personnel security determination where the investigation or information upon which the determination was made included significant derogatory information of the type set forth in Section 2-200 and Appendix I, DCAAM 5210.1. These files are maintained by the Security Officer, DCAA, only. (Where adverse security action is taken (suspension or removal of an employee under the provisions of Section 7532, Title 5, U.S. Code), destroy 5 years after completion of final action. All other files, exclusive of documents placed in official personnel folders, destroy 2 years after completion of final action). GRS 18.24.a. & b.

**152.5 Notifications of Security Determination.** Memorandums prepared by Headquarters, DCAA which are furnished Regional Directors for information or action concerning the results of security determination on DCAA applicants and employees. This transitory file is maintained by Regional Security Officers only. (Destroy in accordance with individual instructions furnished by Headquarters, DCAA in each case, or destroy upon non-appointment of applicants or separation of employees, whichever is earlier). NC-372-75-1.

**152.6 Regional Security Clearance Request Files.** Non-record copies of notices of proposed appointments and approvals for emergency appointment to sensitive position, requests for security clearances and (pending their transmission to Security Officer, DCAA) copies of personnel security data forms executed by applicants and employees. This transitory file is maintained by Regional Security Officers only. (Destroy upon receipt of final or revised security clearance certificate from Headquarters, DCAA). NC-372-75-1.

**152.7 Clearance Certification.** Non-record copies of interim and final security clearance certificates and supervisor suitability/security statements maintained by Regional and FAO security control officers as a means of attesting to the clearance of personnel under their cognizance. (Destroy final clearance and supervisor suitability/security statements upon separation of employee). NC-372-75-1.

**152.8 Appointment of Security Control Officers and Custodians.** An organizational file maintained by the Regional and FAO Security Officer of copies of orders and related correspondence relating to the appointment of security control officers and alternates and classified document custodians. (Dispose of when individual is relieved of assignment to security control duties). NC-372-75-1.

**152.9 Security Accreditations.** Records maintained by the Security Officer, DCAA, relating to the accreditation of Agency personnel to other agencies for access to security or intelligence information. (Destroy upon revocation of accreditation). NC-372-75-1.

**152.10 Authorized Couriers.** Records maintained by the Security Control Officer relating to Agency employees authorized to act as couriers for the receipt and delivery of classified documents, including correspondence and notification to other agencies indicating authorization and clearance information, and related documents. (Destroy upon revocation of authorization). NC-372-75-1.

**152.11 Notifications of Security Clearance Status.** Notifications to Agency offices that do not receive certificates of security clearance that specific individuals have been granted security clearance as indicated. (Destroy when superseded or upon transfer or separation of employee). GRS 18.23.

**152.12 Special Access Security Clearance.** Records maintained by the Security Control Officer which constitute authorization for employees to have access to special access information, including requests for access, approvals, rosters of personnel granted access, and related documents, *Excluding* specific access briefing and debriefing statements which are filed under 152.14 and 152.15. (Cut off special access rosters at end of calendar year, update listing, transfer names to current year roster; hold 2 years, in current files, then destroy. Destroy special access clearance 2 years after debriefing). NC-372-75-1.

**152.13 Notifications of Visits.** Copies of correspondence or forms maintained by the Security Control Officer indicating security clearance information on DCAA employees and notifications of visits by DCAA personnel to Defense contractors, Government agencies, and other organizations, either on a one-time or recurring basis. (Destroy upon expiration of notification, *Except* that unexpired notifications will be updated annually, and retained in current files; destroy prior year notifications). NC-372-75-1.

**152.14 Briefings.** Security acknowledgments and special access briefing statements and defensive security briefing certificates maintained by the Security Control Officer which are executed by individuals upon being granted security clearance, access to special access information, and prior to assignment or travel in foreign countries. (Destroy upon completion of debriefing). NC-372-75-1.

**152.15 Debriefings.** Security termination statements and special access debriefing statements executed by employees.

a. **Security Control Officers.** (Upon execution of such statements, forward through Regional Security Control Officer to Security Officer, DCAA. No copies are to be retained other than those retained by the Security Officer, DCAA). NC-372-75-1.

b. **Security Officer, DCAA.** (Destroy 2 years after completion of debriefing). NC-372-75-1.

**152.16 Investigation Cross-Service Agreements.** Records maintained by the Security Officer, DCAA, reflecting liaison and agreements with investigative agencies for the conduct of personnel security investigations; retrieval and return of investigative material; and other related documents. (Destroy 3 years after termination of agreement). NC-372-75-1.

**152.17 Security Status Master List.** Maintained by the Security Officer, DCAA, as a master list of all Agency personnel cleared for access to classified information. (Destroy when superseded or obsolete). GRS 18.23.

**152.18 Investigation Control.** No longer used after June 1994.

**152.19 Special Access Security Programs.** Records relating to a variety of special access programs, including procedural instructions, investigative and clearance requirements prescribed by agencies responsible for such programs, and related documents, **Excluding** records described in 152.9 and 152.12. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**152.20 Central Clearance Group.** No longer used after June 1994.

**152.21 Reference Files.** Files relating to the general field of personnel security consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**152.22 Classified Information Nondisclosure Agreements.** Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive orders governing security classification. These forms should be maintained separately from personnel security clearance files. Agreements for civilian employees working for elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

a. If maintained separately from the individual's official personnel folder. (Destroy when 70 years old). GRS 18.25.a.

b. If maintained in the individual's official personnel folder. (Apply the disposition for the official personnel folder). GRS 18.25.b.

**152.23 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 18.30.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 18.30.b.

### **Physical Security**

**153 Physical Security.** Relates to physical security measures designed to protect personnel, equipment, and facilities.

**153.1 General.** Documents relating to physical security which, due to their general nature, cannot logically be filed elsewhere in the 153 series. (Destroy after 2 years). GRS 18.8.

**153.2 DCAA Facility Security Data.** Records accumulated by the Security Officer, DCAA, which furnish information pertaining to office location, key security personnel, classified document holdings, classified document containers, and physical security measures provided at Federal buildings, contractor facilities, etc., where DCAA offices are located. Included are incident reports; after-action reports; duplicate copies of security inspections; reports of security violations; reports of security investigations; and related documents. (Update annually. Destroy upon deactivation of office or relocation of office to other premises). NC-372-75-1.

**153.3 Key Control Records.** Records maintained by the Security Control Officer relating to the issue and control of keys used in connection with the physical security of an office. (Destroy 6 months after turn-in of key). GRS 18.16.b.

**153.4 Lost and Found Files.** Copies of reports, loss statements, receipts, and other papers relating to lost and found articles. (Destroy after 1 year). GRS 18.15.b.

**153.5 Intelligence Summaries.** Documents maintained by the Security Officer, DCAA, which were originated or compiled by other Government agencies and furnished to DCAA for information and guidance in operational planning or for emergency planning to protect personnel, property, and facilities. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**153.6 Reference Files.** Files relating to the general field of physical security consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes,

workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**153.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 18.30.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 18.30.b.

## **Travel and Transportation**

**160 Travel and Transportation.** Relates to the administration of travel and transportation services.

**160.1 General.** Documents relating to travel and transportation which, due to their general nature, cannot logically be filed elsewhere in the 160 series. (Destroy after 2 years). GRS 9.4.a.

**160.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on travel and transportation, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1

**160.3 Transportation Officers/Agents.** Use 205.9.

**160.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements regarding travel and transportation. (Destroy after 3 years). NC-372-75-1.

**160.5 Travel Orders.** Orders directing or authorizing travel to be performed (temporary duty and permanent change of station) including approval for travel to special areas, approval for transportation of automobiles, documents relating to dependents' travel, bills of lading for household goods, and other documents relating to the specific travel order. This file may be subdivided to separate PCS and TDY orders.



- a. **Travel Administrative Office.** (Destroy after 6 years). GRS 9.3.a.
- b. **Other Offices.** (Destroy after completion of travel). NC-372-75-1.

**Note: Original transportation documents such as vouchers, contracts, etc., are forwarded to the Transportation Division of the General Accounting Office by the servicing Accounting and Finance Officer; therefore, the retained copies are informational copies.**

**160.6 Transportation Requests.** Copies retained by the Travel Administrative Office of transportation requests, including canceled copies, with papers relating to the issue thereof. (Destroy after 6 years). GRS 9.3.a.

**160.7 Transportation Request Register.** Registers maintained in the Travel Administrative Office containing data on each transportation request issued, such as number, date, name of carrier, name of traveler, cost, and similar information. (Destroy after 6 years). GRS 9.3.a.

**160.8 Local Transportation Authorization.** Documents maintained in the Travel Administrative Office pertaining to the issuance of commercial bus, rail, ferry, or toll bridge tokens or tickets for official travel by Government personnel. (Destroy after 4 years). NC-372-75-1.

**160.9 Bus Passes.** Documents maintained in the issuing office reflecting the issuance of passes entitling personnel to board Government operated or contracted transportation facilities. (Destroy upon turn-in or replacement of pass). NC-372-75-1.

**160.10 Administrative-Use Motor Vehicles.** Documents maintained at Headquarters, DCAA, reflecting requisitions and requirements for administrative-use vehicles (staff cars), justification therefor, and approvals and disapprovals. (Destroy after 4 years). NC-273-75-1.

**160.11 Bills of Lading.** (Excluding those pertaining to shipment of household goods.) Memorandum copies of Government or commercial bills of lading and all supporting documents.

- a. **Issuing Office.** (Destroy after 3 years). NC-372-75-1.
- b. **All Other Copies.** (Destroy after 1 year). NC-372-75-1.
- c. **Bills of Lading Register.** (Destroy 3 years after final entry on register). NC-372-75-1.

**160.12 Reference Files.** Files relating to the general field of travel and transportation consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**160.13 Motor Vehicle Operating Files.** Operating records including those relating to gas and oil consumption, dispatching, and scheduling. (Destroy when 3 months old). GRS 10.2.a.

**160.14 Motor Vehicle Maintenance Files.** Maintenance records including those relating to service and repair. (Destroy when 1 year old). GRS 10.2.b.

**160.15 Motor Vehicle Accident Files.** Records relating to motor vehicle accidents, including operator's report of the accident, any investigative report, and statement of witness(es). (Destroy 6 years after case is closed). GRS 10.5.

**160.16 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 9.8.a. & 10.8.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 9.8.b. & 10.8.b.

## **200 -- Planning and Review**

**205 Planning and Review.** Relates to overall planning and review of DCAA operations.

**205.1 General.** Documents relating to planning and review which, due to their general nature, cannot logically be filed elsewhere in the 205 series. (Destroy after 2 years). NC-372-75-1.

**205.2 DCAA Advisory Council.** Documents relating to the establishment, membership, functions, agenda, minutes, reports to, recommendations, and other actions pertaining to the DCAA Advisory Council.

- a. **Executive Office.** (Permanent). NC-372-75-1.
- b. **Other Offices.** (All records pertaining to the DCAA Advisory Council retained by other offices may be destroyed, since the Council has been discontinued). NC-372-75-1.

**205.3 DCAA Annual Report.** Documents relating to the preparation and submission of the DCAA Annual Report.

- a. **HQ Office of Primary Responsibility.** (Permanent). NC-372-75-1.
- b. **Other Offices.** (Destroy after 3 years). NC-372-75-1.

**205.4 DCAA Executive Conferences.** Documents relating to DCAA Executive Conferences, including minutes and follow-up actions.

- a. **Executive Office.** (Permanent). NC-372-75-1.

- b. *Other Offices*. (Destroy after 2 years). NC-372-75-1.

**205.5 Annual Report of the Secretary of Defense.** Documents relating to input from DCAA to the Annual Report of the Secretary of Defense.

- a. *HQ Office of Primary Responsibility*. (Permanent). NC-372-75-1.
- b. *Other Offices*. (Destroy after 2 years). NC-372-75-1.

**205.6 Regional and FAO Conferences.** Documents relating to preparation, minutes, and follow-up actions of conferences held by Regional Directors.

- a. *Regional Office of Primary Responsibility*. (Destroy when superseded, obsolete, or after 5 years, whichever is earlier). NC-372-75-1.
- b. *Other Offices*. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**205.7 Staff Meetings.** Agenda and minutes of formal staff meetings called by Director, DCAA, and heads of DCAA activities.

- a. *Director, DCAA*. (Permanent). NC-372-75-1.
- b. *Regional Director*. (Destroy after 10 years). NC-372-75-1.
- c. *Other Offices*. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**205.8 Other Conferences and Meetings.** Records relating to the preparation, development, and conduct of other conferences and meetings which are not included elsewhere in these Records Disposition Schedules

- a. *Sponsoring Office*. (Destroy when superseded, obsolete, or after 3 years, whichever is earlier). NC-372-75-1.
- b. *Participating Offices*. (Destroy when superseded, obsolete, or after 1 year, whichever is earlier). NC-372-75-1.

**205.9 Delegations of Authority.** Documents created in the process of designating specific individuals to fill specific positions, such as property control officers, security control officers, transportation officers/agents, personnel officers, records management officers, safety officers, and similar positions. (Destroy 2 years after termination of appointment). NC-372-75-1.

**205.10 Reference Files.** Files relating to the general field of planning and review consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## **Preparedness Planning**

**210 Preparedness Planning.** Relates to planning for preparedness to meet and respond to international, mobilization, war, and emergency situations.

**210.1 General.** Documents relating to preparedness planning which, due to their general nature, cannot logically be filed elsewhere in the 210 series. (Destroy after 2 years). GRS 18.26.

**210.2 Emergency Planning.** Documents relating to planning involving foreign situations and problems of national defense planning and operations as they affect DCAA; plans, policies, and procedures relating to the program objectives and preparedness measures taken for general or limited war, such as mobilization, continuation of operations, and civil defense; and emergency support for civil disturbances, natural disasters, etc.

a. **Security Officer, DCAA.** (Permanent). NC-372-75-1.

b. **Regional Security Control Officers.** (Destroy 5 years after supersession or obsolescence). NC-372-75-1.

c. **Other Offices.** (Destroy upon supersession or obsolescence). NC-372-75-1.

**210.3 Tests and Exercises.** Documents accumulated as a result of participating in testing various emergency plans, including announcements of tests to be conducted, instructions to participants, staffing assignments, test messages, tests of communications and facilities, documents reflecting simulated situations and actions, reports, and similar documents, **Excluding** consolidated and comprehensive reports. (Destroy when 3 years old). GRS 18.28.

**210.4 Fire Evacuation Plans.** Plans and other documents relating to exercises to ensure prompt action in safeguarding life and property in the event of fire. (Destroy when superseded or obsolete). NC-372-75-1.

**210.5 Bomb Threat Plans.** Plans and other documents relating to exercises to ensure prompt action in safeguarding life and property in the event of bomb threats and similar situations. (Destroy when superseded or obsolete). NC-372-75-1.

**210.6 Serious Incident Reports.** Reports maintained by Security Control Officers of serious incidents which could possibly activate emergency and preparedness plans. (Destroy when superseded, obsolete, or 3 years after receipt of final report, whichever is earlier). NC-372-75-1.

**210.7 Reference Files.** Files relating to the general field of preparedness planning consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

### **Review and Analysis**

**220 Review and Analysis.** Relates to records accumulated as a result of reviews and surveys which provide for the factual evaluation of the effectiveness and economy of DCAA operations, methods, and procedures.

**220.1 General.** Documents relating to review and analysis which, due to their general nature, cannot logically be filed elsewhere in the 220 series. (Destroy after 2 years). NC-372-75-1.

**220.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on review and analysis, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**220.3 General Purpose Surveys.** Report of survey; documents relating to actions initiated by findings in the report; requests for corrective action; and subsequent responses to surveys performed by Headquarters, DCAA.

a. **Office Performing Survey.** (Permanent). NC-372-75-1.

b. **Team Members From Other Offices.** (Destroy after 5 years). NC-372-75-1.

c. **Office Reviewed.** (Destroy after next comparable review or upon discontinuance of office, whichever is earlier). NC-372-75-1.

d. **Other Copies of Survey.** (Destroy when superseded or obsolete). NC-372-75-1.

**220.4 Special Studies and Analyses.** Records accumulated in specific studies or analyses of plans and performance relating to Agency operations made by any Headquarters staff element or Regional Office.

a. **Headquarters Office Performing Survey.** (Permanent). NC-372-75-1.

b. **Regional Office Performing Survey.** (Destroy after 10 years). NC-372-75-1.

c. **Other Copies.** (Destroy when superseded or obsolete). NC-372-75-1.

**220.5 Regional Headquarters Visits to FAOs.** Documents relating to planning and accomplishing visits to FAOs by representatives of the Regional Headquarters to render assistance or to make overall evaluation of the operations. (Destroy after next comparable visit or upon deactivation of the FAO, whichever is earlier). NC-372-75-1.

**220.6 Functional Surveys and Reviews.** Documents relating to surveys and reviews of a specific function, rather than an overall survey of an office

**Note: Regional Headquarters may include these files in 220.5; however, when this is done, this file should be so annotated.**

a. **Office Performing Survey.** (Destroy after next comparable survey or after 3 years, whichever is earlier). NC-372-75-1.

b. **Office Surveyed.** (Destroy after next comparable survey, upon deactivation of the office, or after 3 years, whichever is earlier). NC-372-75-1.

**220.7 Scheduling.** Documents accumulated in reviewing and coordinating planned surveys and reviews. Included are schedules of proposed visits, itineraries, approvals, requests for changes, and related documents. (Destroy after 3 years). NC-372-75-1.

**220.8 Reference Files.** Files relating to the general field of review and analysis consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

### **Internal Management Control**

**221 Internal Management Control.** Relates to records accumulated as a result of performing evaluations of accounting and administrative controls to prevent waste, fraud, and mismanagement in support of OMB Circular A-123, Internal Control Systems and P.L. 97-255, the Federal Manager's Financial Integrity Act.

**221.1 General.** Documents relating to review and analysis which, due to their general nature, cannot logically be filed elsewhere in the 221 series. (Destroy after 2 years). GRS 14.1.

**221.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on internal control, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications. (Destroy when superseded). GRS 16.14.a.

**221.3 Management Control Plans.** Comprehensive plans documenting the Agency's efforts to ensure sound internal controls. (Destroy when superseded). GRS 16.14.b.

**221.4 Risk Analysis.** Vulnerability Assessment and Summary Control Evaluation Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions. (Cut off closed files annually. Destroy after next comparable review is completed). GRS 16.14.c.

