REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS
(See Instructions on Reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
   Drug Enforcement Administration

2. MAJOR SUBDIVISION
   Management Analysis Division

3. MINOR SUBDIVISION
   Records Management Section

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

5. TEL. EXT.
   382-3333

6. CERTIFICATE OF AGENCY REPRESENTATIVE:
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of __ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

6/2/75
James L. Greene
Records Officer

<table>
<thead>
<tr>
<th>ITEM NO.</th>
<th>DESCRIPTION OF ITEM</th>
<th>SAMPLE OR JOB NO.</th>
<th>ACTION TAKEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Numbered Investigative Case Files. DEA Reports of Investigation concerning criminal</td>
<td></td>
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<tr>
<td></td>
<td>offenses related to violations of drug/narcotics laws. Included are DEA investigative</td>
<td></td>
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<tr>
<td></td>
<td>report forms and supporting documents. DISPOSITION: Transfer closed case files to</td>
<td></td>
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<tr>
<td></td>
<td>Federal Records Center after 10 years, in one year groups. Destroy after 55 years.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>in FRC's.</td>
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</tbody>
</table>

Authorization by J. L. Greene 7/22/75

Copies to Agency & All FRC's 10-31-75
Memorandum

TO: Mr. Thomas Wadlow, Director
Records Disposition Division
Office of Federal Records Center
National Archives and Records Service

FROM: Chief
Management Analysis Division, DEA

SUBJECT: Schedule For Investigative Case Files

DATE: JUN 11 1975

The Drug Enforcement Administration (DEA) has an urgent requirement to modify Item No. 1 of the Comprehensive Records Schedule No. 2, which was approved for our predecessor agency, the Federal Bureau of Narcotics, Department of Treasury. A copy of Schedule No. 2 is attached.

Item No. 1 of Schedule No. 2 requires indefinite retention, "Retain", of investigative case files. Several Federal Records Centers have declined to accept DEA investigative case files which show "Retain" as the disposal authority.

In accordance with GSA Bulletins FPMR B-38 and B-49, request that Item No. 1 of Schedule No. 2 be rescinded and the attached schedule (SF-115) be approved for disposal of DEA investigative case files.

Leon W. Transeau

Attachments

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan
AUTHORIZATION FOR DISPOSAL OF TREASURY RECORDS

Pursuant to the terms of the Federal Records Act of 1950, which provides for the disposal of official records of the United States Government, permission has been granted in House Report No. 76, 83d Congress, 1st Session, for the disposal of records listed on the attached Records Control Schedule described as Bureau of Narcotics, All Field Offices, Comprehensive Schedule No. 2, dated August 15, 1952.

You are hereby authorized to dispose of the records described in Comprehensive Schedule No. 2, after they have been in existence for the periods of time specified, under the conditions, and by one of the methods prescribed in Section 11, page 3 (Rev-2, 1948) of the Treasury Department records manual.

As disposition is effected you will submit a report to this office in accordance with instructions contained in Section 11, pages 5-6d (1951-1953 Revisions) of the Records Manual, showing the volume in cubic feet, the method by which disposal was made, etc.

District Supervisors should insert a copy of this schedule at Section 18 of their Records Manual.

H. J. ANSLINGER
COMMISSIONER OF NARCOTICS

MARCH 18, 1953
RECORDS CONTROL SCHEDULE

BUREAU OF NARCOTICS

ALL FIELD OFFICES

COMPREHENSIVE SCHEDULE NO. 2

(Condensed)

August 15, 1952

The records in the custody of organization indicated above will be retired or disposed of in accordance with the instructions noted for each group of records listed below.


INTRODUCTION

Records covered by this schedule may, if valid justification exists, be retained for longer periods of time than herein prescribed if written permission is secured from the Administrator, General Services Administration. In no instance will the retention period be shortened except by authority from the Congress.

PERMANENT RECORDS MARKED "REMAIN" WILL BE KEPT BY THE RESPONSIBLE NARCOTICS OFFICE UNTIL SUCH TIME AS IT IS ADMINISTRATIVELY DEEMED APPROPRIATE TO TRANSFER THEM TO FEDERAL RECORDS CENTERS, UNLESS OTHERWISE SPECIFICALLY AUTHORIZED.

THE PERIOD OF TIME DURING WHICH RECORDS ARE TO BE RETAINED PRIOR TO DISPOSAL OR TRANSFER TO A RECORDS CENTER, IF STATED IN TERMS OF YEARS OR MONTHS, BEGINS WITH THE CLOSE OF THE YEAR OR MONTH, RESPECTIVELY, IN WHICH THE RECORDS ARE CREATED, OR IN WHICH CASE FILE IS COMPLETED, UNLESS OTHERWISE SPECIFIED.
PART I

Criminal Enforcement of Narcotic Laws

1. Criminal enforcement case files of narcotics violations both registered and unregistered; and non-medical addict files. RETAIN. Transfer to Federal Records Center in 5 year groups when 25 years old.

2. Alphabetical index to case file. RETAIN.

3. Correspondence with other District Offices (excluding that in case files described above) concerning investigations and enforcement cases that have initially developed in one District but are of common interest to others, and related name indexes. Retain indexes. Transfer correspondence in 5 year groups when 10 years old; dispose when 20 years old.

4. Criminal identification file containing reward notices, fingerprint charts and classifications, and related correspondence. Dispose 5 years after apprehension of subject or dismissal of charge against him.

5. Internal Revenue, U.S. official order form - opium, coca leaves, opium, etc. Triplicate copies. Retain as part of case file, orders which form the basis of or provide evidence in violation reports. Dispose of all forms held for investigation or inspection, two years after closing of such investigation or inspection, if they have no further significance as evidence. Dispose of all forms which have no investigative use after 3 months.

PART II

Control of Narcotic Drug Traffic

1. Narcotic prescriptions and correspondence from doctors explaining reasons for excessive use of narcotics by patients. Transfer when 5 years old; dispose when 10 years old.

2. Report of loss of narcotic drugs through theft. Dispose 5 years from date of report.

3. Report of loss of narcotic drugs other than through theft. Dispose 2 years from date of report.

4. Applications for registration including lists of applicants and correspondence with State Boards and the Collector of Internal Revenue relating to disapprovals. Dispose when 2 years old.

5. Local copies of schedules of seizure (including Forms 156), shipments of narcotic drugs (including Forms 173), and reports of destruction of drugs in the field (including Forms 167 and letter reports), together with related evidence cards (including Forms 102), other abstracts and correspondence. Dispose 1 year after shipment of evidence to Central Office or its destruction in the field.
DATE: September 11, 1975

SUBJECT: Disposal Job NC-170-75-1

The Drug Enforcement Administration of the Justice Department (formerly the Bureau of Narcotics of the Treasury Department) has submitted a one item disposal job in which they request our approval for the destruction of their numbered investigative case files after 55 years. These case files had been listed in an earlier disposal job (II-NNA-283) as a retained item but the DEA is re-examining all their earlier schedules and expect to submit comprehensive schedules in the near future. This current disposal job covering only a single item has been submitted because these case files being unscheduled present a most pressing problem to their field offices and to our Federal records centers.

The DEA case files are used for intelligence purposes and for investigating the associates of the person who is the subject of the case file. In addition, the individuals who are convicted of criminal offenses related to violations of drug and narcotic laws are thought likely to commit the offense again after they are released from prison. For this reason DEA wishes to retain the case files for the lifetime of the individual.

DEA was informed of the considerably lower retention periods placed on similar case files by other Federal agencies. The Department of Justice, for example, retains similar case files for only 15 years. The public defenders files for addicts are retained only 15 years. Court case files are retained only 30 years. DEA considered these retention periods but they did not feel that they could agree to a shorter retention period. It may be possible to get this retention period reduced after DEA has lived with this retention period for awhile.