**221.5 Internal Reviews.** Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems.

a. **Executive Office.** (Cut off when no further corrective action is necessary. Destroy 5 years after cutoff). GRS 16.14.f.(1).

b. **Other Offices.** (Cut off when no further corrective action is necessary. Destroy 1 year after cutoff). GRS 16.14.f.(2).

**221.6 Annual Report.** Director's Annual Statement of Assurance and input annual reports and assurance statements of HPSEs, regions, Field Detachment, and DCAI.

a. **Executive Office.** (Cut off when no further corrective action is necessary. Destroy 10 years after cutoff). GRS 16.14.d.

b. **Other Offices.** (Cut off when no further corrective action is necessary. Destroy 4 year after cutoff). GRS 16.14.d.

**221.7 Reference Files.** Files relating to the general field of internal control consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, which is earlier). GRS 14.1.

**221.8 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 14.37.a. & 16.15.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 14.37.b. & 16.15.b.

### **External Inspections and Investigations**

**225 External Inspections and Investigations.** Relates to inspections and investigations by non-DCAA activities, such as representatives of the Office of the Secretary of Defense, General Accounting Office, and inspections of other organizations in which DCAA has an interest.

**225.1 Congressional Investigations and Hearings.** Documents relating to investigations and hearings by Congress, **Excluding** hearings regarding appropriations (410) and specific contracts (700), including material relating to selection of witnesses to appear before and the presentation of evidence to Congressional Committees; Committee reports, analyses, and actions, and related material.

a. **Headquarters Office of Primary Responsibility.** (Permanent). NC-372-75-1.

b. **Other Offices.** (Destroy after 5 years). NC-372-75-1.

**225.2 General Accounting Office Investigations and Audits.** Documents relating to investigations of DCAA conducted by GAO, including reports and documents reflecting action thereon, **Excluding** GAO Audit Report Reviews (703 and 763).

a. **Headquarters Office of Primary Responsibility.** (Destroy 10 years after due date of report). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded, obsolete, or after 3 years, whichever is earlier). NC-372-75-1.

**225.3 Office of Secretary of Defense Inspections.** Documents relating to inspections of DCAA conducted by the Office of the Secretary of Defense, including reports and documents reflecting action thereon.

a. **Headquarters Office of Primary Responsibility.** (Destroy 10 years after date of report). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded, obsolete, or after 3 years, whichever is earlier). NC-372-75-1.

**225.4 Inspector General.** Relates to inspections, investigations, and complaints handled by the IG that affect DCAA. (Destroy when superseded, obsolete, or after 3 years, whichever is earlier). NC-372-75-1.

**225.5 Reference Files.** Files relating to the general field of external inspections and investigation consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**225.6 General Services Administration Investigations and Audits.** Documents relating to inspections of DCAA conducted by the General Services Administration, including reports and documents reflecting action thereon.

a. **Headquarters Office of Primary Responsibility.** (Destroy 10 years after date of report). SF 115, NI-372-94-2, Item 1.

b. **Other Offices.** (Destroy when superseded, obsolete, or after 3 years, whichever is earlier). SF 115, NI-372-94-2, Item 1.

## **Economic Analysis**

**230 Economic Analysis.** Records relating to savings and benefits derived from cost avoidance, cost reduction, capital investments, economic analysis, and similar programs.

**230.1 General.** Documents relating to economic analysis which, due to their general nature, cannot logically be filed elsewhere in the 230 series. (Destroy after 2 years). NC-372-75-1.

**230.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on economic analysis and similar programs, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.



a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**230.3 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to economic analysis and similar programs. (Destroy after 3 year). NC-372-75-1.

**230.4 Project Files.** Case files relating to specific projects concerning cost reduction, capital investments, and economic analysis. (Destroy 5 years after completion of project). NC-372-75-1.

**230.5 Reference Files.** Files relating to the general field of legal matters consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## **Legal Matters**

**240 Legal Matters.** Relates to all legal matters concerning DCAA.

**240.1 General.** Documents relating to legal matters which, due to their general nature, cannot logically be filed elsewhere in the 240 series. (Destroy after 3 years). NC-372-75-1.

**240.2 Statements of Employment and Financial Interests.** DD Form 1555 and comparable statements which include confidential statements filed under Executive Order 11222.

**Note:** *Copies of these statements are to be maintained Only by Counsel, DCAA, and the immediate supervisor.*

a. **Counsel.** (Destroy when 6 years old; **Except** that documents needed in an ongoing investigation will be retained until no longer needed in the investigation). GRS 1.24.b.

b. **Supervisors.** (Destroy upon transfer or separation of employee). NC-372-75-1.

**240.3 Legal Opinions.** Records accumulated in the rendering of legal opinions relating to all aspects of the operation and administration of DCAA.

a. **Counsel.** (Permanent). NC-372-75-1.

b. **Other Offices.** (File in appropriate subfunction file, and dispose accordingly). NC-372-75-1.

**240.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements not otherwise identified in the 240 series required of the Office of Counsel, DCAA. (Destroy after 3 years). NC-372-75-1.

**240.5 Reference Files.** Files relating to the general field of legal matters consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**240.6 Standards of Conduct, Conflict of Interest.** Documents and background material on any apparent conflict of interest or acceptance of gratuities by DCAA personnel.

a. **Counsel.** (Permanent). NC-372-75-1.

b. **Other Offices.** (Destroy after 5 years). NC-372-75-1.

### **Interagency and International Liaison**

**250 Interagency And International Liaison.** Relates to DCAA relationships with other Government agencies and foreign countries.

**250.1 General.** Documents relating to interagency and international liaison which, due to their general nature, cannot be filed elsewhere in the 250 series. (Destroy after 2 years). NC-372-75-1.

**250.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on interagency and international liaison, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**250.3 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements concerning interagency and international liaison. (Destroy after 3 years). NC-372-75-1.

**250.4 Reference Files.** Files relating to the general field of interagency and international liaison consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

### **Legislative and Congressional**

**260 Legislative and Congressional.** Relates to legislation, executive orders, proclamations, and to liaison with the White House and Congress. See 225 for Congressional Investigations.

**260.1 General.** Documents relating to legislative and Congressional matters which, due to their general nature, cannot logically be filed elsewhere in the 260 series. (Destroy after 2 years). NC-372-75-1.

**260.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on legislative and Congressional matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**260.3 Legislation.** Drafts of proposed legislation, executive orders, and proclamations; DCAA comments and recommendations relative to legislation, executive orders, and proclamations; background and supporting documents.

- a. **Counsel.** (If proposed by DCAA, **Permanent**. If proposed by others, destroy after 5 years). NC-372-75-1.
- b. **Other Offices.** (Destroy after 2 years). NC-372-75-1.

**260.4 White House Correspondence.** Correspondence from the White House requesting information about DCAA activities, or on behalf of citizens.

- a. **Executive Office.** (Permanent). NC-372-75-1.
- b. **Other Offices.** (Destroy after 5 years). NC-372-75-1.

**260.5 Committee Correspondence.** Correspondence with Congressional Committees regarding information about DCAA activities.

- a. Headquarters Office of Primary Responsibility. (Permanent.) NI-372-00-2 Retire records per DCAAM 5015.1, 4-1c(10) cut-off instructions. Transfer to the National Archives 30 years after cut-off. **Electronic copies, delete 1 year after final action Recordkeeping copy, paper**
- b. Other Offices. (Destroy after 5 years.) NI-372-00-2

**260.6 Congressional Correspondence.** Correspondence with individual Members of Congress concerning letters from their constituents requesting information and assistance in obtaining employment. (Destroy after 5 years). NC-372-75-1.

**260.7 Reference Files.** Files relating to the general field of legislative and Congressional matters consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## **Organization and Functions**

**270 Organization and Functions.** Relates to the establishment of and changes in organization and functions, activation and deactivation of offices, and related material.

**270.1 Defense Contract Audit Agency.** Documents relating to the overall organization and functions of DCAA, including charts, manuals, statements, and similar documents, and rationale for significant changes.

- a. **Headquarters Office of Primary Responsibility.** (Permanent). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or obsolete). NC-372-75-1.

**270.2 Headquarters, DCAA.** Documents relating to the organization and functions of Headquarters, DCAA, including charts and rationale for significant changes.

- a. **Headquarters Office of Primary Responsibility.** (Permanent). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or obsolete). NC-372-75-1.

**270.3 Regional Headquarters.** Documents relating to the organization and functions of regional headquarters, including charts and rationale for significant changes.

- a. **Headquarters Office of Primary Responsibility.** (Permanent). NC-372-75-1.
- b. **Regional Office of Primary Responsibility.** (Destroy after 10 years). NC-372-75-1.
- c. **Other Offices.** (Destroy when superseded or obsolete). NC-372-75-1.

**270.4 Field Audit Offices.** Documents relating to the activation and deactivation, organization and functions of field audit offices, including charts, correspondence relating thereto, and rationale for changes.

- a. **Headquarters Office of Primary Responsibility.** (Permanent). NC-372-75-1.
- b. **Regional Office of Primary Responsibility.** (Destroy 5 years after FAO is deactivated). NC-372-75-1.
- c. **FAO.** (Destroy upon deactivation of FAO). NC-372-75-1.

**270.5 Reference Files.** Files relating to the general field of organization and functions consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

### **Committee Management**

**275 Committee Management.** Relates to official interagency and inter-service groups in which DCAA participates or has an interest that are established to consider, investigate, advise, take action, and report to the appointing authority. The term “committee” is considered to include councils, boards, commissions, subcommittees, panels, subpanels, **Excluding** committees

specifically identified under a related secondary function, such as DAR (formerly ASPR) and CASB.

**275.1 General.** Documents relating to committee management which, due to their general nature, cannot logically be filed elsewhere in the 275 series. (Destroy after 2 years). NC-372-75-1.

**275.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on committee management matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**275.3 Committee Files.**

a. **Interagency Committee Files.** Documents relating to the establishment, organization, membership, operations, and dissolution of joint, interdepartmental, interagency, or interservice committees, such as Federal Executive Boards, etc., **Excluding** committees specifically identified under a related secondary function.

(1) **When DCAA Holds Chairmanship.** (Permanent). NC-372-75-1.

(2) **Individual Members.** (Destroy 5 years after termination of participation). NC-372-75-1.

b. **Intra-agency Committee Files.** Documents relating to the establishment, organization, membership, and operations of intra-agency committees, excluding committees specifically covered under other sections of the DCAA Files Maintenance and Disposition Manual (example: 730.8, Audit Policy Committee Representation).

(1) **DCAA Office Which Holds Chairmanship.** (Destroy after 10 years, except for routine background material, which should be destroyed when no longer needed). NC-372-75-1.

(2) **Other Offices.** (Destroy when no longer needed). NC-372-75-1.

**275.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements concerning DCAA's participation in and management of committees. (Destroy after 3 years). NC-372-75-1.

**275.5 Reference Files.** Files relating to the general field of committee management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## Management Improvement

**280 Management Improvement.** Relates to planning and carrying out an organized program for finding and installing more effective, efficient, and economical ways of doing work through simplification of work procedures and application of management analysis techniques.

**280.1 General.** Documents relating to management improvement which, due to their general nature, cannot logically be filed elsewhere in the 280 series. (Destroy after 2 years). NC-372-75-1.

**280.2 Policies and Procedures.** Documents relating to the development preparation, issuance, and interpretation of directives or regulatory instructions on management improvement, including copies of interim policy statements issued prior to publication in official DCAA numbered publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**280.3 Management Surveys.** Documents created in the systematic review of an organization or a functional area by a survey, including request for or authorization to conduct the survey, the finished report, and actions taken as a result of the survey. (Destroy upon completion of next comparable survey or after 5 years, whichever is earlier). NC-372-75-1.

**280.4 Project Files.** Documents relating to specific proposals or projects to improve or simplify the manner or method of planning, directing, controlling, or doing work, such as proposals for improvement, flow process charts, work counts, motion economy studies, layout studies, procedures, drafts, and actions taken on proposals. (Destroy after 5 years). NC-372-75-1.

**280.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to management improvement.

a. **Headquarters Office of Primary Responsibility.** (Permanent). NC-372-75-1.

b. **Other Offices.** (Destroy after 3 years). NC-372-75-1.

**280.6 Reference Files.** Files relating to the general field of management improvement consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## Historical Files

**290 Historical Files.** Documents that have unusual or immediately recognizable historical significance; programs for production of specific and formal histories; and records of value to new management and staff officers.

**290.1 DCAA Histories.** Formally prepared histories, including organizational and functional histories produced by DCAA historians or others for DCAA.

- a. *DCAA Historian.* (Permanent). NC-372-75-1.
- b. *Other Offices.* (Destroy when no longer needed for reference). NC-372-75-1.

**290.2 Planning Group Documents.** Records relating to the creation and origin of DCAA and its activities.

- a. *HQ -- All Offices.* (Permanent). NC-372-75-1.
- b. *Regional HQ -- All Offices.* (Destroy after 10 years). NC-372-75-1.

**290.3 Activity Histories.** Locally prepared or collected material appropriate for retention because of its local significance, potential use in production of future organizational or functional histories, or as a source of historical fact. (Destroy when superseded by updated revision). NC-372-75-1.

**290.4 DCAA Chronological File.**

- a. Correspondence signed personally by the DCAA Director or Deputy Director and copies of letters dispatched at lower levels that are designated by the DCAA Director or Deputy Director as significant. (Permanent.) Retire records per DCAAM 5015.1, 4-1c(10) cut-off instructions. Transfer to the National Archives 30 years after cut-off.) NI-372-99-1  
*Recordkeeping copy, paper*
- b. All other correspondence going outside of the Headquarters. (Destroy after 3 years.) NI-372-99-1  
*Recordkeeping copy, media neutral*

**290.5 Regional Manager's Chronological File.** A copy of all correspondence to addressees outside the Regional Headquarters. (Regional Office of Primary Responsibility. Destroy after 15 years). NC-372-75-1.

**290.6 Principal Staff Element Chronological File.** A copy of all correspondence to addressees outside the office of the Head of the Principal Staff Element. (Office of Head of Principal Staff Element. Destroy after 3 years). NC-372-75-1.

**290.7 FAO Chronological/Reading Files.** Files of extra copies of outgoing communications arranged chronologically and maintained for periodic review by staff members or for convenience of reference. (Field Audit Offices. Destroy after 5 years). NC-372-75-1.

**290.8 Reading Files.** Files of extra copies of outgoing communications arranged chronologically and maintained for periodic review by staff members or for convenience of reference.

**Note: Offices shall not retain both chronological and reading files. (Destroy after 1 year). NC-372-75-1.**

**290.9 Executive Staff Files.** Files of the Director and Deputy Director will be retained in toto when such files are originated and prepared by that official and are inappropriate for filing under specific secondary functions. Such files may include correspondence and informal notes with DCAA officials, other U.S. Government officials, private sources, foreign governments; memorandums for the record regarding various subjects; and similar material. (Permanent). NC-372-75-1.

**290.10 Historical Background and Reference Materials.** Materials accumulated by historians or for historical purposes consisting of documents collected or maintained as source material, such as transcripts of interviews; maps, charts, and statistical compilations; special collections of policy directives and correspondence of exceptional importance; summaries of major problems and events submitted by operating officials; indexes as to type and location of historical material located elsewhere; and manuscripts and comments relating thereto.

**Note: Official record copies of documents proper for filing elsewhere will not be incorporated in this file; however, copies thereof may be included. (Destroy when no longer needed for historical reference purposes). NC-372-75-1.**

### **300 -- Personnel Administration**

**301 Personnel Administration.** Relates to personnel administration matters.

**301.1 General.** Documents relating to personnel administration which, due to their general nature, cannot logically be filed elsewhere in the 300 series. (Destroy after 2 years). NC-372-75-1

**301.2 Policies and Procedures.** Documents relating to the development preparation, issuance, and interpretation of directives or regulatory instructions on personnel matters, including copies of interim policy statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**301.3 Designation of Civilian Personnel Officer.** Use 205.9.

**301.4 Servicing Agreements.** Agreements between DCAA and non-DCAA activities for the provision of civilian personnel services. (Destroy 3 years after termination of agreement). NC-372-75-1.

**301.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements not otherwise identified under a related secondary function within the 300 series. (Destroy after 3 years). NC-372-75-1.



**301.6 Reference Files.** Files relating to the general field of personnel administration consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**301.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Position Classification and Pay**

**306 Position Classification and Pay.** Relates to the functions of determining pay rates and administering salary matters relating to civilian employees, *Excluding* position classification appeal case files. See 358.3.

**306.1 General.** Documents relating to position structure and staffing which, due to their general nature, cannot logically be filed elsewhere in the 306 series. (Destroy after 2 years). NC-372-75-1.

**306.2 Classification Standards.** Classification standards providing guidance in the evaluation of positions including classification and qualification standards. (Destroy when superseded or obsolete). GRS 1.7.a.(1).

**306.3 Standards Development.** Drafts of standards, correspondence, project schedules, and materials relating to the development of classification and qualification standards. (Destroy 5 years after position is abolished or description is superseded). GRS 1.7.a.(2).(a).

**306.4 Position Descriptions (Master File).** Certified master copies of Optional Form 8, Position Description, or comparable forms, covering all positions serviced by the civilian personnel office. (Destroy 2 years after position is abolished or description superseded). GRS 1.7.b.

**306.5 Position Descriptions (Number Log).** A log providing a continuing list of identifying numbers assigned to position descriptions. (Destroy upon discontinuance of the activity or when new numbering system is prescribed). NC-372-75-1.

**306.6 Position Descriptions (Extra Copies).** Extra copies of position descriptions maintained for use when a new incumbent is assigned, when identical positions are established, or for reference. (Destroy when position description is superseded or when position is abolished). NC-372-75-1.

**306.7 Position Descriptions (Organization File).** Folders for each organizational element containing organization and staffing charts annotated to reflect positions involved and a copy of each position description. (Destroy when superseded or obsolete). NC-372-75-1.

**306.8 Position Surveys.** Documents reflecting the periodic survey of all positions in the organization and reports related thereto, such as the Annual Supergrade and PL-313 Position Report, Annual Certification by Regional Directors, Annual Whitten Amendment Report. (Destroy when 3 years old or 2 years after a regularly scheduled DCAA or OPM inspection, whichever is earlier). GRS 1.7.c.(1)

**306.9 Wage Board Administration.** Documents relating to wage board matters, which are forwarded to DCAA for information and/or coordination. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**306.10 Special Salary Rates.** Documents relating to special salary rates, and to the annual review thereof. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**306.11 Salary Schedules.** Documents relating to general schedule salary rates; schedules, reports, and similar documents relating to pay setting for civilian employees. (Destroy when superseded or after 3 years, whichever is earlier). NC-372-75-1.

**306.12 Reference Files.** Files relating to the general field of position classification and pay consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**306.13 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

## **Recruiting and Hiring**

**311 *Recruiting and Hiring*.** Relates to the recruiting of new employees, the consideration of applicants or of eligibles from the OPM lists, and the hiring of employees.

**311.1 *General*.** Documents relating to recruiting and hiring which, due to their general nature, cannot logically be filed elsewhere in the 311 series. (Destroy after 2 years). NC-372-75-1.

**311.2 *Office of Personnel Management Certificates*.** These files provide a record of requests to the OPM for certification of eligibles, such as Request for Certification, Certificates of Eligibles, Statement of Reasons for Passing Over a Preference Eligible and Selecting a Nonpreference Eligible, and similar records. (Destroy after 2 years). GRS 1.5.

**311.3 *Applicant Supply Files*.** These files provide an index to applications of qualified eligibles, govern the order of selection of applicants for appointment used as a basis for determining subsequent recruiting needs, and provide a reference to the Qualifications Standards File. (Cutoff annually. Destroy 1 year after cutoff). GRS 1.33.b.

**311.4 *Applications*.** These files provide a repository for applications and supplementary related documents and correspondence. These files *shall not* be maintained by individual employees; only in personnel offices. (Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the FPM are observed). GRS 1.15.

**311.5 *Job Opportunity Announcements*.** Announcements of job vacancies prepared for bulletin boards, circulation to employees, other agencies, or the public. (Destroy after 2 years). NC-372-75-1.

**311.6 *Paid Advertising*.** Documents relating to advertisements placed in news media for the purpose of recruiting, *Excluding* financial documents. (Destroy after 3 years). NC-372-75-1.

**311.7 *Priority Placement (Stopper) Lists*.** Lists received periodically from the Central Referral Activity, and related documents. (Destroy after 2 years). NC-372-75-1.

**311.8 *Overseas Returnee Lists*.** Lists received periodically from the Automated Overseas Referral Activity. (Destroy after 2 years). NC-372-75-1.

**311.9 *Student Trainee Program*.** Documents relating to all phases of the student trainee program, including recruiting, placement, training, and evaluation, *Excluding* individual records. See 315.11, Career Files. (Destroy when superseded, obsolete, or after 1 year, whichever is earlier). NC-372-75-1.

**311.10 *Recurring Reports and Information Requirements*.** Recurring reports and one-time information requirements concerning recruiting and student training. (Destroy after 3 years). NC-372-75-1.

**311.11 *Reference Files*.** Files relating to the general field of recruiting and hiring consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes,

workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**311.12 *Electronic Mail and Word Processing System Copies.*** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Career Management**

**315 *Career Management.*** Relates to DCAA programs designed to manage the career or the development of employee's capabilities through a program of selection and assignments; increased promotional opportunities through Agency-wide referral of vacancy lists or consideration by use of centralized qualification records; merit promotion, job rotation, reassignment, and details; overseas rotation; and similar programs.

**315.1 *General.*** Documents relating to career management which, due to their general nature, cannot logically be filed elsewhere in the 315 series. (Destroy after 2 years). NC-372-75-1.

**315.2 *Career Programs.*** Record copy of career program supplements maintained for each of several career fields for civilian employees. Includes materials such as drafts, concurrences, recommendations for changes, and similar documents. Do not include files on individuals. (Destroy 5 years after supersession or obsolescence). NC-372-75-1.

**315.3 *Qualification Standards.*** Documents used in rating applications for appointments and approving non-competitive actions, consisting of index to standards, OPM Handbook X-118, examination announcements, and special standards, such as promotion and training agreements. Do not include files on individuals. (Destroy when superseded or no longer needed for reference). NC-372-75-1.

**315.4 *Applications for Promotion.*** Forms prepared by employee applicants under the promotion and placement program and used as a record of employee's skills.

- a. ***Forms for ineligible applicants.*** (Return to applicant). NC-372-75-1.
- b. ***Forms for eligible applicants not selected.*** (Destroyed after 1 year). NC-372-75-1.

c. **Forms for eligible applicants who are selected.** (Filed in the Official Personnel Folder). NC-372-75-1.

**315.5 Reemployment Rights.** These files provide a register of persons having reemployment rights or to whom there is an obligation to reemploy, such as persons separated by reduction in force or for military service, skills listings, and similar documents. (Destroy after expiration or loss of employee's reemployment priority rights unless an appeal is pending. Destroy lists after expiration of eligibility of all persons on the list). NC-372-75-1.

**315.6 Reassignments, Job Rotation, and Details.** Documents relating to the reassignment, rotation, and detailing of individual DCAA employees. (Destroy 1 year after termination of employment). NC-372-75-1.

**315.7 Referral Lists.** Lists reflecting referral of names for consideration against vacancies, including requests for such lists, and copies of or notations regarding inquiries as to interest in vacancies. (Destroy when 2 years old). GRS 1.5.

**315.8 Promotion Register and Record.** Papers documenting promotion actions under the Federal Merit Promotion Program. (Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner). GRS 1.32.

**315.9 Executive Manpower Resources Board Activities.** Documents relating to EMRB operations, such as policies and procedures, memberships, agenda, minutes of meetings, and related documents.

a. **EMRB Recorder.** (Destroy after 10 years). NC-372-75-1.

b. **Other Copies.** (Destroy when no longer needed for reference, or after 2 years, whichever is earlier). NC-372-75-1.

**315.10 Executive Development Program.** Documents relating to the Executive Development Program and individual participants. (Destroy 5 years after supersession or obsolescence). NC-372-75-1.

**315.11 Career Files.** Copies of performance evaluations, assessments of promotion potential; SF 171, Employee Qualification Record; individual employee inventory record; experience resume; record of training; copies of letters of commendation and appreciation; official performance ratings, report of professional activities; auditor progress reports, auditor's availability statements, and similar information concerning the auditor's career. (The Career File will accompany the OPF on intra-agency reassignments. Destroy Career File upon separation of employee from Agency). NC-372-75-1.

**315.12 Career Management Board Activities.** Documents relating to regional Career Management Board operations, such as policies and procedures, memberships, agenda, minutes of meetings, and related documents.

a. **CMB Recorder.** (Destroy after 5 years). NC-372-75-1.

b. **Other Copies.** (Destroy when no longer needed for reference or after 2 years, whichever is earlier). NC-372-75-1.

**315.13 Reference Files.** Files relating to the general field of career management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**315.14 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

## **Training**

**321 Training.** Relates to training through DCAA resources, other Government training, or non-Government training.

**321.1 General.** Documents relating to training which, due to their general nature, cannot logically be filed elsewhere in the 321 series. (Destroy after 5 years). GRS 1.29.a.(1).

**321.2 Training Plans.** Documents reflecting overall programming and scheduling of training and reports of progress thereon, such as the Government Employee Training Act (GETA) report.

a. **Training Office.** (Destroy after 5 years). NC-372-75-1.

b. **Other Offices.** (Destroy after 2 years). NC-372-75-1.

**321.3 Career Files.** See 315.11.

**321.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements not covered in other training subfunction files. (Destroy after 5 years). GRS 1.29.a.(1).

**321.5 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes

electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Local Training**

**322 Local Training.** Relates to training provided by each component of DCAA.

**322.1 Component Administered Auditor Training.** Documents relating to specific auditor training courses conducted at DCAA activities utilizing local, Institute, or Headquarters personnel as instructors. Includes records of on-site and written assistance, evaluations of field performance and justification for in depth reviews, if required. (Destroy after 5 years). GRS 1.29.a.(1).

**322.2 Component Administered Non-Auditor Training.** Documents relating to specific non-auditor training courses conducted at DCAA activities utilizing local, Institute, or Headquarters personnel as instructors. (Destroy after 5 years). GRS 1.29.a.(1).

**322.3 Component Administered Course Evaluations.** Documents relating to course reports, critiques by students, and evaluation reports of component administered courses. (Destroy after 5 years). GRS 1.29.a.(1).

**322.4 Defense Contract Audit Institute Management and Supervision.** Documents relating to the overall administration and management of DCAI such as correspondence between Headquarters and DCAI, *Excluding* specific course records. (Destroy after 5 years). GRS 1.29.a.(1).

**322.5 DCAI Courses.** The Official Record Copy of each course manual, both instructor's and student's, prepared for use in courses conducted at DCAI or self-study courses administered by DCAI.

- a. **DCAI.** (Destroy 5 years after revision, obsolescence, or discontinuation of the related course). SF 115, NI-372-94-1, Item 1).
- b. **Other Offices.** (Destroy when no longer needed for reference). SF 115, NI-372-94-1, Item 1).

**322.6 Course Development, Background, and Evaluation.** Background documents and workpapers accumulated in the process of development, presentation, and evaluation of DCAA courses. (Destroy after 5 years). GRS 1.29.a.(1).

**322.7 Students and Instructors.** Documents relating to applications and selection of students and guest instructors from DCAA personnel. (Destroy after 2 years). NC-372-75-1.

**322.8 Non-DCAA Participation.** Records relating to policies and procedures concerning participation of non-DCAA personnel as students and instructors at DCAI, including letters of agreement and understanding between DCAA and other organizations and similar documents. **Excludes** records pertaining to the participation of an individual at a specific course. (Destroy when superseded, obsolete, or 3 years after termination of agreement, whichever is earlier). NC-372-75-1.

**322.9 Reference Files.** Files relating to the general field of training consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**322.10 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Non-DCAA Training**

**323 Non-DCAA Training.** Relates to training of employees in non-DCAA facilities, **Excluding** financial documents.

**323.1 General.** Documents relating to non-DCAA training which, due to their general nature, cannot logically be filed elsewhere in the 323 series. (Destroy after 2 years). NC-372-75-1.

**323.2 Other Government Training.** Documents relating to training of DCAA employees in other Government training facilities including agreements, requests for quotas or personnel spaces, evaluations or comments, and similar material. (Destroy after 5 years). GRS 1.29.b.



**323.3 Non-Government Training.** Documents relating to training of DCAA employees in non-Government training facilities, including requests for approval of such training, agreements, copies of obligated service agreements, if any, and similar material. (Destroy after 5 years). GRS 1.29.b.

**323.4 Reference Files.** Files relating to the general field of non-DCAA training consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**323.5 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Professional Activities**

**330 Professional Activities.** Relates to the participation of DCAA employees in professional activities outside DCAA and CPA accreditation.

**330.1 General.** Documents relating to professional activities which, due to their general nature, cannot logically be filed elsewhere in the 330 series. (Destroy after 2 years). NC-372-75-1.

**330.2 CPA Accreditation.** Correspondence with State boards regarding acceptance of DCAA experience as qualifying for taking the CPA examination and for certification; correspondence with professional societies, CPA firms, other Government agencies, colleges, and universities regarding the auditing profession. (Destroy when superseded, obsolete, or no longer needed for reference). NC-372-75-1.

**330.3 CPA Preparation.** Documents relating to the CPA coaching courses provided to auditors by DCAA. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**330.4 Professional Activity Case Files.** Documents relating to the participation of DCAA employees in professional activities outside DCAA, such as the Association of Government Accountants, and similar organizations. (Destroy after 2 years). NC-372-75-1.

**330.5 Reports on Professional Activities.** Copies of submissions for publication in the DCAA Bulletin and similar reports relating to participation in professional activities. (Transmittal letters will be destroyed after each month's activities are recorded. Individual activity report will be filed in employee's career folder. See 315.11). NC-372-75-1.

**330.6 Reference Files.** Files relating to the general field of professional activities consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**330.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Incentive And Accomplishment Awards**

**341 Incentive And Accomplishment Awards.** Relates to the system of awards and incentives for superior accomplishments, acts, or suggestions which have contributed to the efficiency and economy in administration and operations.

**341.1 General.** Documents relating to incentive and accomplishment awards which, due to their general nature, cannot logically be filed elsewhere in the 341 series. (Destroy after 2 years). NC-372-75-1.

**341.2 Incentive Awards Reports.** Summary and consolidated reports on monetary and non-monetary awards maintained in Personnel Office. (Destroy after 3 years). GRS 1.13.

**341.3 Register of Honorary and Monetary Awards (Except Suggestions).** Register maintained in Personnel Office of nominations received, approved, disapproved, amount of award paid, and dates. (Destroy when superseded or obsolete). GRS 1.12.d.

**341.4 Incentive Awards Boards.** Documents maintained by members relating to board operations such as policies and procedures, memberships, and comparable papers. (Destroy when superseded, obsolete, or after 3 years, whichever is earlier). NC-372-75-1.

**341.5 Nominations for Awards.** Case files of recommendations together with supporting papers submitted by operating officials and related papers incident to consideration of employees for performance awards and honorary awards, such as Outstanding Performance, Quality Salary Increases, Special Achievement, Distinguished Civilian Service, Meritorious Civilian Service, Civilian Award for Achievement, Publications Award, Presidential Civilian Service, Federal Womens Award, Outstanding Handicapped Federal Employee, National Civil Service League Career Service, Arthur S. Flemming, Rockefeller Public Service, William A. Jump Memorial, and similar performance and honorary awards. (Destroy 2 years after approval or disapproval). GRS 1.12.a.(1).

**341.6 Letters of Commendation and Appreciation.** Copies of letters recognizing length of service and retirement; letters of appreciation and commendation for performance, **Excluding** those copies filed in Official Personnel Folders. (Destroy after 2 years). GRS 1.12.c.

**341.7 Civilian Service Emblem Control Files.** Requisitions for and controls maintained by Personnel Office to record eligibility for award of emblems. (Destroy after 2 years). NC-372-75-1.

**341.8 Employee Suggestion Register.** Registers or controls of employee suggestions received in Personnel Office. (Destroy 2 years after final action is taken on all suggestions listed thereon). NC-372-75-1.

**341.9 Employee Suggestions.** Case files maintained in Personnel Office for specific suggestions made by civilian employees to improve administration and operations, including both approved and rejected suggestions. Includes acknowledgment of receipt of suggestion, evaluation, approval or rejection, and issue of awards. (Destroy 2 years after approval or disapproval). GRS 1.12.a.(1).

**341.10 Reference Files.** Files relating to the general field of incentive and accomplishment awards consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**341.11 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

## Equal Employment Opportunity

**346 Equal Employment Opportunity.** Relates to the program for equal employment opportunity.

**346.1 General.** Documents relating to equal employment opportunity which, due to their general nature, cannot logically be filed elsewhere in the 346 series. (Destroy when 3 years old or when superseded, or obsolete, whichever is applicable). GRS 1.25.g.

**346.2 Affirmative Action Plans.** Annual reports showing the existing problems related to EEO, and the plans for improvement.

- a. **DCAA EEO Officer.** (Destroy after 5 years). NC-372-75-1.
- b. **Regional EEO Officer.** (Destroy after 3 years). NC-372-75-1.
- c. **Other Offices.** (Destroy when no longer needed for reference or after 2 years, whichever is earlier). NC-372-75-1.

**346.3 Annual Report.** Narrative report showing the problems, accomplishments, and other matters relative to the EEO program.

- a. **DCAA EEO Officer.** (Destroy after 5 years). NC-372-75-1.
- b. **Regional EEO Officer.** (Destroy after 3 years). NC-372-75-1.
- c. **Other Offices.** (Destroy when no longer needed for reference or after 2 years, whichever is earlier). NC-372-75-1.

**346.4 Special Reports on EEO.** Reports on specific EEO programs, such as the status of women, minority groups, mentally handicapped, and similar recurring or one-time information requirements concerning the DCAA EEO Program.

- a. **DCAA EEO Officer.** (Destroy after 5 years). NC-372-75-1.
- b. **Regional EEO Officer.** (Destroy after 3 years). NC-372-75-1.
- c. **Other Offices.** (Destroy when no longer needed for reference or after 2 years, whichever is earlier). NC-372-75-1.

**346.5 Reference Files.** Files relating to the general field of equal employment opportunity consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**346.6 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes

electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Labor-Management Relations**

**347 Labor-Management Relations.** Relates to documents regarding the relationship between management and employee unions, groups, or associations.

**347.1 General.** Documents relating to labor-management relations which, due to their general nature, cannot logically be filed elsewhere in the 347 series. (Destroy after 2 years). NC-372-75-1.

**347.2 Case Files.** Documents relating to the relationship between management and individual employee unions, groups, or associations, such as petitions for exclusive recognition, agreements, and similar documents.

- a. **Office Negotiating Agreement.** (Destroy 5 years after supersession or obsolescence). NC-372-75-1.
- b. **Other Offices.** (Destroy when no longer needed for reference). NC-372-75-1.

**347.3 Labor Relations.** Documents relating to work stoppages and strikes, strike reports, correspondence relating to settlement of disputes, and related documents. (Destroy 3 years after close of case). NC-372-75-1.

**347.4 Reference Files.** Files relating to the general field of labor-management relations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**347.5 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail

directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Standards of Conduct**

**349 Standards of Conduct.** Relates to the system designed to ensure that all DCAA personnel do not have conflicts of interest and are aware of and adhere to codes of ethics and standards of conduct.

**349.1 General.** Documents relating to standards of conduct which, due to their general nature, cannot logically be filed elsewhere in the 349 series. (Destroy after 2 years). NC-372-75-1.

**349.2 Operations.** Documents reflecting the operation of the system designed to ensure that all personnel read and fully understand the standards of conduct and ethics required of them. (Destroy when obsolete or superseded). GRS 1.27.

**349.3 Reference Files.** Files relating to the general field of standards of conduct consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**349.4 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Adverse Personnel Actions**

**350 Adverse Personnel Actions.** Relates to relationships with employees in the areas of discipline, adverse personnel actions, changes to lower grade and reduction in force.

**350.1 General.** Documents relating to adverse personnel actions which, due to their general nature, cannot be filed elsewhere in the 350 series. (Destroy after 2 years). NC-372-75-1.

**350.2 Competitive Levels.** Logs, registers, or other control documents maintained by Personnel Office for the purpose of documenting determinations as to specific competitive levels within areas serviced by the civilian personnel office. (Destroy 1 year after supersession or obsolescence). NC-372-75-1.