CARMELITA S. RYAN
CARMELITA S. RYAN
Records Disposition Division

Keep Freedom in Your Future With U.S. Savings Bonds
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
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2. MAJOR SUBDIVISION
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3. MINOR SUBDIVISION
Records Management Section

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

5. TEL EXT
382-3333

6. CERTIFICATE OF AGENCY REPRESENTATIVE
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of ______ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.
☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE
2/11/77

D. SIGNATURE OF AGENCY REPRESENTATIVE
James L. Greene

E. TITLE
Records Officer

7. ITEM NO

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

Attached for approval by NARS is the DEA Functional File System which contains the DEA records schedule (Appendix 07D) and the retention plan of permanent records (Appendix 07H).
RECORDS CONTROL SCHEDULE #1  
AND AMENDMENT NO. 1

<table>
<thead>
<tr>
<th>1. (Agency or Establishment)</th>
<th>This schedule valid only after number and date or authorization is entered:</th>
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<tbody>
<tr>
<td>Treasury Department</td>
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<tr>
<td>Bureau of Narcotics</td>
<td></td>
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</table>

The records in the custody of organization indicated above will be retired or disposed of in accordance with the instructions noted for each group of records listed below.

April 2, 1952    (Signed) Margaret B. Choppin    Records Administration Officer  
(Date)          (Name)                              (Title)

The Bureau of Narcotics is responsible for:

A. The enforcement of Federal Narcotic and marihuana laws and the Opium Poppy Control Act;

B. The processing and disposal of seized and returned narcotics;

C. The issuance of permits to import crude narcotic drugs and to export drugs and preparations manufactured therefrom, and the licensing of the production of poppies and the manufacture of opium products therefrom;

D. The audit of accounting returns from manufacturers and wholesalers and the compilation of statistics and reports therefrom; and

E. The administration of these and related Bureau activities.

NOTE: (a) The records of the Bureau reflect these activities and are described below under these general headings;
Criminal Enforcement Records

1. Criminal case files of narcotics violations. RETAIN. (Transfer to Federal Records Center in 5 year groups when 20 years old.) DISPOSAL TEMPORARILY SUSPENDED - SEE TRANSMITTED 78-11 TO DEA RECORDS SCHEDULE.

2. Alphabetical card index to item no. 1. RETAIN.

3. Subject file containing policy, precedent and enforcement records, preliminary records pending establishment of case file, legislative reference case files, investigative records of other than Bureau personnel, and other records dealing with the conduct of Bureau activities. RETAIN. 601-08

4. Alphabetical index to item no. 3. RETAIN. 601-08

5. Criminal identification file containing fingerprints, photographs, wanted circulars, Criminal record, FBI Form T-2 and related information. RETAIN. 601-08

6. Alphabetical card index to item no. 5. RETAIN. 601-08

7. File of cases brought to the attention of medical licensing boards. RETAIN. 601-08

8. Compromise schedule, chronological file. Dispose of 5 years from date of disposition of case.

NOTE:  (a) The records in items 1 through 7 document the enforcement activities of the Bureau and are actively used in the conduct of its affairs.

(b) The information contained in items 8 and 9 is duplicated in item 1. Their administrative utility will have ceased at the expiration of the periods prescribed.

Seizure, Return, Processing and Disposal Records

10. Receipts for drugs disposed of. RETAIN. 630-04

11. Reports on safeguarding of stock and storage, including protective alarm systems, investigations and related correspondence and work papers. Forward to Records Center when 1 year old. 280-12

12. Reports of seizure of narcotic drugs by employees of the Customs Bureau and their disposition, together with related correspondence. Dispose of 5 years from date of report. Form 138
13. Schedules of seized and surrendered drugs processed. Dispose of original check schedule maintained by Returns Division 5 years from date of last entry. Form 173-Schedule of Drugs shipped to Drugs Disposal Committee.

14. Seizure and disposition account control cards, including Form 114. Dispose of 5 years from date of closing entry.

15. Schedules of shipments to Drug Disposal Committee, including Form 173. Destroy original copy 5 years from date of schedule. Dispose of all other copies 1 year from date of schedule.

16. Report of seizures of narcotics by Bureau employees, including Form 117. Dispose of 3 years from date of report.

17. Reports of drugs received, salvaged and disposed of, and related Drug Disposal Committee work data. Dispose of 3 years from date of report.

18. Registrants inventory of drugs surrendered including Form 142 and related correspondence. Dispose of 1 year from date of inventory.

19. Current inventories of drugs on hand. Dispose of when all items have been removed from inventory.

NOTE:  (a) The Bureau of Narcotics is often called upon to account for drugs stored and disposed of long after they have been destroyed or removed from Bureau custody. Since the records covered in item 10 constitute a small series of records it is considered advisable to retain them.

(b) The reports included in item 11 promote the security and safeguarding of drugs in manufacturers' and producers' plants. Periodic reference is made to them to insure compliance with Bureau standards and they should be retained.

(c) The seizure information contained in item 12 is duplicated in the case files of the Bureau of Customs. Such infrequent reference the Bureau of Narcotics may have these records after the time specified can be obtained from the case files of the Bureau of Customs.

(d) The records comprising items 13, 14, 15, 17, 18, and 19 constitute temporary internal controls of the seizures, processing and disposal of narcotic drugs and related work papers and are of no administrative value beyond the periods prescribed.
(e) The information contained in item 16 is duplicated in item 1. Administrative use of this series is limited to the period covered.

Licensing and Registrant Records

20. Import permits and related correspondence. RETAIN. 630-06

21. Directors' lists of narcotics registrants by classification. Dispose of 6 years from date of list.

22. Export permits and related correspondence. Dispose of 3 years after expiration of permit.

NOTE: (a) The records covered in item 20 present basic historical data on the importation of crude narcotic drugs and it seems advisable to retain them.

(b) The information contained in item 21 superseded or become obsolete by the expiration of the period prescribed.

(c) The permits covered in item 22 are valid for only 1 year. The prescribed retention period will allow for any administrative reference to these records.

Accounting Returns from Manufacturers and Wholesalers

23. Copies of statistical reports made to Int'l Narcotics Control Board. RETAIN. 630-08

24. Producing and extracting manufacturers' returns, including Form 163 and 168 and related summary work sheets. Dispose 6 years from date.

25. Copies of monthly and annual summaries of manufacturers and compounders (Class II) of taxable narcotic drugs and preparations filed in separate sequence from individual returns. Dispose 4 years from date of Summaries.

26. Record of receipt of returns including Form 133A card index to qualified manufacturers and wholesalers. Dispose when 5 years old.

27. Manufacturers' quota correspondence. RETAIN. 630-08
28. Stockpiling and Civilian Defense correspondence. **RETAIN.**

29. Correspondence regarding registrants' returns. Break file in 5 year groups. Dispose of when last piece of correspondence in group is 10 years old. (Transfer to Federal Records Center every 5 years).

30. Order forms for narcotics used on steamships and related correspondence. Dispose of 4 years from date of document. Form 2341

31. Tax exempt preparation returns of manufacturers including Form 802 and related work papers and correspondence. Dispose of 4 years from date of document.

32. Monthly returns of wholesalers and compounders of narcotic drugs including Forms 810 through 810E and 811 through 811D. Dispose of 4 years from date of return.

33. Internal Revenue, U. S. official order form-opium, coca leaves, opiates, etc. Triplicate copies. Dispose of 3 months from date of receipt or upon completion of audit and investigation, whichever is longer.

**NOTE:**

(a) The Records included in items 23, 24, and 25 constitute historical and statistical summaries of the accounting returns of narcotic manufacturers and compounders and should be retained.

(b) The card file which constitutes item 26 provides an active index to qualified manufacturers and wholesalers. In addition to having a long time administrative value this series presents an historical perspective and it is considered advisable to retain it.

(c) The records comprising item 27 present basic historical data regarding manufacturers' quotas at any given period and should be retained.

(d) The records comprising item 28 are of current national significance and should be retained until the expiration of the current international emergency at which time they should be reevaluated.

(e) The records included in item 29 and 30 contain no policy or precedent materials. They are used for current administrative purposes by the Returns Division and have no value beyond the period prescribed.
(f) The records included in item 31 are summarized returns gathered for short time administrative use and have no further administrative value after the information contained therein has been recorded.

(g) The returns comprising item 32 are summarized in item 25 and are of no further administrative or historical value after the expiration of the period prescribed.

(h) Official order forms are executed in triplicate by qualified purchasers of narcotics. The originals are required by law to be retained by the supplier and duplicates by the purchaser for a period of 2 years. The triplicates constituting item 33 serve no further purpose after necessary audits and investigations have been completed.

Administrative Records

For personnel records see General Schedule.

For Budget, Fiscal and Property records see General Schedule.

34. Record set of administrative issuances. RETAIN. 1330–01

35. Progress reports of field office activities. RETAIN. 601–06

36. Confidential case file of special employees. RETAIN. 601–09

37. Reports of narcotics situation in insular possessions. Dispose of 4 years from date of report.

38. Office reference materials such as administrative issuance, mimeographed lists of registrants, clearances with other Departments and agencies, hearings, decisions, digests, manufacturers' catalogs and other publications and reference documents which do not constitute a portion of a record series. Dispose of 3 years from date of document or termination of validity whichever is longer.

39. Chronological files of correspondence duplicated in subject files. Dispose of 3 years from date of correspondence.

40. Office administrative files such as copies of requisitions, purchase orders and skeleton personnel files. Dispose of 2 years from date of document.
41. Records of seizure, forfeiture, and disposition of vessels or vehicles acquired in the course of its regulatory activities by the Bureau. Dispose of 1 year after vessel or vehicle is removed from Bureau control.

42. Records of operation and maintenance of seized vessels. Dispose of 1 year after close of year in which created.

43. Working papers of Bureau employees which do not become a part of files covered elsewhere in this schedule. Dispose of 6 months after completion of related report of study.

NOTE: (a) The records included in item 34 and 35 implement the administrative history of the Bureau of Narcotics and should be retained.

(b) The employees whose records are included in item 36 are often employed intermittently over long periods of time and due to the investigatory nature of their work these records should be retained.

(c) The information contained in item 37 is summarized in the annual reports of the Bureau of Narcotics and has no administrative or historical value beyond the period prescribed.

(d) The records included in items 38 through 40 and 43 are temporary working tools of Bureau employees and have no administrative utility after the expiration of the prescribed retention periods.
AUDIOVISUAL RECORDS

File No.
370-03 Has an initial accumulation of three cubic feet of record material. Succeeding annual accumulation will be approximately 0.25 cubic feet.

File No.
830-02 Has an initial accumulation of 3.5 cubic feet of record material, including artifacts. Succeeding annual accumulation will be approximately 0.15 cubic feet.
1. Significant Seizures/Operations  Entry 370-03: videotapes
2. Spot TV News (sample)  Entry 370-03: videotapes
3. Administrator on TV  Entry 370-03: videotapes
4. Chicago Two on Two (Federal/State/Local)  Entry 370-03: videotapes
5. Mexican Connection  Entry 370-03: videotapes
6. File showing destruction of poppy fields, seizures of significant catches of drugs. Dor Emmillo Ship. Entry 370-03: videotapes
7. Operation Buccaneer  Entry 370-03: videotapes
8. Women in DEA  Entry 370-03: videotapes
10. Slides of Specialized Training  Entry 830-02: slide sets
11. Implementation of high priority enforcement related program resulting from enactment of laws. Entry 370-03: videotapes
12. Training in foreign law enforcement officers in overseas areas  Entry 830-02: videotapes
13. Interdiction of Illegal Drug Trafficking  Entry 370-03: videotapes
   Documentary
14. Artifacts  Opium smoking pipes from various countries,
   log record (daily) of 1930
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<tr>
<th>File No. &amp; Title</th>
<th>Method of Filing</th>
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<tr>
<td>0601 Policy and Precedent Files</td>
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</tr>
<tr>
<td>060-03 Agreement Files</td>
<td>By name of agency</td>
</tr>
<tr>
<td>110-01 Organization Planning Files</td>
<td>By region number or name of activity</td>
</tr>
<tr>
<td>120-01 Operation Planning Files</td>
<td>By name of planned operation</td>
</tr>
<tr>
<td>130-01</td>
<td></td>
</tr>
<tr>
<td>130-03</td>
<td></td>
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<tr>
<td>130-04 Congressional Budget Justification Files</td>
<td>Chronologically</td>
</tr>
<tr>
<td>140-01 Management Improvement Project Files</td>
<td>By project title</td>
</tr>
<tr>
<td>150-01 Management Survey Case Files</td>
<td>By project title</td>
</tr>
<tr>
<td>170-01 GAO Audit Reports Files</td>
<td>Chronologically</td>
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<td>170-02 Internal Review Files</td>
<td>By region number or name of activity</td>
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<td>301-01 Legal Opinion Precedent Files</td>
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<td>360-01 Legislation Files</td>
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<td>370-03 News Media and Release Files</td>
<td>Chronologically</td>
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<tr>
<td>File No. &amp; Title</td>
<td>Method of Filing</td>
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<tr>
<td>370-14 Statistics Report Files</td>
<td>Chronologically</td>
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<tr>
<td>601-01 Jurisdictional Files</td>
<td>By agency or name of activity</td>
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<tr>
<td>601-04 Enforcement Program Files</td>
<td>By program title</td>
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<tr>
<td>601-06 Enforcement Activities Reporting Files</td>
<td>By report title</td>
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<td>601-11 Foreign Country Files</td>
<td>By region number and alphabetically by country</td>
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<td>630-08 Manufacture and Purchase Qyota Files</td>
<td>By name of drug</td>
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<tr>
<td>830-02 Training Aids Files</td>
<td>By type of training device</td>
</tr>
<tr>
<td>930-02 DEA Scientific Advisory Committee Files</td>
<td>Chronologically</td>
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<tr>
<td>1330-01 Publication Record Set Files</td>
<td>By type of publication</td>
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### PERMANENT RECORDS PROPOSED FOR TRANSFER TO ARCHIVES

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<td>130-03 Budget Estimate Files</td>
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<td>130-04 Congressional Budget Justification Files</td>
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<td>150-01 Management Survey Case Files</td>
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¹Volume in cubic feet
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<th>Annual Volume for Transfer to Archives</th>
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<td>601-01 Jurisdictional Files</td>
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<td>0.15</td>
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<td>601-04 Enforcement Program Files</td>
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<td>601-11 Foreign Country Files</td>
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<td>930-02 DEA Scientific Advisory Committee Files</td>
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<td>1330.01 Publication Record Set Files</td>
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\(^1\) Volume in cubic feet
The mission of DEA is to enforce the controlled substances laws and regulations of the United States of America and to bring to the criminal and civil justice system of the United States or any other competent jurisdiction, those organizations, and principal members of organizations involved in the growing, manufacture or distribution of controlled substances appearing in or destined for the illicit traffic in the United States; and to recommend and support non-enforcement programs aimed at reducing the availability of illicit controlled substances on the domestic and international market.

In carrying out its mission, DEA is the lead agency responsible for the development of overall Federal drug enforcement strategy, programs, planning and evaluation. DEA's primary responsibilities include:

1. coordination and cooperation with State and local law enforcement officials on mutual drug enforcement efforts and enhancement of such efforts by exploiting potential interstate and international investigations beyond local jurisdictions and resources;

2. investigation of and preparation for prosecution, major violators of controlled substances laws operating at interstate and international levels in keeping with established drug priority goals;

3. regulation and enforcement of compliance with the laws governing the legal manufacture and distribution of controlled substances;

4. management of a national narcotic intelligence system in cooperation with Federal, State, local and foreign officials to collect, analyze and disseminate data as appropriate;

5. operation under the policy guidance of the Cabinet Committee on International Narcotic Controls, all programs associated with drug law enforcement officials of foreign countries;

6. provision of training and research, scientific and technical and other support services that enhance DEA's overall mission;
7. liaison with the United Nations, Interpol and other organizations on matters relating to international narcotic control programs; and

8. coordination and cooperation with other Federal, State, and local agencies, and foreign governments in programs designed to reduce the illicit availability of abuse-type drugs on the United States market through non-enforcement methods, such as crop eradication, crop substitution, training of foreign officials, and the encouragement of knowledge and commitment against drug abuse.
Date 3/15/78
Transmittal No. 78-11
Chapter No. 07

Appendix dated 1/31/77 Attached

This is a revised issuance of Appendices 07D, 07H, and 07I
of Subchapter 075, DEA

This revision provides changes

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File No. 601-07 is suspended pending resolution of conflict

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6227. Numbered Investigative
Case Files will not be retired to the Federal records center.