**350.3 Retention Registers.** Retention registers or lists maintained by Personnel Office for each competitive level affected by a reduction in force and lists reflecting information as to employees retained and those separated during the reduction in force. (Destroy after 2 years *Unless* an appeal is pending. Destroy files relating to an appeal 2 years after settlement of the appeal). GRS 1.17.b.(1).

**350.4 Reduction in Force.** Documents relating to reduction in force, *Excluding* appeal case files. See 358, such as the Centralized Priority Referral System, Displaced Employee Program, and similar records. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**350.5 Reference Files.** Files relating to the general field of adverse personnel actions consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**350.6 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Employee Complaints, Grievances, and Appeals**

**358 Employee Complaints, Grievances, and Appeals.** Relates to EEO complaints, grievances, and appeals of DCAA employees.

**358.1 General.** Documents relating to complaints, grievances, and appeals which, due to their general nature, cannot logically be filed elsewhere in the 358 series. (Destroy after 2 years). NC-372-75-1.

**358.2 EEO Complaints.** Individual employee case files (the official Equal Employment Opportunity complaint case file as described by 5 CFR 713.222) including basic documents, records of hearings or meetings, copy of decision rendered, and related correspondence and exhibits.

**358.2.1** When case is resolved within DCAA, by EEOC, or by a U.S. Court. (Destroy 4 years after resolution of case). GRS 1.25.a.

**358.2.2** All other copies of EEO complaint case files or duplicates of documents pertaining to case files which are included in case files retained in 358.2.1 above. (Destroy 1 year after resolution of case). GRS 1.25.b.).

**358.2.3** All background documents pertaining to the case but not included in case files retained under 358.2.1 above. (Destroy 2 years after resolution of case). GRS 1.25.c.

**358.3 Administrative Grievance, Disciplinary, and Adverse Action Files.**

**358.3.1 Administrative Grievance Files.** Records maintained in Personnel Office relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request. (Destroy 4 years after case is closed). GRS 1.30.a.

**358.3.2 Adverse Action Files and Performance-Based Actions.** Case files and records maintained in Personnel Office related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statement of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records. Excluding letters of reprimand which are filed in the OPF. (Destroy 4 years after case is closed. GRS 1.30.b.

**358.4 Reference Files.** Files relating to the general field of employee complaints, grievances, and appeals consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier. NC-372-75-1.

**358.5 Certificates of Classification.** Certificates of Classification maintained in Personnel Office issued by OPM which are involved in an appeal. (Destroy after affected position is abolished or superseded). GRS 1.7.d.(2).

**358.6 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.



- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Employee Benefits**

**361 *Employee Benefits*.** Relates to employee benefits such as health benefits, compensation for injury, severance pay, unemployment compensation, retirement, and life insurance.

**361.1 *General*.** Documents relating to employee benefits which, due to their general nature, cannot logically be filed elsewhere in the 361 series. (Destroy after 2 years). NC-372-75-1.

**361.2 *Benefit Files*.** Project files relating to employee benefits such as health benefits, compensation for injury, severance pay, unemployment compensation, retirement, and life insurance, ***Excluding*** documents filed in Official Personnel Folders and individual accident case files. See 371 and 130. (Destroy when superseded, obsolete, or after 3 years, whichever is earlier). NC-372-75-1.

**361.3 *Reference Files*.** Files relating to the general field of employee benefits consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**361.4 *Electronic Mail and Word Processing System Copies*.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Quality of Life**

**366 Quality Of Work Life.** Federal personnel flexibilities and programs aimed at assisting federal employees to balance work and personal responsibilities.

**Recordkeeping copy:**

**Current format, paper**  
**Interim format, media neutral**  
**Proposed format, electronic**

**366.1 General.** Documents relating to quality of work life programs which, due to their general nature, cannot logically be filed elsewhere in the 366 series. (Destroy after 2 years.) NI-372-01-1, Item 1

**366.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on quality of work life matters, including copies of interim policy statements issued prior to publication in official DCAA numbered policy publications.

- a. Headquarters Issuing Office. (Destroy after 10 years.) NI-372-01-1, Item 2
- b. Other Offices. (Destroy when superseded or cancelled or after 4 years, whichever is earlier.) NI-372-01-1, Item 3

**366.3 Child Care and Elder Care.** Documents relating to the concepts, development, administration and reports and analyses of Child Care and/or Elder Care issues, policies, programs, and initiatives.

- a. **Headquarters Office of Primary Responsibility.** (Destroy 3 years after date of document.) NI-372-01-1, Item 4
- b. **Program Implementation.**
  1. Approved requests or applications. (Destroy 1 year after end of employee's participation in the program.) NI-372-01-1, Item 5
  2. Disapproved requests or applications. (Destroy 1 year after request is rejected.) NI-372-01-1, Item 6
  3. Forms and other records generated by the agency or the participating employee evaluating the child care and elder care programs. (Destroy when 1 year old, or when no longer needed, whichever is later.) NI-372-01-1, Item 7
- c. **All Other Offices.** (Destroy 2 years after date of document.) NI-372-01-1, Item 8

**366.4 Alternative Work Schedules.** Documents relating to concepts, development, administration, and reports and analyses of alternative work schedules issues, policies, programs, and initiatives.

- a. **Headquarters Office of Primary Responsibility.** (Destroy 3 years after date of document.) NI-372-01-1, Item 9

b. ***Program Implementation.***

1. Approved requests or applications. (Destroy 1 year after end of employee's participation in the program.) NI-372-01-1, Item 10
2. Disapproved requests or applications. (Destroy 1 year after request is rejected.) NI-372-01-1, Item 11
3. Forms and other records generated by the agency or the participating employee evaluating the alternate work schedule programs. (Destroy when 1 year old, or when no longer needed, whichever is later.) NI-372-01-1, Item 12

c. ***All Other Offices.*** (Destroy 2 years after date of document.) NI-372-01-1, Item 13

**366.5. Leave Sharing.** Documents relating to concepts, development, administration, and reports and analyses of Leave Sharing issues, policies, programs, and initiatives. (NOTE: Leave covered by file code 371.12)

a. ***Headquarters Office of Primary Responsibility.*** (Destroy 3 years after date of document.) NI-372-01-1, Item 14

b. ***Program Implementation.***

1. Approved requests or applications. (Destroy 1 year after end of employee's participation in the program.) NI-372-01-1, Item 15
2. Disapproved requests or applications. (Destroy 1 year after request is rejected.) NI-372-01-1, Item 16
3. Forms and other records generated by the agency or the participating employee evaluating the leave sharing program. (Destroy when 1 year old, or when no longer needed, whichever is later.) NI-372-01-1, Item 17

c. ***All Other Offices.*** (Destroy 2 years after date of document.) NI-372-01-1, Item 18

**366.6 Job Sharing/Part-Time Employment.** Documents relating to concepts, development, administration, and reports and analyses of Job Sharing/Part-Time employment issues, policies, programs, and initiatives.

a. ***Headquarters Office of Primary Responsibility.*** (Destroy 3 years after date of document.) NI-372-01-1, Item 19

b. ***Program Implementation.***

1. Approved requests or applications. (Destroy 1 year after end of employee's participation in the program.) NI-372-01-1, Item 20
2. Disapproved requests or applications. (Destroy 1 year after request is rejected.) NI-372-01-1, Item 21

3. Forms and other records generated by the agency or the participating employee evaluating the job sharing/part-time employment program. (Destroy when 1 year old, or when no longer needed, whichever is later.) NI-372-01-1, Item 22

c. **All Other Offices.** (Destroy 2 years after date of document.) NI-372-01-1, Item 23

**366.7 Telecommuting/Flexiplace.** Records relating to the Agency program and its implementation for alternate worksite programs; agreements between agencies; agreements with employees; records relating to safety of the worksite, installation and use of equipment, hardware, and software; and protection of information in the possession of the Agency.

a. **Headquarters Office of Primary Responsibility for the Program.** (Destroy 3 years after date of document.) NI-372-01-1, Item 24

b. **Program Implementation.**

1. Approved requests or applications. (Destroy 1 year after end of employee's participation in the program.) GRS 1.42.a.

2. Disapproved requests or applications. (Destroy 1 year after request is rejected.) GRS 1.42.b.

3. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program. (Destroy when 1 year old, or when no longer needed, whichever is later.) GRS 1.42.3.

c. **All other offices.** (Destroy 2 years after date of document.) NI-372-01-1, Item 25

**366.8 Family Friendly Programs.** Documents relating to concepts, development, administration, and reports and analyses of family friendly program issues, policies, programs, and initiatives.

a. **Headquarters Office of Primary Responsibility.** (Destroy 3 years after date of document.) NI-372-01-1, Item 26

b. **Program Implementation.**

1. Approved requests or applications. (Destroy 1 year after end of employee's participation in the program.) NI-372-01-1, Item 27

2. Disapproved requests or applications. (Destroy 1 year after request is rejected.) NI-372-01-1, Item 28

3. Forms and other records generated by the agency or the participating employee evaluating the family friendly program. (Destroy when 1 year old, or when no longer needed, whichever is later.) NI-372-01-1, Item 29

c. **All Other Offices.** (Destroy 2 years after date of document.) NI-372-01-1, Item 30

**366.9 Transportation Subsidy.** Documents relating to concepts, development, administration, and reports and analyses of transportation subsidy program issues, policies, programs, and initiatives.

a. **Headquarters Office of Primary Responsibility for the Program.** (Destroy 3 years after date of document.) NI-372-01-1, Item 31

b. **Program Implementation.**

1. Approved requests or applications. (Destroy 1 year after end of employee's participation in the program.) NI-372-01-1, Item 32

2. Disapproved requests or applications. (Destroy 1 year after request is rejected.) NI-372-01-1, Item 33

3. Forms and other records generated by the agency or the participating employee evaluating the transportation subsidy program. (Destroy when 1 year old, or when no longer needed, whichever is later.) NI-372-01-1, Item 34

c. **All other offices.** (Destroy 2 years after date of document.) NI-372-01-1, Item 35

**366.10 Reference Files.** Files relating to the general field of personnel administration consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years whichever is earlier.) NI-372-01-1, Item 36

**366.11 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced.) NI-372-01-1, Item 37

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed.) NI-372-01-1, Item 38

### **Drug-Free Federal Workplace Program**

**367 Drug-Free Federal Workplace Program.** Relates to the administration of the Drug-Free Federal Workplace program involving drug testing of DCAA personnel.

**367.1 General.** Records relating to the Drug-Free Federal Workplace program which, due to their general nature, cannot logically be filed elsewhere in the 367 series. (Destroy after 2 years). SF 115, NI-372-89-1, Item 1.

**367.2 Policies and Procedures.** Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

- a. **Issuing Office.** (Destroy when 3 years old or when superseded or obsolete). GRS 1.36.a.
- b. **Other Offices.** (Destroy when superseded or canceled). SF 115, NI-372-89-1, Item 2b.

**367.3 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements submitted to a higher authority or prepared for internal management purposes, such as those required by the Department of Defense (DoD), Department of Health and Human Services (HHS), Office of Personnel Management (OPM), Department of Justice (DOJ), and/or higher levels of management. Includes annual and semiannual required reports based on statistical data and studies on drug testing activities conducted by program officials. (Destroy after 3 years). SF 115, NI-372-89-1, Item 3.

**367.4 Training and Orientation.** Records maintained by Supervisors or EAP Coordinators reflecting drug-free workforce training and orientation for Agency personnel, special training for supervisors and EAP coordinators, including schedules, rosters of attendance, and training materials.

**367.4.1 Employee Orientation.** (Destroy 2 years after completion of training, *Except* that training material may be destroyed when superseded, obsolete, or no longer needed for reference). SF 115, NI-372-89-1, Item 4.

**367.4.2 Supervisory/Management Training.** (Destroy 2 years after completion of training, *Except* that training material may be destroyed when superseded, obsolete, or no longer needed for reference). SF 115, NI-372-89-1, Item 4.

**367.5 Employee Assistance Program.** Documents relating to the employee assistance program including statistical reports on counseling, analysis, and related services.

- a. **367.5.1 Reports/Counseling Service.** (Destroy 3 years after termination of counseling). GRS 1.26.a.
- b. **367.5.2 Rehabilitation Plans.** (Destroy 3 years after termination of counseling). GRS 1.26.a.

**367.6 Drug Testing Program.**

**367.6.1 General.** Documents relating to drug testing programs which, due to their general nature, cannot logically be filed elsewhere in the 367.6 series. (Destroy after 2 years). SF 115, NI-372-89-1, Item 6a.

**367.6.2 Selection/Scheduling of Personnel for Testing.** Records relating to the selection of employees for testing, including the Testing Designated Position computer tape, related printouts and listings and testing schedules. (Destroy when 3 years old). GRS 1.36.c.

**367.6.3 Acknowledgment of Notice.** Forms completed by the employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested. (Destroy when employee separates from testing designated position). GRS 1.36.b.

**367.6.4 Drug Testing Documents.** Documents related to the collection and handling of specimens, to include chain of custody records and “permanent” record books. (Destroy 3 years after date of last entry, or when 3 years old, whichever is applicable). GRS 1.36.d.

**367.6.5 Drug Testing Results.** Records documenting individual test results, including reports of testing, notification of employees/applicants and employing offices, and documents relating to follow-up testing.

a. **Positive results.** (Destroy when employee leaves the Agency or when 3 years old). GRS 1.36.e.(1).

b. **Negative results.** (Destroy when 3 years old). GRS 1.36.e.(2).

**367.7 InterService/Agency Agreements.** Records reflecting interagency support agreements with Federal agencies to procure services required by the Drug-Free Federal Workplace Program.

**367.7.1 Specimen Collection Services.** (Destroy 3 years after termination of agreement). SF 115, NI-372-89-1, Item 7.

**367.7.2 Laboratory Testing Services.** (Destroy 3 years after termination of agreement). SF 115, NI-372-89-1, Item 7.

**367.7.3 Medical Review Services.** (Destroy 3 years after termination of agreement). SF 115, NI-372-89-1, Item 7.

**367.7.4 Urine Quality Control Services.** (Destroy 3 years after termination of agreement). SF 115, NI-372-89-1, Item 7.

**367.9 Data Collection and Analyses.** Other consolidated statistical data and studies on drug testing activities conducted by program officials from DCAA as well as the Department of Defense (DoD), Department of Health and Human Services (HHS) and other agencies. (Destroy when superseded, obsolete, or no longer needed for reference). SF 115, NI-372-89-1, Item 9.

**367.10 Program Evaluation.** Documents relating to internal and external requested evaluations of specific areas of the DCAA Drug-Free Workplace program, including evaluations of drug testing labs. (Destroy 2 years after completion of the evaluation). SF 115, NI-372-89-1, Item 10.

**367.11 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

## **Personnel Operations**

**371 Personnel Operations.** Documents relating to individual employees of DCAA.

**371.1 General.** Documents relating to personnel operations which, due to their general nature, cannot logically be filed elsewhere in the 371 series. (Destroy after 2 years). NC-372-75-1.

**371.2 Supervisor's Personnel Records.** Records providing current information relative to employees, positions, strength authorizations, actions in process; copies of position descriptions; files used by supervisors and office chiefs in considering employees separated for military service for position change actions in absentia; requests for personnel actions; and records pertinent to individual employees which are duplicated in, or not appropriate for, the Official Personnel Folder. (Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer). GRS 1.18.a.

**371.3 Personnel Identification Media.** Documents related to the system of authorization and issuance of non-security identification media to permit entrance to an installation or activity and to identify the individual as an authorized representative of DCAA. Includes issuance, receipt, return, and destruction of special credentials, auditor credentials, U.S. Government Identification Cards, **Excluding** registers in 371.4. (Destroy 2 years after final disposition of identification media, except that receipts signed by individuals may be destroyed upon turn-in of credentials). NC-372-75-1.

**371.4 Personnel Identification Registers.** Registers maintained by issuing officers showing to whom credentials are issued, date of issue, date of return, and date of destruction. (Remove individual pages from registers when final disposition of all credentials listed thereon has been made, hold 2 years, then destroy). NC-372-75-1.

**371.5 Locator Records.** Strips or cards maintained in Personnel Operations Office as a ready reference to the organizational segment to which the employee is assigned. (Destroy when superseded or obsolete). GRS 1.11.



**371.6 Personnel Authorizations.** Copies of memorandums, letters, tables of authorized strength, and other documents which reflect personnel spaces allotted to various organizational segments and which provide the Civilian Personnel Office with a basis for maintaining a specific number of position identification strips on the personnel control file. (Destroy upon supersession). NC-372-75-1.

**371.7 Service Record File.** No longer used after June 1994.

**371.8 Inactive Service Records.** No longer used after June 1994.

**371.9 Departure Clearances.** Documents created by the Personnel Operations Office to show clearance procedures accomplished with respect to transferred or separated employees, and evaluation of turnover, and exit interviews. They consist of activity clearance forms or check lists indicating the accomplishment of various types of administrative actions which are prerequisites to release of employees. (Destroy after 2 years). NC-372-75-1

**371.10 Group Action Requests.** Files maintained in the Personnel Operations Office providing a record of the basis for processing personnel and position actions resulting from job surveys that consist of group action request lists or similar forms. (Destroy 4 years after supersession). NC-372-75-1.

**371.11 Chronological Journal.** Copy of each SF 50, Notification of Personnel Action, maintained in the Personnel Operations Office for use as source material for preparation of reports, for a ready reference device for review of actions previously processed, and for information of OPM and DCAA representatives. (Destroy after 2 years). GRS 1.14.a.

**371.12 Attendance and Leave.** Documents relating to establishing hours of duty and leave administration. (Destroy when superseded or obsolete, whichever is earlier). NC-372-75-1.

**371.13 Official Personnel Folders.** Individual official personnel folders maintained in the Personnel Operations Office comprising the official record of each civilian employee of the Federal Government during his or her tenure of service with the Government.

*Note: This file number is only for overall identification of the file series and shall not be placed on the folders themselves.*

a. **Transferred Employee.** (See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency). GRS 1.1.a.

b. **Separated Employee.** (Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service). GRS 1.1.b.

**371.14 Reference Files.** Files relating to the general field of personnel operations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**371.15 Donated Leave Program Case File.** Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, Agency approval or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notifications records, and leave program termination records. (Destroy 1 year after the end of the year in which the file is closed). GRS 1.37.

**371.16 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Program Planning and Evaluation**

**381 Program Planning and Evaluation.** Relates to planning and evaluation of the DCAA Personnel Management Program.

**381.1 General.** Documents relating to program planning and evaluation which, due to their general nature, cannot logically be filed elsewhere in the 381 series. (Destroy after 2 years). NC-372-75-1.