NOTE: In accordance with agreements made
by the Department of Justice in the current
class action suit Segar, et al. v. Bell, et
al., you are directed to discontinue the
routine disposal of DEA files pertaining
to Special Agents (1811 series). This
requirement will remain in effect until
further notice.
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<tr>
<td>Sections 0751 dated 3/1/74 and 0752 dated 7/9/74</td>
<td>Subchapter 075, Table of Contents, and Appendices 07D through 07I (attached)</td>
<td>This is the initial issuance of the DEA Functional File System (FFS), Subchapter 075. This subchapter describes the DEA Functional File System; provides guidance and procedures for establishing and maintaining uniform, economic, and efficient files; and describes the standards for orderly disposition of records, with specific procedures for their retirement or destruction. This issuance supersedes BNDD Order 53, Field Administrative File Classification System, and the Federal Bureau of Narcotics Comprehensive Records Control Schedules No. 1 and 2, and all amendments thereto.</td>
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0750 INTRODUCTION

0750.1 PURPOSE

A. This directive describes the DEA Functional File System; provides guidance and procedures for establishing and maintaining uniform, economic, and efficient files; and describes the standards for the orderly disposition of records with specific procedures for their retirement or destruction.

B. The major functional file categories of the DEA Functional File System will be used as a basis for reconstructing the subject classification guide of the DEA Directives System and developing the Reports Management and Control System.

0750.2 OBJECTIVE. FFS is designed to increase the technical and administrative usefulness of DEA records, expedite the disposition of records when they are no longer needed, facilitate the preservation of records having permanent value, and simplify the training of files personnel.

0750.3 SUPERSESSION. The DEA Functional File System supersedes the Bureau of Narcotics and Dangerous Drugs Order 53 (Field Administrative File Classification System) and the Federal Bureau of Narcotics Comprehensive Records Control Schedules No. 1 and 2, and all amendments thereto.

0750.4 AUTHORITY

0750.41 Records Management

A. The statutory basis for the management of Federal records is contained in Public Law 754 (81st Congress), which vests in the Administrator of the General Services Administration general supervision of this activity in the Federal Government and assigns to the head of each executive department and agency the responsibility for the execution of the records management program.

B. 44 U.S.C. 3101 states that, "The head of each Federal agency shall make and preserve records containing adequate and proper
documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency."

C. Subpart 101-11.4 of the Federal Property Management Regulations (FPMR) requires each Federal agency to compile and maintain a records control schedule for all major groups of records in its custody having importance in terms of content, bulk, or space and equipment occupied.

D. Title 8 of the GAO Manual for Guidance to Federal Agencies describes GAO concerns with agency fiscal and program records, and identifies those records whose proposed disposition must be approved by GAO.

0750.42 Disposal of Records. The legal basis for disposal of records of the United States Government which have insufficient administrative, legal, fiscal, research, or other value to warrant their further preservation is governed by the provisions of the Records Disposal Act of 1943, as amended by the Act of July 6, 1945. Records accumulated by the Drug Enforcement Administration in the course of the performance of official business will not be destroyed or removed without proper authority.

Public law provides stringent penalties for the willful and unlawful destruction or removal of public records (18 U.S.C. 2071).

0750.5 POLICY. The policy of DEA is to limit the creation of records to those essential for the efficient conduct of business and to ensure that records which are created are administered efficiently in all elements of DEA in accordance with statutory requirements.

0750.6 DEFINITIONS

A. Accountable Officers' Accounts. Specific fiscal documents, prepared by DEA accountable officers, which are required by the General Accounting Office (GAO) to be maintained for audit.

B. Cutoff. Terminating files at regular intervals to permit their transfer, retirement, or disposal in complete blocks. Under this process, a file is terminated regularly (at the end of a specified period of time or event), and a new file is established. Administrative and program files (less fiscal files) may be cutoff at the end of the calendar or fiscal year. Fiscal files will be cutoff at the end of the fiscal year. See paragraph C, Appendix 07D for instructions.

C. Disposition Standards. Procedures that provide for the cutoff, transfer, retirement, or destruction of files. Disposition standards for all DEA files are contained in Appendix 07D.

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D. Federal Records Center (FRC). An activity established for the receipt, maintenance, servicing and disposition of files. Files stored in records centers have been retired so that they can be maintained and administered more economically and efficiently in a central facility.

E. Files. The term "files" includes any papers, photographs (including films), microforms, photographic copies, punched cards, paper or magnetic tapes, or maps, regardless of physical form or characteristics, accumulated or maintained in filing equipment, in boxes, or on shelves, in occupied offices or storage space. Material not considered as files includes publications and blank forms stocked for filling requisitions, and reproduction material such as stencils, masters, plates, etc.

F. Housekeeping Records. Records reflecting routine administrative functions that are common to all DEA activities. These records are shown in Appendix 07D.

G. Microfilming. The technique of producing miniature film images or records.

H. Office of Record. The office designated to maintain official files. Normally, it is the office that created or received correspondence relating to its assigned functions. This requirement does not negate other offices from maintaining similar files that are pertinent to an office's area of operation. The offices of record for Headquarters files are shown in Appendix 07I.

I. Program Records. Records reflecting the substantive programs of DEA. These records are shown in Appendix 07D.

J. Record Copy. The file copy of a document maintained in the office of record, but exclusive of reading or daily file copies, or other copies maintained for convenience or reference.

K. Records. Title 44, Section 3301, of the United States Code defines "records" as "all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved
only for convenience of reference, and stocks of publications and of processed documents are not included. The term "record" includes not only paper documentation but also all other records media such as microfilm, sound recordings, magnetic tapes, and all other machine-readable devices. All these records, regardless of how produced, are subject to the restraints and controls discussed in this title.

L. Retention Period. The length of time based on an event or chronological period, that a file must be kept before it is destroyed. See paragraph C, Appendix 07D for instructions. Files not authorized for destruction have a retention period of "permanent." Permanent records that are to be maintained by Headquarters offices of record are identified in Appendix 07H.

M. Retirement. The movement of records from an agency's files area to a records center.

N. Transfer. The movement of records from one agency, office, etc., to another organization.

0750.7 RESPONSIBILITIES

0750.71 Records Management Section, Management Analysis Division. The Records Management Section (MGTR) has the overall responsibility for DEA-wide files program direction, guidance, and technical assistance. This responsibility includes the following functions:

A. Plans, formulates and prescribes basic files management policies, assistance, standards, and procedures.

B. Inspects and surveys the files in organizational levels for conformance with the prescribed procedures and advises the appropriate officials of findings and recommendations for improvement.

C. Serves as liaison with the Federal records center, the National Archives and Records Service (NARS), and other agencies on matters related to records management.

D. Serves as the records officer for DEA and for the Headquarters Offices.

E. Offers permanent DEA records to NARS.
0750.72 Headquarters and Field Managers. Heads of Offices (Headquarters), Regional Directors, and Laboratory Directors are responsible for the supervision and execution of records management in their respective activities. Each Regional and Laboratory Director will designate a records officer to discharge assigned records management functions.

0750.73 Records Officer. Overall duties are to implement the records program of the Headquarters or field activity, applying management techniques to files organization and disposition; to conduct surveys and to apprise the Records Management Section of the results of the field records program at least once every three years; and to prescribe corrective action.

0750.74 Office of Record

A. Appendix 071 contains a listing of those Headquarters Offices which are the office of record for DEA files. The office of record is responsible for maintaining the record copy and associated documentation to ensure a complete account of actions taken, commitments made, and the results of actions taken in discharging assigned functions.

B. Headquarters Offices (office of record) that are responsible for maintaining permanent records are shown in Appendix 07H.

C. Regional Offices will designate activities as an office of record for regional files and will maintain an alphabetical listing of regional files (indicating the office of record) in the format shown in Appendix 071.
0751 SYSTEM OVERVIEW

0751.1 DESCRIPTION. The DEA Functional File System (FFS) is a method of identifying and arranging DEA records to facilitate their reference and disposition. This system will be used by all DEA activities. The DEA Functional File System identifies types of files by a file number, describes the documents filed under the respective file number, and provides instructions regarding the disposition of files for the associated file number. The FFS also provides guidance on files maintenance, including methods of organizing files to facilitate their use and disposition, and procedures to ensure efficient and economical use of file equipment, supplies, and space.

0751.2 FILE CATEGORIES. Within the FFS, DEA records are grouped into 14 major functional file categories. The first category is for Office Housekeeping and General Program Files; the remaining 13 categories (Specific Program Files) relate to functions of the Drug Enforcement Administration. File categories and series are as follow:

<table>
<thead>
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<th>Major Functional File Category</th>
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<tr>
<td>Training and Education Files</td>
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0751.3 DISPOSITION STANDARDS. The disposition standards are mandatory and cannot be altered without prior written approval from the Records Management Section. The file disposition standards for the FFS are contained in Appendix 07D. Each standard consists of three parts: file number, description, and disposition.

0751.4 FILES CONVERSION

A. Files Cut-Off. Generally, administrative and program files (less fiscal files) are cutoff at the end of the calendar year, fiscal files are cutoff at the end of the fiscal year; and new file folders are prepared. This procedure will be used for the cutoff of 1976 files and the establishment of 1977 files, and will continue for subsequent files under FFS. Files for 1976 and prior years that are on hand in an office will be retained, destroyed, or retired in accordance with the disposition standards in Appendix 07D. Cutoff and maintenance of such program files as enforcement investigative case files, general investigative files, cooperating individual files, intelligence files, laboratory files, and internal security files will be in accordance with the instructions outlined in the DEA Agents, Laboratory Operations, and Internal Security Manual, respectively.

B. Continuity of Files. When bringing 1976 files forward or setting up 1977 files, the following procedures will be used:

1. Cross-reference the files titles of the previous files (1976) to Appendix 07D or the alphabetical listing of DEA files in Appendix 07I as a means of identifying the corresponding file titles in FFS.

2. Verify the file contents of the previous file (1976) against the file description of the specific file in Appendix 07D to ensure compatibility of file material. In some instances, it may be necessary to subdivide the previous file (1976) into
several different file numbers or consolidate several 1976 file folders.

3. Organize the 1977 files according to Section 0754, arranging the file guides and folders in proper sequence and preparing folder labels. File folder labels are required to be changed on 1976 files when they are brought forward with 1977 files.
The initial step in organizing files is to determine the basic file group. General guidelines are provided herein of the requirements that necessitate division of documents in a particular group.

0752.1 SUBJECT FILES. This file series is used where individual transactions are specific in subject content or involve individual topics, individuals, or organizations. The purpose of the subject file is to provide complete documentation on each subject or functional area and a source of reference on various subjects and functions.

0752.2 CASE OR PROJECT FILES. This type of file contains material relating to a specific action, event, person, organization, location, product, or thing. The documents may cover one or more subjects concerning a case or project, but will always be found under a specific title or number. A distinguishing feature in case or project files is the similarity in the nature of papers within each case folder constituting the total files. Papers within each file are generally arranged in chronological order, with the most recent papers placed at the front of the folder. Case or project files are normally terminated upon occurrence of an event or action and placed in an inactive file. Case files may be filed alphabetically by name, title, country, or organization, or numerically to permit ease of filing.

0752.3 REFERENCE FILES. These types of files are organized collections of materials used for convenient reference. They are sometimes called "convenience files" or "working files." This material may include extra copies of documents which are officially recorded elsewhere, books, periodicals, copies of reports, studies, drawings, manuals, pamphlets, and catalogs. Reference files should be reviewed periodically and only those which are current and of significant reference value should be retained. The files are kept current on a continuing basis by replacing superseded material and removing obsolete material.
0753 FILING ARRANGEMENTS

After determining the proper files grouping, the next step is to select a method of arranging each file group based on the feature by which the file is most often requested. Within the basic arrangement selected, one or more arrangements may be used for further breakdown or subdivision. For example, geographically arranged documentation may be further arranged by organization; documentation filed by subject may be further arranged chronologically.

0753.1 ALPHABETICAL. This system is used to arrange files by name of persons, companies, or agencies in alphabetical sequence. Files maintained by names of persons will be arranged alphabetically by surname and thereunder by first name and middle initial in accordance with the standard rules for alphabetical filing contained in Appendix 07E.

0753.2 CHRONOLOGICAL. This system is used to arrange files in date sequence when the date is the primary means of reference. It is useful for keeping documents in small, manageable groups, usually by year, month, and day. Reading and suspense files are examples of files which are arranged by date.

0753.3 GEOGRAPHICAL. This system is used to arrange files by geographical location, such as area, country, state, or county. It is used when the geographical location is the primary means of reference. Files are arranged in alphabetical sequence, first by the name of the main geographical area, such as a state; then by the next most important subdivision required for reference, such as counties, or cities.

0753.4 NUMERICAL. This system is used to arrange files identified and referred to by number, such as bills of lading, requisitions, and purchase orders.

0753.5 ORGANIZATIONAL. This arrangement is used when the name of the organization is the primary means of reference. Organizational arrangement is fundamentally an alphabetical arrangement of organizations as they relate to each other.
The procedures described in this section are designed to provide maximum efficiency in preparing papers for file; maintaining records; and in using and labeling file folders, file guides, and file containers.

0754.1 INSPECTION OF PAPERS

0754.11 Completeness. Papers received for file will be checked to ensure that all actions have been completed, and if so, that all papers which should be included to fully document the action are attached.

A. Incomplete Actions. If it appears that all necessary actions have not been completed, the paper will be placed in suspense or otherwise controlled to permit follow-up action as necessary and to ensure that the matter in question will not be cutoff prior to completion of final action.

B. Insufficient Documentation. If action is complete, but essential documentation is missing, an attempt will be made to obtain the missing papers or copies of the papers. If the attempt fails, a notation of the action taken to obtain the missing papers, and the result, will be placed on the file papers.

0754.12 Unnecessary Material. Unnecessary documents such as used envelopes, routing slips, and extra copies will be discarded. When the original of a paper is available, all copies will be discarded, except that a copy containing additional information needed for record purposes (e.g., signature or initials of concurring officials) will be retained and filed.

0754.2 ASSEMBLY OF PAPERS. Correspondence will be assembled and filed under the date of the latest action as indicated below:

0754.21 Separating Correspondence. A separate "chain" of correspondence normally develops in completing an action. It consists of the basic paper (the paper starting the action), any replies in continuation of the action, enclosures, and supporting
papers forming a part of the entire correspondence action. These papers will be assembled in top-to-bottom order as follows:

A. The latest action.
B. The basic paper (incoming document).
C. Enclosures or attachments in numerical or alphabetical sequence.
D. Internal staff papers which support the action (studies, coordinating actions, etc.).

0754.22 Related Papers. Papers which are directly related or contain specific reference to earlier papers on the same subject will be combined with those papers only if reference requirements clearly necessitate such action. If combination is deemed necessary, the related papers will be assembled separately under the method described above. The related papers will then be stapled on top of the earlier papers and will be filed by date of the latest action. In such cases, it may be desirable to make a cross-reference to be filed under the date the earlier papers were filed.