**381.2 Program Planning and Evaluation Reports.** Summary and consolidated reports on the planning and evaluation of the DCAA Personnel Management Program.

- a. **Personnel Office.** (Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when no longer needed for reference). NC-372-75-1.

**381.3 Office of Personnel Management Inspections.** Reports of inspections and audits of civilian personnel administration conducted by representatives of the OPM. Office Inspected. (Destroy after next comparable inspection, **Except** that inspection reports containing job evaluation determinations which have the effect of grade level standards will, if still current, be filed under 306.2). NC-372-75-1.

**381.4 DCAA Surveys of Civilian Personnel Administration.** Reports of surveys of civilian personnel administration conducted by representatives of DCAA. Office Surveyed and Survey Team. (Destroy when obsolete or superseded). GRS 1.7.c.(2).

**381.5 Personnel Conferences.** Documents relating to personnel conferences attended by DCAA personnel or held by activities of DCAA. (Destroy after 3 years). NC-372-75-1.

**381.6 Reference Files.** Files relating to the general field of program planning and evaluation consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other materials being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**381.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

## **Military Personnel**

### **387 Military Personnel**

**387.1 General.** Documents relating to military personnel which, due to their general nature, cannot logically be filed elsewhere in the 387 series. (Destroy after 2 years). NC-372-75-1.

**387.2 Ready Reserve.** Documents maintained in Personnel Office relating to civilian members of the military ready reserve. (Destroy 5 years after supersession or obsolescence). NC-372-75-1.

**387.3 Reference Files.** Files relating to the general field of military personnel consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**387.4 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail

directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **DCAA Savings Bonds Programs**

**388 DCAA Savings Bonds Programs.** Relates to the concepts, development, administration, and reports and analyses of the DCAA-wide program for the promotion of the sale of U.S. Savings Bonds.

**388.1 General.** Documents relating to the Savings Bonds Program which, due to their general nature, cannot logically be filed elsewhere in the 388 series. (Destroy after 2 years). NC-372-75-1.

**388.2 Savings Bonds Reports.** Summary and consolidated reports of participation of employees in the DCAA Savings Bonds Program. (Destroy after 3 years). NC-372-75-1.

**388.3 Reference Files.** Files relating to the general field of savings bonds consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**388.4 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

### **Morale, Welfare, And Recreation**

**399 Morale, Welfare, And Recreation.**

**399.1 *Morale, Welfare, and Recreation.*** Documents relating to morale, welfare, and recreation activities sponsored, monitored, or publicized by DCAA in the interest of employees. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**399.2 *Electronic Mail and Word Processing System Copies.*** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 1.43.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 1.43.b.

## **400 -- Financial Management**

**400 *Financial Management.*** Relates to Financial Management.

**400.1 *General.*** Documents relating to financial management which, due to their general nature, cannot logically be filed elsewhere in the 400 series. (Destroy after 2 years). NC-372-75-1.

**400.2 *Policies and Procedures.*** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on general financial management matters, *Excluding* those specifically on accounting, budget, and manpower, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. ***Issuing Office.*** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. ***Other Offices.*** (Destroy when superseded or canceled). NC-372-75-1.

**400.3 *Reference Files.*** Files relating to the general field of financial management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**400.4 *Electronic Mail and Word Processing System Copies.*** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes

electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 16.15.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 16.15.b.

## **Budget**

**410 Budget.** Relates to documents accumulated in the preparation, presentation, review, and execution of the DCAA budget.

**410.1 Budget Execution.** Documents relating to the expense operating budget from OSD, operating budget authorizations for all components of DCAA, quarterly operating budget workpapers, operating budget requests for current fiscal year and estimates for following fiscal year, and related background data. (Destroy 5 years after FY involved). NC-372-75-1.

**410.2 Budget Formulation and Presentation.** Documents relating to the formulation, presentation, and review by higher authority of the DCAA budget, including policies and procedures, OSD/OMB budget estimate submissions, workpapers, and backup data; supplemental budget data to OSD; Congressional hearings backup data, including House and Senate testimony; apportionment submissions to OSD and related papers; Program Budget decisions and reclaims, and related documents.

- a. **Headquarters Budget Office.** (Permanent). NC-372-75-1.
- b. **Other Offices.** (Destroy 5 years after FY involved). NC-372-75-1.

**410.3 Manpower Requirements and Utilization Review.** Documents establishing current and projected manpower requirements for budgeting purposes.

- a. **Headquarters Budget Office.** (Permanent). NC-372-75-1.
- b. **Other Offices.** (Destroy 5 years after FY involved). NC-372-75-1.

**410.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements submitted to higher authority or prepared for internal management purposes, such as expenditure forecast data, minor construction, obligations by state, man-year costs, quarterly financial management report, and similar reports. (Destroy 5 years after FY involved). GRS 5.3.a.

**410.5 Cross-Service Support Agreements.** Policy and procedures relating to interservice, interagency, and cross-service agreements in support of DCAA; memorandums of understanding; copies of agreements; and similar formal documentation covering acquisition or use of real property space; supply management relationships; and procurement agreements between DCAA and the servicing activity. (Destroy 3 years after termination of agreement). NC-372-75-1.

**410.6 Reimbursable Audits.** Documents relating to the analysis of the reimbursable audit program as it affects the DCAA budget, including non-DoD agencies, regional analyses, billing and earning rates, and related workpapers. (Destroy 5 years after FY involved). NC-372-75-1.

**410.7 Budget Program Data.** Documents relating to the Five Year Defense Program element list, program element summary data, submissions, objective memorandums, related guidance and program change requests and decisions; and documents relating to workload factors and output performance which affect the DCAA budget. (Destroy 5 years after FY involved). NC-372-75-1.

**410.8 General.** Documents relating to budget matters which, due to their general nature, cannot logically be filed elsewhere in the 410 series. (Destroy after 2 years). GRS 5.1.

**410.9 Reference Files.** Files relating to the general field of budget consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**410.10 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 5.5.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 5.5.b.

## **Accounting**

**420 Accounting.** Relates to the accounting for funds allocations, allotments, obligations, expenditures, disbursement, reimbursement, collections, and adjustments. DCAA fiscal accounting stations maintain only memorandum copies of GAO site audit records; the originals of these documents (such as statements of transactions and collection and disbursement schedules and vouchers) are maintained by the non-DCAA Accounting and Finance Offices

which provide voucher preparation and/or examination, disbursing, and related reporting services to DCAA activities.

### **Cutoff of Accounting Records**

All accounting records shall be cut off at the end of the fiscal year.

**420.1 General.** Documents relating to accounting which, due to their general nature, cannot logically be filed elsewhere in the 420 series. (Destroy after 2 years). GRS 7.1.

**420.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on accounting, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**420.3 Accounting Correspondence.** Correspondence files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration. (Destroy after 2 years). GRS 7.1.

**420.4 Imprest Funds.** Documents accumulated by imprest fund cashiers which reflect the receipt and accounting for imprest funds. Included are copies of reimbursement vouchers and receipts for funds entrusted to agent officer which also reflect acknowledgment of return of funds and statement of balance. (Destroy after 2 years). NC-372-75-1.

**420.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements submitted to higher authority or those prepared for internal management purposes, such as Report on Budget Status, Reimbursable Transactions, Obligations, Financial Transaction Summary, Statement of Financial Condition, Analysis of Financial Operations, and similar reports. (Destroy after 4 years). NC-372-75-1.

**420.6 Transactions for Defense Agencies Disbursement Reports.** Includes all reports relating to disbursement transactions as reported to allottees and to HQ, DCAA, by Army, Navy, and Air Force finance offices. These reports include Statement of Transactions and Transactions for Defense Agencies. (Destroy after 2 years, 3 months). NC-372-75-1.

**420.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail



directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 7.5.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 7.5.b.

### **General Accounts Ledgers**

**421 General Accounts Ledgers.** General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary and fund authorizations.

**421.1 Fund Authorizations from OSD.** Documents). GRS 7.2.

**421.2 General Ledgers.** Contains accounts maintained by Headquarters, DCAA, necessary to reflect financial operations of fund authorizations. (Destroy 6 years and 3 months after the close of the fiscal year involved). GRS 7.2.

**421.3 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 7.5.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 7.5.b.

### **Allotment Records**

**422 Allotment Records.** Records showing status of allotments under each authorized appropriation.

**422.1 Cash Disbursement Ledger.** No longer used after September 1994.

**422.2 Obligation Control Ledger.** No longer used after September 1994.

**422.3 Allotment Working Papers.** No longer used after September 1994.

**422.4 Fund Authorizations from HQ, DCAA.** Operating Budget Authorizations which are the financial authorities issued by Headquarters, DCAA, to its allottees. (Destroy 6 years and 3 months after the close of the fiscal year involved). GRS 7.3.

**422.5 Disbursement Vouchers.** No longer used after September 1994.

**422.6 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 7.5.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 7.5.b.

### **Posting and Control Media**

**423 Posting And Control Media.** Records used as posting and control media, subsidiary to the general and allotment ledgers.

**423.1 Accounts Receivable Bills, Subsidiary, and Collection Ledgers.** The Bills and Collections Ledgers are books of original entry into which all reimbursable billing and collection vouchers are posted; they are the source of entries in the subsidiary ledger which maintains the accounts receivable by amount, bill, and source, and include copies of reimbursable billing statements. (Destroy after 3 years). GRS 7.4.a.

**423.2 Accounts Receivable Collection Vouchers.** Source documents maintained by Headquarters, DCAA, for entries made in the collection ledger. (Destroy after 3 years). GRS 7.4.a.

**423.3 Operating Budget Control and Status Ledgers.** These ledgers are maintained at Headquarters, DCAA, to record and control the individual items and the total of the Operating Budget received from OASD(C) and subsequently issued to allottees. (Destroy after 3 years). GRS 7.4.a.

**423.4 Journal Vouchers (OF 1017G).** Source of all entries made by Headquarters, DCAA, to the general ledger. (Destroy after 3 years). GRS 7.4.a.

**423.5 Canceled Obligating Documents.** Original obligating documents maintained by Headquarters, DCAA, and Regional Headquarters which have been posted to the obligation control ledger and subsequently canceled in their entirety. (Destroy after 3 years). GRS 7.4.a.

**423.6 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 7.5.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 7.5.b.

## **Manpower**

**430 Manpower.** Relates to the overall control of manpower resources and spaces in DCAA.

**430.1 General.** Documents relating to manpower which, due to their general nature, cannot logically be filed elsewhere in the 430 series. (Destroy after 2 years). GRS 6.5.a.

**430.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on accounting, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**430.3 Personnel Authorizations.** Documents regarding the allotment, increase, or decrease of personnel spaces in DCAA activities; manpower authorizations, vouchers, tables of authorization reflecting, by organizational element, the grade category and number of civilian personnel allotted to DCAA activities. Includes drafts of proposed tables, justifications, coordinating actions, published tables, and correspondence relating thereto.

- a. **Headquarters Manpower Office.** (Destroy 20 years after FY involved). NC-372-75-1.
- b. **Regional Headquarters.** (Destroy 10 years after FY involved). NC-372-75-1.
- c. **Other Offices.** (Destroy after 2 years). NC-372-75-1.

**430.4 Personnel Control.** Documents accumulated in connection with techniques for keeping personnel strength, workloads, and grade structure in balance, including work measurement sheets, personnel yardsticks, charts of grades and ratings, and personnel workload reports, such

as documents dealing with grade escalation and average grade. (Destroy after 3 years). GRS 6.5.b.

**430.5 Personnel Strength Reports.** Documents regarding the reporting of authorized and actual strength of civilian personnel in DCAA activities, strength by occupational specialty and grade, and similar strength reports, whether recurring or one-time information requirements.

- a. **Headquarters, DCAA.** (Destroy after 10 years). NC-372-75-1
- b. **Regional Headquarters.** (Destroy after 5 years). NC-372-75-1
- c. **Other Offices.** (Destroy after 2 years). NC-372-75-1

**430.6 Manpower Surveys.** Documents accumulated in connection with manpower surveys and studies covering such subjects as personnel authorizations, manning levels, manpower analyses, workload factors, and emergency requirements. Includes inventory and appraisal reports, manpower survey reports and schedules, and comparable data. (Destroy upon completion of next comparable survey or after 5 years, whichever is earlier). NC-372-75-1.

**430.7 Reference Files.** Files relating to the general field of manpower consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

### **Payroll Liaison**

**440 Payroll Liaison.** Documents relating to liaison between DCAA and non-DCAA offices providing payroll support to DCAA through cross-service agreements.

**440.1 General.** Documents relating to payroll liaison which, due to their general nature, cannot logically be filed elsewhere in the 440 series. (Destroy after 2 years). GRS 2.24.

**440.2 Time and Attendance Reports.** All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards; flextime records; leave application for jury and military duty; and authorized premium pay or overtime, maintained at the duty location, upon which leave input data is based. (Destroy after GAO audit or when 6 years old, whichever is sooner). GRS 2.7.

**440.3 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared

network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 2.31.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 2.31.b.

## **500 -- Information Systems and Practices**

**501 Public Affairs.** Relates to programs and functions involving relationships between DCAA and the public, such as community relations, civilian ceremonies, participation in charity programs, blood donor programs, official speeches, articles, press releases, etc.

**501.1 General.** Documents relating to public affairs matters which, due to their general nature, cannot logically be filed elsewhere in the 501 series. (Destroy after 2 years). NC-372-75-1.

**501.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on public affairs matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**501.3 Press Releases.** Documents prepared specifically for release to news media, such as press releases, press conference transcripts, fact sheets, official speeches, graphic progress presentations, and similar material. (Permanent). NC-372-75-1.

**501.4 Published Articles.** Published or processed articles prepared by DCAA personnel for publication in professional journals and similar media, including approval and clearance documents.

a. **File Maintained by Executive Office.** (Permanent). NC-372-75-1.

b. **Other Offices.** (Destroy after 3 years). NC-372-75-1.

**501.5 Speeches.** Official speeches by DCAA personnel, including papers relating to requests, approvals, and clearances, and similar documents concerning platform appearances by DCAA personnel before Government groups, professional societies, educational institutions, and similar groups.

a. **File Maintained by Executive Office.** (Permanent). NC-372-75-1.

b. **Other Offices.** (Destroy after 3 years). NC-372-75-1.

**501.6 Community Relations.** Documents relating to measures taken to promote good relations between DCAA activities and local communities. (Destroy after 3 years). NC-372-75-1.

**501.7 Public Ceremonies.** Documents relating to participation in public ceremonies and affairs, such as parades, public displays, fairs, celebrations, and observances of local and national holidays and comparable events. (Destroy after 3 years). NC-372-75-1.

**501.8 Charitable Programs.** Documents relating to DCAA participation in campaigns and drives of charitable organizations. (Destroy after 3 years). NC-372-75-1.

**501.9 Blood Donor Program.** Documents relating to DCAA participation in blood donor programs. (Destroy after 3 years). NC-372-75-1.

**501.10 Non-Government Briefings.** Documents accumulated in the process of providing briefings of the mission and functions of DCAA to private organizations and individuals, including representatives of foreign governments. (Destroy after 3 years). NC-372-75-1.

**501.11 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to public affairs programs. (Destroy after 3 years). NC-372-75-1.

**501.12 Federal Register Notices.** Copies of documents published in the Federal Register. Creating Office. (Destroy 5 years after supersession or cancellation). NC-372-75-1.

**501.13 Reference Files.** Files relating to the general field of public affairs consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**501.14 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 14.37.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 14.37.b.

**Freedom of Information and For Official Use Only**

**502 Freedom of Information Act (FOIA).** Relates to the administration of records sought by members of the general public under the Freedom of Information Act.

**502.1 General.** Documents relating to general Agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records. (Destroy when 2 years old). GRS 14.15.

**502.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on the Freedom of Information Act, including copies of interim policy and procedures issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**502.3 Reference Files.** Files relating to the FOIA consisting of extra copies of documents which duplicate the official record copy filed elsewhere, rough drafts, notes, workpapers, information copies of records received from other originating offices, and other related material being held for reference purposes. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**502.4 Requests Allowed.** Documents created in the process of responding to requests for which the information is provided, including the original request, any referral, the reply, and other pertinent backup material. (Destroy 2 years after date of reply). GRS 14.11.a.(1).

**502.5 Requests Denied.** Documents created in the process of responding to requests for which the information is either not available or denied, including the original request, any referral, the reply, and other pertinent backup material. For appeals, see series 502.6. (Destroy 6 years after date of reply). GRS 14.11.a.(3)(a).

**502.6 Administrative Appeals.** Files created in response to administrative or civil court appeals under FOIA for release of records initially denied consisting of the appellant's letter, a copy of the reply thereto, and related supporting records which may exclude the official record copy of the requested record or a copy of the requested record. (Destroy after 6 years). GRS 14.12.a. & b.

**502.7 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to DCAA implementation of FOIA, including annual reports to the Congress. (Destroy after 2 years). GRS 14.14.

**502.8 FOIA Control Files.** Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and identification of requester. (Destroy 6 years after date of last entry). GRS 14.13.a.

**502.9 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a

recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 14.37.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 14.37.b.

### **Privacy Act of 1974**

**503 Privacy Act of 1974.** Relates to documents accumulated in the implementation of the Privacy Act to safeguard personal privacy in the collection and handling of recorded personal information by DCAA.

**503.1 General.** Documents relating to the Privacy Act which, due to their general nature, cannot logically be filed elsewhere in the 503 series, but are official record copies. (Destroy when 2 years old). GRS 14.26.

**503.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on the Privacy Act, including copies of interim policy and procedures issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**503.3 Reference Files.** Files relating to the Privacy Act consisting of extra copies of documents which duplicate the official record copy filed elsewhere, rough drafts, notes, workpapers, information copies of records received from other originating offices, and other related material being held for reference purposes. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**503.4 Requests for Access to Records.** Files created in response to requests from individuals to gain access to their records or to any information pertaining to them, including original request, a copy of the reply, a copy of any referral, and all related supporting documents, excluding the official record copy of records requested or a copy of the requested record. (Destroy 2 years after date of final reply). GRS 14.21.a.(1).

**503.5 Requests for Amendment of Records.** Files relating to an individual's request to amend a record pertaining to that individual; to the individual's request for a review of refusal of the



individual's request to amend a record; and to any civil action brought by the individual against the refusing agency. Includes individual's request to amend and/or the refusal to amend, copies of the Agency's replies, and related documents. (Destroy 4 years after Agency's final determination). GRS 14.22.a.

**503.6 Accounting for Disclosures Files.** (Not used after April 1996).

**503.7 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to DCAA implementation of the Privacy Act, including input to the annual reports to the Congress, the Office of Management and Budget, and the Report on New Systems. (Destroy after 2 years). GRS 14.25.

**503.8 Privacy Act Control Files.** Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and identification of requester. (Destroy 5 years after date of last entry). GRS 14.24.a.

**503.9 Erroneous Release Files.** Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of the records requested or a copy thereof. (Dispose of according to disposition instructions for the released official file copy or destroy 6 years after the erroneous release, whichever is later). GRS 14.36.a.

**503.10 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 14.37.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 14.37.b.

### **Information Resources Management**

**504 Information Resources Management.** Records relating to integrating and focusing a variety of activities on managing information throughout the life cycle (from collection or creation through final disposal) and each segment of it in furtherance of program and agency objectives. It involves managing data and information in such a way that program and Agency managers are able to obtain and use information efficiently, effectively, and economically. IRM includes: planning, budgeting, organizing, directing, training, promoting, controlling, and other

managerial activities involving the collection, use, and dissemination of information (both automated and non-automated) that management establishes to serve the overall current and future needs of the organization. IRM policy and procedures address such areas as availability, timeliness, accuracy, integrity, privacy, security, audibility, ownership, use, and cost-effectiveness of information.

**504.1 General.** Documents relating to information resources management which due to their general nature, cannot logically be filed elsewhere in other series that apply to information resources management program areas. (Destroy after 3 years). SF 115, NI-372-90-1, Item 1.

**504.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on information resources management or the Paperwork Reduction Act of 1980 as implemented by the Office of Management and Budget (OMB), including copies of interim policy and procedures issued prior to publication of official numbered policy publications. Includes policies and procedures providing for the timely acquisition of required information technology. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). SF 115, NI-372-90-1, Item 2.

**504.3 Reference Files.** Files relating to information resources management consisting of extra copies of documents which duplicate the official record copies filed elsewhere. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). SF 115, NI-372-90-1, Item 3.

**504.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to information resources management. (Destroy after 3 years). SF 115, NI-372-90-1, Item 4.

**504.5 Inventory Records.** Inventory records of the Agency's major information systems and information dissemination programs. (Destroy after completion of next comparable inventory or after 3 years, whichever is later). SF 115, NI-372-90-1, Item 5.

**504.6 Information Resources Management Reviews.** Reports concerning reviews of information resources management (IRM) practices. The periodic review of Agency information systems, products and services to ensure that information systems operate efficiently, effectively, and in compliance with applicable policies, and/or to determine whether requirements continue to exist and the information system continues to meet the purposes for which it was developed. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports. (Destroy when 7 years old). GRS 16.11.

**504.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared

network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 16.15.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 16.15.b.

### **Files Maintenance And Disposition**

**510 Files Maintenance and Disposition.** Documents relating to the program for economical and efficient management of files, files systems and procedures, files equipment and supplies, and files disposition.

**510.1 General.** Documents relating to files maintenance and disposition which, due to their general nature, cannot logically be filed elsewhere in the 510 series. (Destroy after 2 years). NC-372-75-1.

**510.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on files maintenance and disposition, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**510.3 Records Control Schedules Approval.** Records maintained by the Records Administrator, DCAA, relating to obtaining approval for disposal of records from the General Accounting Office and the National Archives and Records Administration including SF 115, Request for Records Disposition Authority. (Destroy 2 years after supersession). GRS 16.2.a.

**510.4 Records Transfer and Retirement Control.** Documents reflecting the transfer of records to another agency or the retirement of records to a Federal Records Center, such as SF 135, Records Transmittal and Receipt, SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States, shipping lists, approvals for destruction or retention of exceptional records, and similar documents. (Destroy 6 years after the related records are destroyed, or after the related records are transferred to the National Archives of the United States, whichever is applicable). GRS 16.2.a.

**510.5 Files Equipment and Supplies.** Documents relating to the utilization of files equipment, the evaluation, selection, and requirements for specialized equipment and supplies. (Destroy after 3 years). NC-372-75-1.

**510.6 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to files maintenance and disposition, such as Agency records holdings, reports of cleanout campaigns, reports of vital records holdings, and data on the volume of records disposed of by destruction or transfer. (Destroy after 3 years). GRS 16.4.a.

**510.7 Reference Files.** Files relating to the general field of files maintenance and disposition consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**510.8 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 16.15.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 16.15.b.

## **Telecommunications**

**520 Telecommunications.** Records relating to the utilization of telecommunications systems.

**520.1 General.** Documents relating to telecommunications which, due to their general nature, cannot logically be filed elsewhere in the 520 series. (Destroy after 2 years). GRS 12.2.a.

**520.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on telecommunications matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**520.3 Teletype and Teletypewriter.** Documents reflecting evaluation, leasing, usage, controls, reports, and procedures relative to teletype and teletypewriter services. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**520.4 Telephones and Interphones.** Documents relating to location, usage, installation, and service for telephones and interphones. (Destroy when superseded, obsolete, or after 1 year, as appropriate). NC-372-75-1.

**520.5 Telephone Toll Call Records.** Documents relating to authorized, official toll and long distance telephone calls, including reports of such usage. (Destroy after 3 months or upon completion of any required action, whichever is earlier). NC-372-75-1.

**520.6 Message Logs and Registers.** Relates to documents used to record assignment of message numbers or to index messages prior to submission to message centers. (Destroy after 6 months). GRS 12.3.a.

**520.7 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to telecommunications. (Destroy after 3 years). NC-372-75-1.

**520.8 Telecommunications Control.** Informational memorandum copies of documents relating to communications service charges and costs such as copies of invoices; toll statements and service authorizations; and other records relating to the leasing and payment for telephones, teletypewriters, or other communications services. (Destroy when 1 fiscal year old). GRS 12.2.d.(1).

**520.9 Reference Files.** Files relating to the general field of telecommunications consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**520.10 Telephone Credit Cards.** Documents relating to the justification, card receipt and number control, and certification of destruction of the credit card. (Destroy after GAO audit or when 3 years old, whichever is sooner.) NI-372-94-3

**520.11 Leased Lines.** Documents relating to the justification, location, and installation of leased lines. (Destroy when 3 years old). GRS 12.2.b.

**520.12 Mobile Telephones.** Documents relating to the justification, assignment, and certification of return to the Telecommunications Service Control Officer. (Upon certification of return to the Telecommunications Control Officer, place in inactive file and destroy after 2 years). NI-372-94-3.

**520.13 Telecommunication Service Records.** Documents relating to servicing of telephones, leased lines, mobile phones. Telephone service requests should be filed under the appropriate type service file code, i.e., Telephone service requests for installation of a leased line should be filed under 520.11. (Destroy 1 year after audit or when 3 years old, whichever is sooner). GRS 12.2.d.(2).

**520.14 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail

directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 12.9.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 12.9.b.

## **Office Machines**

**530 Office Machines.** Relates to the study of office machines and word processing systems, *Excluding* Automated Data Processing, the selection and adoption of those best suited to DCAA operations, usage, and controls.

**530.1 General.** Documents relating to office machines which, due to their general nature, cannot logically be filed elsewhere in the 530 series. (Destroy after 2 years). NC-372-75-1.

**530.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on office machines, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**530.3 Office Machine Evaluation Case Files.** Documents relating to the evaluation of specific items of office equipment and machines for use in particular applications, including correspondence regarding review and evaluation of the items, requests for approval of use of the equipment, and related documents. (Destroy 4 years after completion of evaluation). NC-372-75-1.

**530.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to office machines. (Destroy after 3 years). NC-372-75-1.

**530.5 Reference Files.** Files relating to the general field of office machines consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## **Publications**

**540 Publications.** Relates to the management and administration of the DCAA Publications System.

**540.1 General.** Documents relating to publications management and administration which, due to their general nature, cannot logically be filed elsewhere in the 540 series. (Destroy after 2 years). NC-372-75-1.

**540.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on publications, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**540.3 Official Publications Record Set.** A record copy of each numbered regulation, manual, instruction, pamphlet, and handbook, and a copy of each change thereto, authenticated at Headquarters, DCAA or Regional Headquarters. Included in the file will be background papers relating to the publication that provides a basis for the issuance and documents reflecting all coordination. **Excluded** are such papers retained by the proponent of the publication under the Policies and Procedures series for each subfunction. **Publications Control Officers:** Cut off file at end of year. Retain in current or inactive files for 2 years. Retire to Federal Records Center.

a. **Headquarters, DCAA.** (Permanent). NC-372-75-1.

b. **Regional Headquarters.** (Destroy after 20 years). NC-372-75-1.

**540.4 Publications Coordination Files.** Documents retained by offices showing concurrences, nonconcurrences, and other pertinent comments relating to proposed **publications for which another office has primary responsibility** as the issuing office. Issuing offices will use the Policy and Procedures series for the related subfunction. (Destroy after 1 year). NC-372-75-1.

**540.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to publications. (Destroy after 3 years). NC-372-75-1.

**540.6 Implementation of DoD Issuances (HQ, DCAA, Only).** Documents reflecting the complete history of all actions taken by DCAA in the implementation or non-implementation of DoD Directives/Instructions, such as coordination actions on proposed issuances; comments on proposed issuances; published issuances and changes thereto; and all communications concerning implementation or non-implementation by DCAA. Retained by Publications Control Officer Only. (Retain indefinitely in current files area. Do not transfer to Federal Records Center). NC-372-75-1.

**540.7 Reference Files.** Files relating to the general field of directives publications consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## Periodicals

**541 Periodicals.** Relates to the management and administration of DCAA periodicals.

**541.1 General.** Documents relating to periodicals management and administration which, due to their general nature, cannot logically be filed elsewhere in the 541 series. (Destroy after 2 years). NC-372-75-1.

**541.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on periodicals, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**541.3 Periodicals Record Set.** A record copy of each issue of each periodical issued by Headquarters, DCAA, or a Regional Headquarters.

- a. **Headquarters, DCAA.** (Permanent). NC-372-75-1.
- b. **Regional Headquarters.** (Destroy after 20 years). NC-372-75-1.

**541.4 Periodical Background Material.** Items submitted for publishing in the periodical.

- a. **Issuing Office.** (Destroy after 3 years). NC-372-75-1.
- b. **Submitting Office.** (Destroy after 1 year). NC-372-75-1.

**541.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to periodicals, including review and approval forms. (Destroy after 3 years). NC-372-75-1.

**541.6 Reference Files.** Files relating to the general field of periodicals consisting of extra copies of documents which duplicate the record copy elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

### **Field Audit Office Administrative Manual**

**543 Field Audit Office Administrative Manual.**

No Longer Used After December 1996

**543.2 Policies and Procedures.**

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.) SF 115, NI-372-91-1, Item 2a



**543.3 Recurring Reports and Information Requirements.** (Destroy after 3 years.) SF 115, NI-372-91-1, Item 3

**543.4 Reference Files.** (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.) SF 115, NI-372-91-1, Item 4

## **Printing and Distribution**

**545 Printing and Distribution.** Relates to the management and operations of printing and distribution functions.

**545.1 General.** Documents relating to printing and distribution which, due to their general nature, cannot logically be filed elsewhere in the 545 series. (Destroy after 2 years). GRS 13.1.

**545.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on printing and distribution, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**545.3 Manuscripts and Art Work.** Documents returned by the printer to the Printing and Distribution Control Office such as manuscripts, copies of publications and printer's galley proofs, photographs, drawings, maps, charts, and other art work prepared for illustrations in publications. (Destroy upon printing and distribution of the publication, *Except* that those documents which would have continuing value for use in later revisions, related publications, or reuse in the event of reprinting will be destroyed when obsolete). NC-372-75-1.

**545.4 Accountable Publications Receipt and Issue Records.** Receipt cards or other forms showing the receipt or issuance of accountable publications subject to special control. (Retain in current files and destroy when the related accountable publication is destroyed). NC-372-75-1.

**545.5 Accountable Forms Receipt and Issue Records.** Receipt cards or other blank forms showing the receipt or issuance of blank accountable forms which are subject to special control by reason of monetary value of the form, such as transportation requests and transportation request identification cards. (Retain in current files for 2 years, then destroy). NC-372-75-1.

**545.6 Publications Distribution Files.** Documents accumulated from the automatic distribution of publications, blank forms, and periodicals based on indicated requirements or advance requisitioning. (Destroy when superseded or obsolete, except that documents requesting changes may be destroyed upon completion of posting to the current distribution listing). NC-372-75-1.

**545.7 Publications and Blank Forms Stock Records.** Control records maintained to ensure maintenance of stocks on hand to meet requirements. (Destroy after card or listing is filled, or

upon supersession, recision, or obsolescence of items indicated thereon, whichever is earlier). NC-372-75-1.

**545.8 Publications and Blank Forms Supply Files.** Requisitions, requests, shipping orders, transfer requests, and related documents accumulated from the process of requisitioning publications and blank forms from the source of supply or the filling of requisitions from stocks on hand. (Destroy after requisition is filled). NC-372-75-1.

**545.9 Printing and Duplicating Requisitions.** Work orders, cost records, and requisitions for printing services and duplicating work outside DCAA offices. (Destroy 1 year after completion of job). GRS 13.2.a.

**545.10 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to printing and distribution. (Destroy after 3 years). NC-372-75-1.

**545.11 Reference Files.** Files relating to the general field of printing and distribution consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**545.12 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 13.7.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 13.7.b.

### **Audio-Visual Aids**

**550 Audio-Visual Aids.** Documents relating to graphics, and audio and visual aids.

**550.1 General.** Documents relating to audio-visual aids which, due to their general nature, cannot logically be filed elsewhere in the 550 series. (Destroy after 2 years). NC-372-75-1.

**550.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on audio-visual aids, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**550.3 Audio-Visual Aids Case Files.** Records relating to specifications, requisitions, and related material for graphics, art work, visual aids, and similar technical material. (Destroy after 3 years). NC-372-75-1.

**550.4 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to audio-visual aids. (Destroy after 3 years). NC-372-75-1.

**550.5 Technical Material Reference.** Extra copies of motion pictures, sound recordings, still photographs, maps, and similar materials maintained for reference purposes. (Destroy when superseded, obsolete, or no longer needed for reference, **Except** that accountable reusable material will be returned to the source of supply). NC-372-75-1.

**550.6 Reference Files.** Files relating to the general field of audio-visual aids consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

## Forms

**560 Forms.** Documents relating to forms management for controlling use, standardization, construction, number, and distribution.

**560.1 General.** Documents relating to forms which, due to their general nature, cannot logically be filed elsewhere in the 560 series. (Destroy after 2 years). NC-372-75-1.

**560.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on forms, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**560.3 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to forms management. (Destroy after 2 years.) NI-372-95-1

**560.4 Forms Management Files.** Documents accumulated in offices relating to the creation, coordination, approval, completion instructions, scope, purpose, and cancellation of a form. (Cut off completed actions at the end of the current year. Destroy after 2 years). NI-372-95-1.

**560.5 Non-DCAA Forms Case Files.** No longer used June 1995.

**560.6 Forms Register.** A register or card system used to record and control the assignment of form numbers. (Destroy control document when all forms listed thereon have been discontinued). NC-372-75-1.

**560.7 Forms Functional File.** No longer used June 1995.

**560.8 Reference Files.** Files relating to the general field of forms consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**560.9 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 16.15.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 16.15.b.

### **Recurring Reports and Information Requirements**

**565 Recurring Reports And Information Requirements.** Relates to the management of the reports management program which is designed to control reports; provide that reports are adequate, necessary, accurate, and timely; eliminate unnecessary reports; and standardize necessary related materials and procedures.

**565.1 General.** Documents relating to reports and information requirements management which, due to their general nature, cannot logically be filed elsewhere in the 565 series. (Destroy after 2 years). NC-372-75-1.

**565.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on reports and information requirements, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

- a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.
- b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**565.3 Reports and Information Requirements Case Files.** Documents accumulated which reflect actions taken relating to a created or proposed DCAA recurring report. Included are applications for approval of reports, copies of pertinent directives and forms, or reference thereto, studies, correspondence relating to interpretation of instructions or procedures, and similar documents. (Cut off completed actions at the end of current year. Destroy after 2 years). NI-372-95-1.

**565.4 Reports Control Symbol Register.** A register used to control the assignment of reports control symbols and numbers. (Destroy register or individual pages when all reports listed thereon have been canceled). NC-372-75-1.

**565.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to reports management, such as cost estimates for reports, reduction in information requirements, and similar information. (Destroy after 3 years). NC-372-75-1.

**565.6 Reference Files.** Files relating to the general field of reports and information requirements consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**565.7 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 16.15.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 16.15.b.

## **Correspondence**

**570 Correspondence.** Documents relating to correspondence management and the application of management techniques to correspondence practices to increase efficiency, improve the quality of appearance and content, and to reduce costs.

**570.1 General.** Documents relating to correspondence which, due to their general nature, cannot logically be filed elsewhere in the 570 series. (Destroy after 2 years). NC-372-75-1.

**570.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on correspondence, including copies of

interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**570.3 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to correspondence management. (Destroy after 3 years). NC-372-75-1.

**570.4 Reference Files.** Files relating to the general field of correspondence management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**570.5 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 16.15.a.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 16.15.b.

## **Mail**

**575 Mail.** Documents relating to mail management and mail processing operations, including receiving, sorting, opening, routing, distribution, delivery, control, pickup, and dispatch.

**575.1 General.** Documents relating to mail management and operations which, due to their general nature, cannot logically be filed elsewhere in the 575 series. (Destroy when 1 year old, or when superseded, or obsolete, whichever is applicable). GRS 12.6.g.

**575.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on mail, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

a. **Issuing Office.** (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years). NC-372-75-1.

b. **Other Offices.** (Destroy when superseded or canceled). NC-372-75-1.

**575.3 Suspense Files.** Papers or forms arranged in chronological order in individual offices as a reminder that an action is required on a given date; a reply to an action is expected and if not received should be traced on a given date; or a transitory paper being held for reference which can be destroyed on a given date. (Destroy after action is taken). GRS 23.6.a.

**575.4 Postal Directory.** Documents utilized in mail rooms in maintaining a locator system to facilitate delivery of mail to individuals, such as locator cards; copies of assignment or transfer orders; and similar documents. (Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable). GRS 12.6.h.