0754.3 FASTENING OF PAPERS. The fasteners described below may be used to hold papers together. Straight pins and paper clips will not be used for fastening papers that are filed, except that paper clips may be used in a suspense file.

0754.31 Staples. Wire staples may be used to fasten related loose papers together.

0754.32 Prong Fasteners. Prong fasteners may be used in the following situations:

A. When file material on an action is too thick to fasten with wire staples.
B. When a file containing several separate but related actions is frequently used outside the immediate file area.
C. When a file is loaned for use outside the files area.

0754.33 String and Tape. String and cloth tape may be used to hold bulky material together only when the use of fasteners is not practicable, or when an impression seal is required over the fastening.
0754.4 CLASSIFICATION OF PAPERS. Classify papers by function, not by subject. Correct classification of papers under FFS often requires that the subject of individual documents be ignored during file classification. Papers are filed, regardless of subject, under the file number that documents the performance of functions, processes, or actions in performing the assigned programs of the office filing the documents. For example, a request for approval of a form would be filed under file number 1301-02 in the Records Management Section, which is responsible for the forms management function. However, a copy of the same paper may be filed under file number 560-04 (Career Management Files), assuming that the Career Management and Development Section originated the request. The paper was filed under 560-04 because the Career Management and Development Section is responsible for the career management program and the paper documents action taken regarding career management functions. For a description of the documents most frequently filed under a specific file number, see Appendix 07D.

0754.5 POSTING FILE NUMBERS

A. The file number will be placed on the document in the upper right margin (providing the file number was not recorded when the document was originated), taking care that it does not obscure the contents of the paper.

B. When the physical characteristics of a document make it self-identifying for filing purposes, the posting of the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are reference copies of publications and mail control forms.

0754.6 BACKING SHEETS. Backing sheets may be used when the file material is sufficiently thick to require a prong fastener, or when protection is required for papers which have begun to fray or wear due to frequent handling. When backing sheets are used, 220 weight paper stock is sufficiently durable. Heavier backing sheets waste space in file containers.

0754.7 CROSS-REFERENCE. A cross-reference is a paper filed under one file number to show the location of material filed elsewhere. Cross-references will be prepared only when essential to finding needs. Cross-references may be used when:

A. A document pertains to more than one function or action, and it is probable that reference to the document may be by any of the functions or actions to which it pertains.
B. A document pertains to individuals, organizations, or geographical locations, and is not filed by the name or names under which requests are anticipated.

0754.8 USE OF FILE GUIDES, FOLDERS, AND LABELS. All files will be labeled regardless of location, volume, or physical characteristics. Labels with complete identifying data are essential for accurate filing, retrieval, and disposition of documents.

0754.81 Guides. Guides are used to divide files and identify each division so that filing and finding particular folders, papers, cards, or other file material are facilitated. In addition, guides provide support for the material in the file.

0754.82 Folders. Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers. When the material in the folder reaches the normal capacity of the folder (normally three-fourths of an inch) a second folder should be prepared. The second folder should begin at a logical point, such as at the beginning of a month, calendar quarter, etc.

0754.83 Label Captions. Label captions for file guides and file folders should be typed on gummed labels. Drawer and binder labels should be prepared on card stock paper.

0754.84 Guide Label Caption Data. The first or left position of the guide is used for the primary subjects, with the second position being used for secondary subjects and the third position for tertiary subjects. The minor functional file category may be considered as the primary subject. See Exhibit 1.

A. Guides will be arranged in files so that the tabs are in a uniform position in the file drawer. Guides normally are placed in a file at the beginning of each minor functional files category. The guides will be labeled with the functional file category numerical classification. For example, guides identifying the minor functional files category of Personnel Program Files would be labeled as Personnel Program Files 510.

B. If a still more definitive breakdown is required, the functional file number identifying the individual file series would be used in the second or third position on the guide. For example: Civil Service Certificate Files 530-01.
ARRANGEMENT OF GUIDES, FOLDERS, AND LABELS

530-01

Civil Service Certificate Files

Q-Z

(Folder)

530-01

Civil Service Certificate Files

J-P

(Folder)

530-01

Civil Service Certificate Files

A-I

From: 1/1/75
To: 12/31/75
Destroy 2 years after certification.

530-01

Civil Service Certificate Files

(Guide card labels in the second position)

530

Employment Services File

(Guide card labels in the first position)

510-02

Personnel Inspection Files

(Folder)

From: 1/1/75
To: 12/31/75
Destroy 1 year after CSC inspection.

510-01

Personnel Program Reporting Files

(Folder)

From: 1/1/75
To: 12/31/75
Destroy Jan. '78

510

Personnel Program Files

(Guide card labels in the first position)
C. When a large volume of records is accumulated under a single file number, and a further subdivision is necessary, guides may be prepared reflecting this internal arrangement.

0754.85 Folder or Binder Label Caption Data. File labels will include the file number, file title, disposition instructions, and the inclusive dates of the file (annotation of the calendar or fiscal year, CY 77, FY 78, is acceptable for files that are maintained on a calendar or fiscal year basis). When a file series with the same disposal standard consists of several folders or binders (e.g. Civil Service Certificate Files, 530-01), each containing a segment of the file series, only the label of the first folder or binder in the series need show the file number, file title, disposition instructions, and inclusive dates of the file. Each label of other folders or binders in the same files series need bear only the file number and identification of the file segment; the inclusive dates of the file may be shown, when applicable. Examples of folder and binder label caption data are shown in Exhibits 1 and 2.

0754.86 Drawer Label Caption Data. The file drawer label will bear the file numbers and the year of accumulation as shown in Exhibit 2. When a file drawer is used for two years of files, both years will be identified on the drawer label. The major functional file category may be shown on the drawer label.

0754.9 CHARGE-OUT RECORD. A Charge-Out Record (Optional Form 23 or Form DEA-285) should be completed when papers are removed from a file. A follow up or tracing time should be established (5-10 workdays) to preclude loss of the papers.
ARRANGEMENT OF BINDER AND DRAWER LABELS

030-03
Reference
Publications
Files
FPMR Part 101-1
Thru
Part 101-6
Destroy when superseded, obsolete or no longer needed for reference.

Reference
Publications
Files
FPMR Part 101-7
Thru
Part 101-18

Examples of Binder Labels

020-01
Thru
020-06
(1975)

550
Individual
Employee
Files

550-01
Official
Personnel Folder
Files

Examples of Drawer Labels

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0755.1 DISPOSITION OF RECORDS

0755.11 Guidelines

A. One of the primary objectives of the DEA records management program is to preserve records of continuing value, systematically eliminate all other records, and remove less active records from office space to low-cost storage space at the expiration of their utility. The purpose of this action is to increase materially the usefulness of records preserved and reduce substantially the cost and effort of record keeping.

B. The value of records is determined first by their use as administrative tools, second by their use as legal or other official evidence, and finally by their use as material for historical or other research. In general, the records which are the most authoritative, informative, and valuable in conducting administrative operations are also the most important for historical or other research purposes. However, only a relatively small proportion of the total volume of files accumulated is of sufficient value to justify preservation as a part of the permanent Archives of the United States. For the remaining records, a period of time usually can be determined during which their value diminishes or disappears.

0755.12 Disposition Standards. Disposition of DEA records (including those records of the Federal Bureau of Narcotics and the Bureau of Narcotics and Dangerous Drugs and other records that are on-hand and created prior to the implementation of FFS) will be accomplished in accordance with the criteria set forth in Appendix 07D. These standards provide for the systematic destruction or retirement of DEA records to a Federal records center.
0755.13 Disposition of Personal Papers and Official Records

A. Papers of a private or nonofficial character which pertain only to an individual's personal affairs that are kept in the office of a DEA official will be clearly designated as nonofficial and will at all times be filed separately from the official records. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of the official files.

B. Official records involve materials made or received either pursuant to Federal law or in connection with the transaction of public business. Personal papers include material pertaining solely to an individual's private affairs. Correspondence designated "personal," "confidential," or "private," etc., but relevant to the conduct of public business, is nonetheless an official record subject to the provisions of Federal law pertinent to the maintenance and disposal of such records. Official records are public records and belong to the office rather than to the officer.

C. The legal definition of records (44 U.S.C. 3301) specifically excludes "extra copies of documents preserved only for convenience of reference." Such extra copies of documents are commonly regarded as nonrecord materials and are disposable without reference to the requirements of chapter 33, Title 44, United States Code. A DEA official may accumulate for convenience of reference extra copies of papers and other materials which he has drafted, reviewed, or otherwise acted upon. When deposited in a research institution, extra copies can serve the needs of historical scholarship. DEA officials may be permitted to retain these extra copies, provided that such retention would not (1) diminish the official records of the agency; (2) violate confidentiality required by national security, privacy, or other interests protected by law; or (3) exceed normal administrative economies.

0755.14 Unlawful Removal or Destruction

A. DEA employees should be aware that (1) the alienation and destruction of records in agency custody is governed by specific provisions of chapter 33, Title 44, United States Code, and (2) criminal penalties are provided for the unlawful removal or destruction of Federal records (18 U.S.C. 2071) and for the unlawful disclosure of certain information pertaining to national security (18 U.S.C. 793, 794, and 798).
B. The DEA records officer (Records Management Section) will be notified of any actual or threatened unlawful loss or removal of official records. Disposal of Federal records can occur only as a result of authorization of NARS approved records control schedules or provisions of general records schedules covering records common to one or more Federal agencies.

0755.2 GAO RECORDS (ACCOUNTABLE OFFICERS' ACCOUNTS)

A. The General Accounting Office (GAO) is responsible for determining the retention and disposal of certain fiscal records (accountable officers' accounts) created by DEA, which are legally records of GAO from the moment of their creation. Accountable officers' accounts, accumulated by DEA fiscal organizations for site audit by GAO auditors, consist of the following specific documents or their equivalent: statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers. These records are identified in the Detail Accounting Files (401) and Summary Accounting Files (410) of Appendix 07D.

B. DEA forms used in lieu of standard form vouchers or schedules and machine-readable versions of accountable officers' accounts, produced with GAO approval, are included in this definition of accountable officers' accounts.

C. If the integrated accounting system approved by GAO requires that certain documents support vouchers and/or schedules, they should be included in the site audit collection of documents. Otherwise, all other records having fiscal connotation or created by DEA fiscal organizations are DEA records disposable under DEA disposition standards. These records include memorandum copies of site audit documents.

D. Records Management Section (MGTR), in coordination with the Controller, will obtain required GAO approval regarding retention and disposal of DEA records accumulated by DEA accountable officers' accounts.

E. Any audited accounts and all unaudited accounts more than one full fiscal year old may be transferred to Federal records centers without special permission from GAO. Requests to transfer accountable officers' accounts which are less than one year old and unaudited will be submitted to MGTR in order to obtain approval from GAO.
F. Accountable officers' accounts at overseas locations will be retained a minimum of three years before transfer to a Federal records center.

0755.3 RETIREMENT OF RECORDS

0755.31 Criteria. Records that exceed the established retention periods in the DEA Functional File System may be transferred to a Federal records center, providing the following conditions are met:

A. The records have a retention period of three years or longer remaining.

B. The records are not referred to more than twice a month for each file drawer.

C. There is one cubic foot, or more, of records available for transfer.

0755.32 Transfer Priorities. Priority should be given to the removal of records from office space, space that is convertible to office use, leased space, and filing equipment which can be utilized for storing current records.

0755.33 Supporting Records Centers

A. Inactive records having long term or permanent value should be retired to one of the Federal records centers listed in Appendix 07F.

B. Records retired by Headquarters Offices will be transferred to the Washington National Records Center.

C. Records retired by domestic Regions and Laboratories will be sent to the nearest Federal records center.

D. Records retired by the foreign Regions will be transferred to the Washington National Records Center.

E. Regional Offices will control the retirement of records by the District Offices to ensure that duplicate records are not transferred to a records center by both the Regional Office and its District Offices. This requirement does not necessitate that a physical comparison be made of records that are retired by the District Offices. As a minimum, adequate review should be made of the SF-135 before the District Office transfers the records to the records center.
0755.34 Classified Records. The priorities cited in paragraph 0755.32 above are extended to classified records. The activity (Headquarters or field) responsible for the records will coordinate with the Office of Internal Security for approval of classified records, prior to transferring the records to a records center. Handling procedures for transferring records will conform to Chapter 82 of the DEA Internal Security Manual.

0755.35 Transferring Records to FRC

A. Records Transfer and Receipt Form. Transfer of records to a Federal records center (FRC) requires completion of a Records Transmittal and Receipt (Standard Form 135) and Continuation Sheet (SF-135a). This form provides a record of the transfer of custody of the files to the records center, restrictions on their use, and an inventory to aid the records center in providing future reference services. A completed SF-135 is shown in Exhibit 3.

B. Accession Number.

1. An accession number is required for each series of records that are transferred to the records center. A "series" of records is a block of records having the same disposal authority and the same disposal date. The accession number that is recorded on SF-135, consists of three parts: first, the DEA records group number "170"; second, the last two digits of the fiscal year; and third, a sequential number, repeated on a fiscal year basis, which is assigned for each records shipment. Actual construction of the accession number is shown below:

```
170 - 77 - 0013
```

Records Fiscal Sequential
Group Year Number

2. Records Management Section will assign accession numbers for Headquarters Offices, foreign Regional Offices, Baltimore Regional Office, Special Testing & Research Laboratory, Mid-Atlantic Regional Laboratory, and the Mid-Atlantic Field Office of Internal Security.

3. Domestic Regional Offices and Laboratories will obtain accession numbers from the supporting records center for each records series listed on SF-135. The domestic Regional Office will be the central point of contact with the supporting records center. The foreign Regional Office will be the central point of contact with MGTR.
C. Processing of SF-135.

1. An original and two copies of SF-135 must be received at the records center at least two weeks (ten workdays) before the desired shipment date. Headquarters and foreign Regional Offices will provide an original and three copies of SF-135 to MGTR, of which one copy will be retained by MGTR and the remaining copies forwarded to the Washington National Records Center (NARS). Domestic Regional Offices and Laboratories will forward SF-135 directly to the supporting records center.

2. If the transfer of records is approved by NARS, the records center will annotate block 6(j) of SF-135 with the shelf location in the records center where each record series will be stored, and return two copies of SF-135 to the agency, indicating that the records may be transferred to the records center. The records must be shipped within 30 days after receipt of SF-135 from the records center or the accession paperwork must be resubmitted. Prior to shipping the records, one copy of the returned SF-135 will be placed in the first box of each accession. The second copy is retained by the DEA activity as a suspense copy. Upon receipt of the records in the center, the shipment copy will be signed and returned to the agency for its files.

D. Transfer of GAO Records. A separate SF-135 is to be prepared for the transfer of GAO records (accountable officers' accounts), since these records must not be mixed with other DEA records. When transferring GAO records to a records center, indicate that these are GAO records in the series description of SF-135 for Detail Accounting Files (401) and Summary Accounting Files (410).

Shipping Records. Records will be shipped to the records center in fiberboard boxes, size 14-3/4" X 9-1/2, FSN 8115-00-117-8344. The records will be packaged in the boxes as shown in Exhibit 4. A Records Retirement Data Label (Form DEA-267a, Exhibit 5) will be completed using a black felt marker and affixed to the front (short side) of the box, for each box that is sent to a records center. Each new series of records should begin with box number 1.