**575.5 Accountable Mail Control.** Records relating to the handling, accounting, receipting for, and dispatch of registered, certified, numbered insured, overnight, express and special delivery mail including receipts and return receipts. (Destroy after 1 year, **Except** when a classified document receipt is not available to establish proof of receipt of a classified document which was transmitted by registered or certified mail, in which case the Accountable Mail record will be retained with the Classified Document Receipt and/or Tracer files). GRS 12.5.a.

**575.6 Routine Mail Control.** Documents relating to the control of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service. Includes routing and suspense slips, delivery receipts, record of messenger trips, and similar documents maintained by mail rooms. **Excludes** items covered under 575.5. (Destroy after 1 year). GRS 12.6.a.

**575.7 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to mail management and operations. (Destroy after 3 years). NC-372-75-1.

**575.8 Lost and Rifled Mail.** Records relating to reporting of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail. (Destroy after 1 year). GRS 12.5.c.

**575.9 Anonymous Letters.** Anonymous letters, letters of commendation, complaint, criticism, and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated in individual personnel records, which should be filed in the appropriate functional file and destroyed accordingly. (Destroy after 3 months). GRS 14.5.

**575.10 Reference Files.** Files relating to the general field of mail management and operations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**575.11 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced). GRS 16.15.a.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed). GRS 16.15.b.

### **Automated Data Processing (ADP) Management and Services**

**590 Automated Data Processing (ADP) Management and Services.** Relates to the study of ADP time-shared systems, and the selection and adoption of those best suited to DCAA operations; the DoD Data Standardization Program; and services provided by offices responsible for the systems.

**590.1 General.** Documents relating to ADP management and services which, due to their general nature, cannot logically be filed elsewhere in the 590 series. (Destroy after 2 years). NC-372-75-1.

**590.2 Policies and Procedures.** Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on ADP, including interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications. (Destroy when superseded, canceled, or after 10 years). NC-372-75-1.

**590.3 ADP Planning and Program Management.** Documentation reflecting the management and determination of the Agency's ADP resources and requirements, including records relating to overall objectives, plans, and concepts governing management and utilization of ADP within DCAA.

- a. **Headquarters, DCAA.** (Destroy after 10 years). NC-372-75-1.
- b. **Regional Headquarters.** (Destroy after 5 years). NC-372-75-1.

**590.4 ADP Systems Development and Evaluation.** Records relating to correspondence, reports, studies, and related records concerning the study, selection, adoption, exploitation, and integration of ADP systems in DCAA operations.

- a. **Headquarters, DCAA.** (Destroy after 10 years). NC-372-75-1.
- b. **Regional Headquarters.** (Destroy after 5 years). NC-372-75-1.



**590.5 Recurring Reports and Information Requirements.** Recurring reports and one-time information requirements relating to the management and use of ADP systems. Reports and information requirements produced by such systems will be filed under the appropriate secondary function. (Destroy after 3 years). NC-372-75-1.

**590.6 Data Standardization.** Documents relating to the policies, procedures, and actions required to implement the Defense Standardization Program in coordination with the Federal Standardization Program of GSA and other Government agencies. (Destroy when superseded, obsolete, or after 2 years, whichever is earlier). NC-372-75-1.

**590.7 ADP Systems Implementation.** Documents accumulated in the process of implementing approved ADP systems, including coordination actions, orientation and training, dissemination of information, review of proposals for acquisition, progress reporting, feasibility studies, application studies, and monitorship of test applications. (Destroy when no longer needed for reference material, or after 10 years, whichever is earlier). NC-372-75-1.

**590.8 Management Information Systems (MIS) Projects.** Project files containing requests, specifications, cost estimates, and other documents relating to computer programs which are developed to meet a specific information requirement using data maintained in the MIS. Outputs produced by such programs will be filed under the appropriate secondary function. (Destroy after 10 years). NC-372-75-1.

**590.9 Automated Personnel Inventory System (APIS) Projects.** Not used after July 1996. (Destroy after 10 years). NC-372-75-1.

**590.10 Advanced Audit Techniques (AAT) Program Projects.** Project files containing requests, specifications, cost estimates, and other documents relating to computer programs which are developed to meet specific audit applications. Outputs produced by such programs will be filed under the appropriate secondary functions. (Destroy after 10 years). NC-372-75-1.

**590.11 Reference Files.** Files relating to the general field of automated data processing management and services consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier). NC-372-75-1.

**590.12 Data Communications and Networking.** Documents accumulated during the research, testing, installation, and implementation of ADP hardware and software required to facilitate data communications within and outside of the Agency, such as those relating to lines, cabling, modems, protocols, bridges, gateways, E-Mail, and Internet. (Destroy when no longer applicable to the current ADP operating environment and no longer needed as reference material, or destroy after 10 years, whichever is earlier). GRS 20.1.a.

**590.13 Evaluation of ADP Hardware and Software.** Documents relating to the research, testing, and adoption of ADP hardware and software products for which a potential Agency requirement has been identified. (Destroy when no longer applicable to the current ADP operating environment and no longer needed as reference material, or after 2 years, whichever is earlier). GRS 16.9.

**590.14 Automated Information System (AIS) Security.** Documents relating to the physical and data security of automated information systems. (Destroy when obsolete and no longer needed for reference, or after 10 years, whichever is earlier). GRS 20.11.b.

**590.15 Audit System Projects.** Documentation and project files for automated audit systems, other than management information systems such as FMIS and AMIS, to include functional requirements, system change requests, cost estimates, system and program specifications, training and test plans, user manuals, and standard operating procedures. Outputs produced by such systems will be filed under the appropriate secondary functions or the 594 file series. (Destroy when system use is discontinued and the documentation is no longer needed for reference, or after 10 years, whichever is earlier). GRS 20.1.a.

**590.16 Other Automated Information System (AIS) Projects.** Documentation and project files for automated information systems other than auditing, i.e., personnel, training, and inventory, whether developed in-house or acquired through/for a contractor or another Government agency to include functional requirements, system change requests, cost estimates, system and program specifications, training and test plans, user manuals, and standard operating procedures. Outputs produced by such systems will be filed under the appropriate secondary function or the 594 file series. (Destroy when system use is discontinued and the documentation is no longer needed for reference, or after 10 years, whichever is earlier). GRS 20.1.a.

**590.17 Computer Assisted Audit Techniques (CAATs) Projects.** Files relating to project management and/or detailed documentation of implemented CAATs at FAOs. (Destroy when no longer applicable to the current operating environment and no longer needed as reference material, or after 10 years, whichever is earlier). GRS 20.11.a.

**590.18 Optical Technology Projects.** Files relating to project management and/or the detailed documentation of implemented optical technology, such as compact disks, optical scanners, optical mass storage devices, etc. (Destroy when no longer applicable to the current operating environment and no longer needed as reference material, or after 10 years, whichever is earlier). GRS 20.1.a.

**590.19 Electronic Data Interchange (EDI) Projects.** Files relating to project management and/or EDI applications, such as electronic pricing workbench, etc. (Destroy when no longer applicable to the current operating environment and no longer needed as reference material, or after 10 years, whichever is earlier). GRS 20.1.a.

### **Nonerasable Media**

**591 Nonerasable Media.** Not used after July 1996.

### **Input Transaction Forms**

**592 Input Transaction Forms.** Not used after July 1996.

### **Input Products or Media**

**593 Input Products or Media.**

**593.1 *Input Products or Media.*** Forms or data collection sheets used as input to any ADP system, i.e., for MIS, inventory, payroll, or personnel purposes. (Destroy when no longer needed to support the reconstruction of, or serve as backup to, the master file or after 1 year, whichever is earlier). GRS 20.2.a.

### **Output Products or Media**

#### **594 *Output Products or Media.***

**594.1 *Output Products or Media.*** Output products generated by an ADP system such as reports and diskettes to meet internal or external Agency information requirements that are not filed in an appropriate secondary file series.

- a. ***Office of Primary Responsibility.*** (Destroy when no longer needed for reference, or after 6 years, whichever is earlier). GRS 20.6.
- b. ***All Other Offices.*** (Destroy when no longer needed for reference or after 2 years, whichever is earlier). GRS 20.6.

### **Local Area Network (LAN) Documentation**

#### **595 *Local Area Network (LAN) Documentation.***

**595.1 *Local Area Network (LAN) Documentation.*** Any memoranda, documentation, and media pertaining to the installation, update, maintenance, or removal of hardware and software associated with the local area network (LAN), to include the quarterly updates generated by Headquarters.

- a. ***Office of Primary Responsibility.*** (Destroy when obsolete, no longer needed for reference, or after 6 years, whichever is earlier). GRS 20.1.a.
- b. ***All Other Offices.*** (Destroy when obsolete, no longer needed for reference, or after 2 years, whichever is earlier). GRS 20.1.a.

### **700 -- Audit Administration, Management, and Policy/Guidance/Direction**

This primary functional series relates to records created by Headquarters and regional offices whose primary mission is the management, evaluation, and supervision of audit services provided by DCAA Field Audit Offices (FAOs). FAOs should use the 700 series for originating documents or for filing documents received from Headquarters or regional offices which relate to audit administration, management and policy/guidance/direction. This series incorporates the previous 760 series entitled Contract Audit Administration. FAOs should follow disposition instructions provided for ***All Other Offices or All Offices.***

Files Arrangement and Numbering Systems. Arrangement of files and further subdivisions not otherwise prescribed herein shall be as determined by each DCAA element; however, all file folders shall carry the specific 700 series number prescribed herein as identification for disposal standards. To the maximum extent possible, numbering systems should first use the 700 series

number as the primary functional category and then further subdivide using the Field Audit Office Management Information System (FMIS) 5 digit code. For example, a technical programs review of relocation costs would be 730.5/14300, a Regional analysis of the Requirements Plan would be 720.3/49500, or an FAO generated recurring report on financial jeopardy would be 720.6A/17600.

The following file codes (700.5 and 704.1) are no longer used.

**700.5 Post Review of Technical Instructions.** No longer used March 1990. (Records relating to the review of Headquarters correspondence and regional instructional material to assure conformance with contract audit policy, and to determine possible need for new or revised guidance. Destroy after 3 years).

**704 Standing Part 2, Section XV, DAR Subcommittee.**

**704.1 Case Files.** No longer used March 1990. (Records accumulated by the Chairman of the DAR Section XV, Part 2 Subcommittee which is charged with the responsibility for cost principles and changes thereto. *Chairman:* Permanent).

### **Audit Administration**

**710 Audit Administration.** This file series contains records relating to the administration of audit services.

**710.1 General.** Documents relating to audit administration which, due to their general nature, cannot logically be filed elsewhere in the 710 series. (All Offices: Cut off at the end of the fiscal year, hold 3 years, then destroy). SF 115, NI-372-90-2, Item 1.

**710.2 Reference Files.** Files relating to the general field of audit administration consisting of extra copies of documents which duplicate the official record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (All Offices: Destroy when 2 years old or sooner if obsolete or no longer needed for reference). SF 115, NI-372-90-2, Item 2.

**710.3 Policy Reference File.** Copies of documents which trace the origin of the Agency, its administrative development, and the evolution of its structure and policies, which duplicate the official record copy filed elsewhere. Also contains copies of current audit and policy guidance initiated at the Headquarters and higher authority levels. These files are stored electronically as the Policy/Precedent Reference Facility (P/PRF). Copies of these reference files are readily available through the P/PRF by submitting a request to Headquarters via DCAA Form 7640-34.

a. **Headquarters Office of Primary Responsibility.** (Retain in current files area indefinitely; destroy individual records when no longer needed. Do not transfer to Federal Records Center). SF 115, NI-372-90-2, Item 3a.

b. **All Other Offices.** (Destroy when no longer needed for research purposes). SF 115, NI-372-90-2, Item 3b.

**710.4 Seminars/Conferences/Presentations.** Records relating to the preparation, development, and conduct of seminars, conferences, and similar meetings which cover technical audit areas. Also includes records relating to preparation and presentation of speeches, point papers, etc., and attendance at such meetings if not appropriate for filing under a specific files series. (All Offices: Cut off at the end of the fiscal year, hold 3 years, then destroy). SF 115, NI-372-90-2, Item 4.

**710.5 Committee Representation.** Records relating to representation and participation in groups specifically involved in audit matters; for example, FAO participation in local cost monitoring boards (*Excluding* Headquarters participation in the Cost Accounting Standards Policy Group meetings and Cost Principles Committee meetings, see 730.8). (All Offices: Cut off after termination of participation, hold 3 years, then destroy). SF 115, NI-372-90-2, Item 5.

**710.6 Coordination/Correspondence with Non-DCAA Organizations.** Records relating to general coordination activities, for example, ACO coordination meetings. Headquarters and regional offices should file records relating to a specific audit issue or area under Audit Liaison Activities (720.4), or Coordination of Technical Audit Matters with Non-DCAA Organizations (730.6). FAOs should file records relating to a specific contractor or contract under Contractor Case Files (810/820). (All Offices: Cut off after completion of the activity, hold 5 years, then destroy). SF 115, NI-372-90-2, Item 6.

**710.7 Audit Guidance Memorandums.** Copies of audit guidance memorandums received from Headquarters, DCAA, or Regional Headquarters. These copies are to be filed in the Chronological Library of Audit Guidance Memorandums. (FAO: Destroy when instructed by the Headquarters Policy Formulation Division). SF 115, NI-372-90-2, Item 7.

## **Audit Management**

**720 Audit Management.** This file series contains records relating to the overall management and supervision of the contract audit mission.

**720.1 General.** Documents relating to audit management/services which, due to their general nature, cannot logically be filed elsewhere in the 720 series. (All Offices: Cut off at the end of the fiscal year, hold 3 years, then destroy). SF 115, NI-372-90-2, Item 8.

**720.2 Reference Files.** Files relating to the general field of audit management/services consisting of extra copies of documents which duplicate the official record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (All Offices: Destroy when obsolete, or no longer needed for reference, whichever is earlier). SF 115, NI-372-90-2, Item 9.

**720.3A AMIS Reports.** Output reports and products produced from the Agency Management Information System (AMIS).

- a. **Offices of Primary Responsibility (Headquarters).** (Reports covering the current fiscal year, whether in the form of monthly, quarterly, or semi-annual reports, must be kept until receipt of the fiscal year-end report and then destroyed. Fiscal year reports will be kept 10 years and then destroyed). GRS 22.2.

b. **Offices of Primary Responsibility (Regions).** (Reports covering the current fiscal year, whether in the form of monthly, quarterly, or semi-annual reports, must be kept until receipt of the fiscal year-end report and then destroyed. Fiscal year reports will be kept 5 years and then destroyed). GRS 20.12.a.

c. **All Other Offices.** (Destroy when no longer needed for reference). GRS 20.12.a.

**720.3B FMIS Reports.** Output reports and products produced from the FAO Management Information System (FMIS).

a. **Offices of Primary Responsibility (Headquarters, regions, and FAOs).** (Reports covering the current fiscal year, whether in the form of monthly, quarterly, or semi-annual reports, must be kept until receipt of the fiscal year-end report and then destroyed. Fiscal year reports will be kept 5 years and then destroyed). GRS 20.4.

b. **All Other Offices.** (Reports covering the current fiscal year, whether in the form of monthly, quarterly, or semi-annual reports, must be kept until receipt of the fiscal year-end report and then destroyed. Fiscal year reports will be kept 3 years and then destroyed). GRS 20.4.

**720.4 Audit Liaison Activities.** Records relating to liaison activities with all government organizations, including quasi-judicial or judicial bodies, GAO, DoD and non-DoD IG, DoD internal audit organizations, investigative committees of the House and Senate, and other government organizations. (See 850.2 for those records relating to a specific contract or contractor).

a. **Office of Primary Responsibility.** (Cut off at the end of the fiscal year, hold 3 years, then retire to the Federal Records Center. Destroy 10 years after cut off). SF 115, NI-372-90-2, Item 11a.

b. **All Other Offices.** (Cut off at the end of the fiscal year, hold 2 years, then destroy). SF 115, NI-372-90-2, Item 11b.

**720.5 Audit Quality Review Program.** Records relating to the DCAA audit quality control review program, performed primarily under the direction of the Special Assistant for Audit Quality (DQ). This program provides an appraisal of the operational and administrative effectiveness of internal controls for all of DCAA Headquarters and regional offices and all aspects of selected field audit offices.

a. **Office of Primary Responsibility.** (Cut off at the end of the fiscal year, hold 5 years, then destroy). SF 115, NI-372-90-2, Item 12a.

b. **All Other Offices.** (Cut off at the end of the fiscal year, hold 2 years, then destroy). SF 115, NI-372-90-2, Item 12b.

**720.6 Audit Management Reporting Requirements.** This file series contains records relating to recurring and one-time information audit management reports.

**720.6A Recurring Reports.** Those records which are or will be controlled under DCAA Instruction No. 7750.2, Index of Approved Information and Reporting Requirements, and comparable Regional Instructions. For example, Incurred Cost Status Report (RCS: D(M)189). Also included in this series are records consisting of reports and memoranda required by CAM used for reference purposes. Examples include Unsatisfactory Conditions (CAM 4-803.4c), Suspected Violations of the Anti-Kickback Act (CAM 4-704).

a. **Headquarters Office of Primary Responsibility.** (Cut off at the end of the fiscal year, hold 3 to 5 years, then retire to the Federal Records Center. Destroy 7 years after cut off). SF 115, NI-372-90-2, Item 13a.

b. **Regional Office of Primary Responsibility.** (Cut off at the end of the fiscal year, hold 5 years, then destroy). SF 115, NI-372-90-2, Item 13b.

c. **All Other Offices.** (Destroy when no longer needed for reference). SF 115, NI-372-90-2, Item 13c.

**720.6B One-Time Reporting Requirements.** One time requests for information relating to audit services, whether prepared for DCAA or other Government use, excluding requests from the general public (See 502 FOIA).

a. **Headquarters Office of Primary Responsibility.** (Cut off at the end of the fiscal year, hold 5 years, then destroy). SF 115, NI-372-90-2, Item 14a.

b. **Regional Office of Primary Responsibility.** (Cut off at the end of the fiscal year, hold 3 years, then destroy). SF 115, NI-372-90-2, Item 14b.

c. **All Other Offices.** (Destroy when no longer needed for reference). SF 115, NI-372-90-2, Item 14c.

**720.7 Quality Assurance (QA).** Records relating to providing reasonable assurance that DCAA has (1) adopted, and is following, applicable government auditing standards (GAS), and (2) established, and is following, adequate audit policies and procedures. Includes regional and Agency-wide QA reviews, internal QA reviews based on the guidelines set forth by the President's Council of Integrity and Efficiency (PCIE), and DoDIG triennial reviews of DCAA

a. **Office of Primary Responsibility.** (Destroy 6 years after date of document.) NI-372-00-1, Item 1

b. **All Other Offices.** (Destroy 2 years after date of document.) NI-372-00-1, Item 2

**720.8 Electronic Mail and Word Processing System Copies.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this series. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced.) NI-372-00-1, Item 3
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision or updating is completed.) NI-372-00-1, Item 4

### **Audit Policy, Guidance, and Direction**

**730 Audit Policy, Guidance, and Direction.** This file series contains records relating to the formulation of audit policy, operating procedures, and technical direction for the performance of contract audits. FAOs use this file series for records generated in response to Headquarters and regional memoranda which referenced this file series or for generating memoranda regarding the interpretation or clarification of audit policy, guidance, and direction.

**730.1 General.** Documents relating to audit policy, guidance, and direction which, due to their general nature, cannot logically be filed elsewhere in the 730 series. (All Offices: Cut off at the end of the fiscal year, hold for 3 years, then destroy). SF 115, NI-372-90-2, Item 15.

**730.2 Reference Files.** Files relating to the general field of audit policy, guidance, and direction consisting of extra copies of documents which duplicate the official record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference. (All Offices: Destroy when obsolete, or no longer needed for reference, whichever is earlier). SF 115, NI-372-90-2, Item 16.

**730.3.a. Formulation and Guidance.** Records relating to the development and interpretation of policies relating to audit procedures required to perform contract audits and preparation of related reports. Also, records relating to the preparation and issuance of policy guidance relating to cost principles required to perform contract audits. Includes Headquarters program manager field visits for oversight reviews to assess implementation of guidance.

- a. **Headquarters Issuing Office.** (Cut off at the end of the fiscal year, hold 3 to 5 years, then retire to the Federal Records Center. Destroy 7 years after cut off). SF 115, NI-372-90-2, Item 17a.
- b. **Regional Issuing Office.** (Cut off at the end of the fiscal year, hold 3 years then retire to the appropriate Federal Records Center. Destroy 7 years after cut off). SF 115, NI-372-90-2, Item 17b.
- c. **All Other Offices.** (Destroy when superseded or obsolete). SF 115, NI-372-90-2, Item 17c

**730.3.b. Policy Interpretation and Issuance.** Documents used in the development and issuance of the Contract Audit Manual, including interim policy guidance and material collected for use in the promulgation of Agency audit policy. (Headquarters Issuing Office: Cut off at the end of the



fiscal year. Destroy 15 years after cut off or when no longer needed, whichever is later. Do not retire to a Federal Records Center). SF 115, NI-372-90-2, Item 18.

**730.4 Special Projects/Audits.** Records relating to

- (1) planning and performance of special purpose audits,
  - (2) preparation of special guidance required for the evaluation of sensitive and significant audit issues, for example financial capability, terminations, etc.,
  - (3) records relating to developing programs to study and monitor selected audit areas identified for special audit emphasis, for example MRP/MMAS, and
  - (4) Headquarters/Regional coordination of significant, sensitive issues impacting the proper execution of the audit function and accomplishment of the audit mission, for example, access to records, unsatisfactory conditions, suspected irregular conduct, etc.
- a. **Headquarters Office of Primary Responsibility.** (Permanent. Cut off at the end of the fiscal year, hold 3 to 5 years, then retire to the Federal Records Center. Transfer to the National Archives 25 years after cut off). SF 115, NI-372-90-2, Item 19a.
  - b. **Regional Office of Primary Responsibility.** (Cut off at the end of the fiscal year, hold 1 year, retire to the appropriate Federal Records Center for 20 years. Destroy 21 years after cut off). SF 115, NI-372-90-2, Item 19b.
  - c. **All Other Offices.** (Destroy when superseded or obsolete). SF 115, NI-372-90-2, Item 19c.

**730.5 Technical Programs.** Records relating to field performance, efficiency, and sufficiency of coverage of all established audit areas, including initial pricing, incurred costs, defective pricing, EDP reviews, quantitative methods programs, etc. Audit areas which have a special purpose, and/or have major issues which require special emphasis/consideration, should be covered in file code 730.4 Special Projects/Audits. (All Offices: Cut off at the end of the fiscal year, hold 10 years. Destroy 11 years after cut off). SF 115, NI-372-90-2, Item 20

**730.6 Coordination of Technical Audit Matters with Non-DCAA Organizations.** Records relating to the coordination with non-DCAA organizations on audit matters which respond to specific questions/issues brought up by such organizations as Aerospace Industries Association, etc., which are not covered under a specific 700 file code. Also includes review and coordination on technical publications, originated by non-DCAA organizations, which may have an impact on DCAA operations such as FAR (previously DAR), CASB, other DoD components, or non-Government activities.

**Note:** See 540.5 for DCAA publications.

- a. **Headquarters Issuing Office.** (Cut off at the end of the fiscal year, hold 3 to 5 years, then retire to the Federal Records Center. Destroy 7 years after cut off). SF 115, NI-372-90-2, Item 21a.

b. *All Other Offices*. (Cut off at the end of the fiscal year, hold 3 years, then destroy). SF 115, NI-372-90-2, Item 21b.

**730.7 Board of Contract Appeals (BCA) Files.** Records relating to BCA cases which may impact audit policy, direction or guidance. Includes materials used in preparing individuals to testify before the Board. This is to be primarily used by Headquarters and Regional Offices for research and reference purposes. (Excludes BCA cases and actual testimony which are filed in 850.4 for FAOs). (All Offices: Cut off at the termination of the case, hold 6 years, then destroy). SF 115, NI-372-90-2, Item 22.

**730.8 Audit Policy Committee Representation.** Records relating to those committees that establish procurement policy which impact the DCAA audit mission, for example the CAS Policy Group and FAR Cost Principles Committee. Also, includes committee representation for internal DCAA projects which impact the determination of audit policy.

a. *Headquarters Participating Element for Interagency Committees for Which DCAA is the Secretariat*. (Permanent. Cut off at close of case, or at end of the fiscal year, whichever is applicable. Hold 3 to 5 years, then retire to Washington National Records Center. Transfer to the National Archives 25 years after cut off). SF 115, NI-372-90-2, Item 23a.

b. *Headquarters Participating Element(s) for all Other Committees*. (Temporary. Cut off at close of case or at the end of fiscal years, whichever is applicable. Destroy when no longer needed. Do not retire to a Federal Records Center). SF 115, NI-372-90-2, Item 23b.

### **800 -- Contract Audit Case Files and Services**

A. These files series have been created for use by Field Audit Offices (FAOs). They document the primary mission or function of the FAO, and relate to either a contract or contractor rather than general audit topics. Audit administration and audit management functions performed by FAOs are to be filed in the 700 series. FAOs will use, as required, files series listed in the primary functions 100 through 500 for all other administrative records accumulated by the FAO. Contract audit records are to be retained for 6 years and 3 months after final settlement of claims and final audit action on the related contract.

#### **Contractor Files**

**810 Contractor Files.** These records, maintained by individual contractor, are those commonly referred to as the “permanent file.” Refer to DCAAM 7640.1 paragraph 4-405 for guidance in distinguishing between “permanent” and “current” files. The purpose is to provide a central repository of information which has continuing value and use to subsequent audits expected to be performed at the same contractor. Such records are maintained on a current basis by updating the file as additional information is obtained and may contain duplicates of official record copies filed elsewhere. It is suggested that these files be further subdivided by the Supplemental Listing of Subject Codes (See Enclosure 1) for ease in filing and retrieval. For example, information relating to floorchecks could be filed as 810.1/13030. At FAOs such as branch offices which handle a multitude of small non-major contractors, it may be practical to accumulate files into one centrally located “Summary Non-Major” contractor file.

**810.1 Contractor Permanent File.** This is permanent file information, such as current policies, organization, operating procedures, resources, capability, financial statements, and similar information. It may contain audit guidance which is specifically relevant to this contractor, or duplicates of official record copies filed elsewhere, for which there is an anticipated future need for the information on other current or future audits. (FAO: Working file. Keep current. Destroy when superseded or obsolete. Do not transfer to Federal Records Center). SF 115, NI-372-90-2, Item 24.

**810.2 Contractor Audit Risk Assessment Files.** Information pertaining to the assessment of audit risk and vulnerability which impacts future audit assignments. This would include the internal control questionnaire (ICQ), internal control review update control log, vulnerability assessment, MAARS control log, CAS disclosure statement and revisions, CAS compliance control schedules and a noncompliance summary schedule. FAO managerial summaries of risk assessments for Requirements and Program Plans should be filed under series code 720.3. (FAO: Working file. Keep current. Destroy when superseded or obsolete. Do not transfer to Federal Records Center). SF 115, NI-372-90-2, Item 25.

### **Contract Audit Assignment/Case Files**

#### **820 Contract Audit Assignment/Case Files.**

**820.1 Contract Correspondence.** Correspondence relating to the specific contract or to an audit area related to a specific contractor. (Destroy 6 years and 3 months after final settlement of claims and final audit action on the related contracts). SF 115, NI-372-90-2, Item 26.

**820.2 Contracts.** Copies of contracts used in performing contract audits. (When copies of contracts are readily available from the office of record or another appropriate source, copies of contracts may be disposed of immediately after extraction of the data required for the contract brief card. Classified contracts shall be returned to the office of record or disposed of in accordance with the DCAA Information Security Program Manual (DCAAM 5205.1). Copies of contracts shall not be retired to Federal Records Centers). SF 115, NI-372-90-2, Item 27.

**820.3 Contract Brief Card.** Card containing data extracted from the contract (DCAA Form 7640-2). (Destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract). SF 115, NI-372-90-2, Item 28.

**820.4 Public Vouchers.** Auditor's copy of the public voucher used for processing and the copy of the paid voucher received from the finance office. (Only the copy of the final voucher shall be retired to the FRC as part of the related case file. Retention and disposition of other copies is at the discretion of the FAO manager). SF 115, NI-372-90-2, Item 29.

**820.5 Incurred Cost Audits.** Records relating to the audit and review of costs (whether single or multi-contract) which have been incurred or the appraisal of the contractor's operations and procedures which either contribute to, or have an impact on, costs charged to or expected to be charged to a specific Government contract, e.g., Performance and Financial Controls, Materials and Services, Labor, Indirect Expenses, Other Reviews, All Inclusive Audits, Special Audits, and Negotiation Memorandums. (Destroy 6 years and 3 months after final settlement of claims and

final audit action pertaining the fiscal year covered by the audit). SF 115, NI-372-90-2, Item 30 & 31.

**820.6 *Forward Pricing*.** Records relating to the evaluation of individual forward pricing proposals and all other related papers required for the review and appraisal of prospective costs.

**820.6A *Individual Bid Proposals*.** (If contract is awarded, destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract. If contract is subsequently the subject of a defective pricing review, destroy 6 years and 3 months after final settlement of defective pricing claims and final defective pricing audit action (see 820.7). If contract is not awarded, destroy 3 years after service is performed or advice furnished). SF 115, NI-372-90-2, Item 32a.

**820.6B *Should Cost Studies*.** (If contract is awarded, destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract. If contract is subsequently the subject of a defective pricing review, destroy 6 years and 3 months after final settlement of defective pricing claims and final defective pricing audit action (see 820.7). If contract is not awarded, destroy 3 years after service is performed or advice furnished). SF 115, NI-372-90-2, Item 32b.

**820.6C *Agreements*.** (If contract is awarded, destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract. If contract is subsequently the subject of a defective pricing review, destroy 6 years and 3 months after final settlement of defective pricing claims and final defective pricing audit action (see 820.7). If contract is not awarded, destroy 3 years after service is performed or advice furnished). SF 115, NI-372-90-2, Item 32c.

**820.6D *Estimating Systems*.** (If contract is awarded, destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract. If contract is subsequently the subject of a defective pricing review, destroy 6 years and 3 months after final settlement of defective pricing claims and final defective pricing audit action (see 820.7). If contract is not awarded, destroy 3 years after service is performed or advice furnished). SF 115, NI-372-90-2, Item 32d.

**820.6E *Telephone Rate Requests*.** (If contract is awarded, destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract. If contract is subsequently the subject of a defective pricing review, destroy 6 years and 3 months after final settlement of defective pricing claims and final defective pricing audit action (see 820.7). If contract is not awarded, destroy 3 years after service is performed or advice furnished). SF 115, NI-372-90-2, Item 32e.

**820.6F *Negotiation Memorandums*.** (If contract is awarded, destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract. If contract is subsequently the subject of a defective pricing review, destroy 6 years and 3 months after final settlement of defective pricing claims and final defective pricing audit action (see 820.7). If contract is not awarded, destroy 3 years after service is performed or advice furnished). SF 115, NI-372-90-2, Item 32f.

**820.7 Defective Pricing.** Records relating to performing audits of contracts containing defective pricing provisions and audit reports on the results of such audits. (Destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract). SF 115, NI-372-90-2, Item 33.

**820.8 Cost Accounting Standards (CAS) Audits/Activities.**

**820.8A CAS Disclosure Statements and Revisions -- Review for Adequacy.** Records related to the review of a contractor's initial and revised disclosure statements to determine adequacy. (Destroy 3 years after supersession or obsolescence). SF 115, NI-372-90-2, Item 34.

**820.8B CAS Compliance Reviews.** Records relating to reviewing contractor's disclosed practices to determine if such practices are in compliance with CAS and DAR. (Destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract). SF 115, NI-372-90-2, Item 35.

**820.8C CAS Price Adjustment Reviews.** Records related to review, report preparation, and resolution of price adjustment proposals to comply with new Cost Accounting Standards or from voluntary changes to existing cost accounting practices or contractor's failure to comply with applicable Cost Accounting Standards. (Destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract). SF 115, NI-372-90-2, Item 36.

**820.8D Other CAS Reviews/Activities.** Records relating to other CAS audits and activities not otherwise identified in 820.8A -- 820.8C. (Destroy 3 years after supersession or obsolescence). SF 115, NI-372-90-2, Item 37.

**820.9 Other Audits and Reviews.** Records relating to other audits and reviews not otherwise identified in 820.1 -- 820.8. (Destroy 6 years and 3 months after final settlement of claims and final audit action on the related contract). SF 115, NI-372-90-2, Item 38.

**830 Reserved.** (SF 115, NI-372-90-2, Item 39).

### **Procurement Liaison**

**840 Procurement Liaison.** Records accumulated by Procurement Liaison Auditors providing advisory audit services to procurement and contract administration officers. (Destroy after 3 years). SF 115, NI-372-90-2, Item 40.

### **Other Audit Services**

**850 Other Audit Services.** Records related to services performed by FAO auditors not otherwise covered in 820-840. Subject files are identified by the number following the decimal which coincides with either the activity or subactivity code of the FMIS.

**850.1 Contract Audit Coordination (CAC) Activities.**

**850.1A CAC Conferences.** Records relating to periodic conferences of cognizant auditors of multi-divisional contractors, including plans for the conference, agenda, list of participants,

minutes, transcripts of presentations and discussions, and related documents. (Destroy after 3 years). SF 115, NI-372-90-2, Item 42.

**850.1B CAC Case Files.** Records relating to CAC cases which consist of problems coming to the attention of the coordinator for resolution under the CAC Program and studies undertaken under the monitorship of the coordinator, the scope of which is company-wide or affects more than one location, such as access to records, problems which cannot be resolved locally, and problems that require uniform action at the contract administration or corporate headquarters level. (Destroy 6 years and 3 months after advice of CAC case resolution is prepared). SF 115, NI-372-90-2, Item 43.

**850.1C Other CAC Activities.** Records relating to other CAC activities not otherwise identified in 850.1A -- 850.1B. (Destroy after 3 years or when no longer needed, whichever is later). SF 115, NI-372-90-2, Item 44.

**850.2 Coordination with External Organizations.** Records of coordination with external organizations relating to a specific contractor. See 720.2 for coordination of matters effecting more than one contractor, or for general coordination activities.

**850.2A GAO Activity.** Records relating to developing information and comments on GAO reports, including letter reports issued by GAO Headquarters and regional offices, including records relating to discussions and conferences with GAO personnel and with DCAA, contractor, or procurement officials on GAO matters. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 45.

**850.2B DoD IG Activity.** Records relating to developing information and comments on DoD IG reports, including letter reports issued by DoD IG Headquarters and DoD IG regional offices, and records relating to discussions and conferences with DoD IG personnel and with DCAA, contractor, or procurement officials on DoD IG matters. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 46.

**850.2C Other IG Activity.** Records relating to a specific contractor, for the development of additional information and comments on reports, including letter reports, from IGs other than the DoD IG. This effort also includes records relating to discussions and conferences with IG personnel and with DCAA, contractor, or procurement officials on IG matters. Summary or general IG activities should be filed in 720.2. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 47.

**850.2D Congressional Activity.** Records relating to follow-up, review, meetings with, and responses to congressional inquiries relating to a specific contractor. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 48.

**850.3 Suspected Irregular Conduct (SIC).** Records related to SIC referrals and responses to requests from investigative agencies or the Department of Justice regarding fraud or other irregular practices. Includes records related to the development of evidence for (1) presentation to a U.S. attorney, or (2) prosecution at a trial.

**Note: Records prepared for a grand jury are to be segregated and separately controlled. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 49.**

**850.4 Board of Contract Appeals (BCA) Cases.** Records relating to BCA cases and hearings.

a. **Records created prior to 10/1/79.** (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 50a.

b. **Records created after 9/30/79.** (Destroy 1 year after final action on decision). SF 115, NI-372-90-2, Item 50b.

**850.5 Negotiation Support Services.**

**850.5A Prenegotiation.** Records relating to prenegotiations. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 51.

**850.5B Attendance at Negotiations.** Records relating to attendance at negotiation conferences. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 52.

**850.6 Other Audit Services.** Records relating to audit services not otherwise identified in the 820 -- 850 series. Excludes audits and reviews of specific contracts (see 820.9). (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 53.

**850.7 Special Projects and Studies.** Records related to projects and studies requested or approved by DCAA Headquarters or regional offices. (Destroy after 6 years and 3 months). SF 115, NI-372-90-2, Item 54.