Supply of Boxes and Labels. Headquarters Offices will obtain records boxes from Administrative Services Division. Regional Offices and Laboratories will purchase the records boxes from the Federal supply service at catalog price. Federal records centers no longer distribute records boxes to agencies. DEA activities may requisition labels, Form DEA-267a, from Administrative Services Division.
**RECORDS TRANSMITTAL AND RECEIPT**

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

1. **TO**
   (Complete the address for the appropriate records center serving your area)
   
   **Federal Archives and Records Center**
   **General Services Administration**
   Washington National Records Center
   Washington, D.C. 20409

2. **AGENCY TRANSFER AUTHORIZATION**
   
   **TRANSFERRING AGENCY OFFICIAL** (Signature and title)  
   **DATE**
   John Mason  
   Management Analysis Division  
   10/7/76

3. **AGENCY CONTACT**
   
   **TRANSFERRING AGENCY LIAISON OFFICIAL** (Name, office and telephone No.)
   
   Phillip Strahorn (Records Officer)
   **DATE**
   Records Management Section (202) 382-3333

4. **RECORDS RECEIVED BY**
   
   **DATE**

---

**RECORDS DATA**

<table>
<thead>
<tr>
<th>ACCESSION NUMBER</th>
<th>VOLUME (cu. ft.)</th>
<th>AGENCY BOX NUMBERS</th>
<th>SERIES DESCRIPTION (With inclusive dates of records)</th>
<th>RESTRICTION</th>
<th>DISPOSAL AUTHORITY (Schedule and item number)</th>
<th>DISPOSAL DATE</th>
<th>COMPLETED BY RECORDS CENTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>RG (a)</td>
<td>FY NUMBER</td>
<td>(b)</td>
<td></td>
<td>(c)</td>
<td>(d)</td>
<td>(e)</td>
<td>(f)</td>
</tr>
<tr>
<td>170</td>
<td>77</td>
<td>0013</td>
<td>4</td>
<td>1-4</td>
<td>Records Management Surveys, Jan-Dec 1975</td>
<td></td>
<td></td>
</tr>
<tr>
<td>170</td>
<td>77</td>
<td>0014</td>
<td>3</td>
<td>1-3</td>
<td>Organization Planning Files Jan-Dec 1975</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date, that are transferred together to the records center. The accession number is entered in three parts, consisting of:

(a) The NARS record group number assigned to the records of the agency making the transfer;

(b) The last two digits of the current fiscal year; and

(c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)

(d) Volume. Enter the volume in cubic feet of each series of records being transferred.

(e) Agency Box Numbers. Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(f) Series Description. Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.

(g) Restriction. Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

<table>
<thead>
<tr>
<th>Code</th>
<th>Restrictions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q</td>
<td>Q security classification</td>
</tr>
<tr>
<td>T</td>
<td>Top Secret security classification</td>
</tr>
<tr>
<td>S</td>
<td>Secret security classification</td>
</tr>
<tr>
<td>C</td>
<td>Confidential security classification</td>
</tr>
<tr>
<td>R</td>
<td>Restricted use/witnessed disposal not required (specify in column (f))</td>
</tr>
<tr>
<td>W</td>
<td>Restricted use/witnessed disposal required (specify in column (f))</td>
</tr>
<tr>
<td>N</td>
<td>No restrictions</td>
</tr>
</tbody>
</table>

(h) Disposal Authority. For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.

(i) Disposal Date. Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

(j) Location. The records center annotates the shelf location of the first carton for each series of records.

(k) Shelving Plan. The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.

(l) Container Type. The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(m) Automatic Disposal. The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.
PACKING RECORDS IN STANDARD-SIZE RECORD SHIPPING CONTAINERS

Letter-size records

Legal-size records

Packing arrangements for records retirement

Methods of closing top flaps of boxes for shipping records to a record center

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<table>
<thead>
<tr>
<th>ACCESSION NO.</th>
<th>CARTON NO.</th>
</tr>
</thead>
<tbody>
<tr>
<td>170-77-0013</td>
<td>1 of 4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AGENCY</th>
<th>DIVISION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drug Enforcement Admin.</td>
<td>Management Analysis Div.</td>
</tr>
</tbody>
</table>

**BRIEF DESCRIPTION OF RECORDS**

Records Management Surveys
0755.38 Retrieval of Records. Retired records may be retrieved from a records center by the DEA activity which created them, by completing a Reference Request (Optional Form 11). The request must include the accession number and records center location number as shown on the returned copy of SF-135; the requester's name, telephone number, office, and location. Use of files on the premises of the records center is encouraged, when practicable. Headquarters Offices and foreign Regional Offices will coordinate requests with the Records Management Section prior to obtaining records from the Washington National Records Center.

0755.39 Records Retirement Log

1. A log will be maintained in the format shown in Exhibit 6 for records that are transferred to a records center. Each completed log sheet will be retained until all the records listed thereon have been destroyed.

2. MGTR will maintain a log of the records that are transferred by Headquarters Offices.

3. The Regional Office will maintain a log of records that are transferred by the Regional and District Offices.

4. Each Laboratory will maintain a log for records that are transferred.
### RECORDS RETIREMENT LOG

<table>
<thead>
<tr>
<th>ACCESSION NUMBER</th>
<th>DATE ASSIGNED</th>
<th>TITLE OF RECORDS</th>
<th>NUMBER OF BOXES</th>
<th>OFFICE OF ORIGIN</th>
<th>NAME OF CUSTODIAN AND TELEPHONE NUMBER</th>
<th>DATE SF-135 MAILED TO FRC</th>
<th>DATE RECORDS SENT TO FRC</th>
<th>DATE RECORDS DESTROYED</th>
</tr>
</thead>
<tbody>
<tr>
<td>170-77-0013</td>
<td>10/4/76</td>
<td>Records Management Survey</td>
<td>4</td>
<td>MGT</td>
<td>J. Mason x3333</td>
<td>10/8/76</td>
<td>10/14/76</td>
<td></td>
</tr>
<tr>
<td>170-77-0014</td>
<td>10/4/76</td>
<td>Organization Planning Files</td>
<td>3</td>
<td>MGT</td>
<td>J. Mason x3333</td>
<td>10/8/76</td>
<td>10/14/76</td>
<td></td>
</tr>
</tbody>
</table>
0756 FILES SUPPLIES AND EQUIPMENT

0756.1 STANDARD FILES EQUIPMENT. Standard equipment that is listed in the GSA supply catalog and the Federal supply schedules will be used in preference to nonstandard items.

0756.11 File Cabinets. Careful consideration should be given to selecting the equipment best suited for a particular files operation. The five-drawer filing cabinets have been standardized because they provide 25 percent more filing area in the same amount of floor space than the four-drawer cabinets.

0756.12 Containers for Safeguarding Classified Material. Classified documents and material will be stored in security containers as authorized in security regulations.

0756.13 Shelf Filing. Shelf filing equipment costs less than standard filing cabinets, requires less office space, and permits ease of filing operations. Standard shelf filing may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. Shelf filing units are not authorized for storage of classified material unless the units are located within a security vault and approval is obtained from the Office of Internal Security. Consider shelf filing when records total 50 cubic feet or more and when:

A. The purchase of new filing equipment is contemplated.

B. Additional space for filing operations is required and only a limited amount of space is available.

C. The filing station is in a relatively permanent location.

D. The area is relatively free from excessive dust and is not subject to infestation by rodents.

0756.2 STANDARD FILES SUPPLIES. The standard files supplies listed below will be utilized to the maximum extent practicable.
0756.21 *Kraft Folders.* Kraft folders will meet the majority of filing requirements since most records are current for a relatively short period of time before they are retired or destroyed. Kraft folders are square cut, bottom scored for 3/4-inch expansion, and are available in legal and letter size.

0756.22 *Pressboard Folders.* Pressboard folders are recommended for case or project files. This folder may also be used for subject files that require extensive use in handling. The standard pressboard folders are gray, three-position cut, with 1-inch expansion.

0756.23 *Guide Cards.* The standard guide cards are gray pressboard, available in letter and legal size.

0756.24 *Labels.* Standard labels are pressure sensitive, self- adhesive, and available in various colors.

0756.3 *REQUESTING SUPPLIES AND EQUIPMENT.* Requests for additional files equipment or any specialized files equipment and supplies will be submitted to Administrative Services Division in accordance with Section 0317 of the Administrative Manual. Administrative Services Division will coordinate such requests with MGTR. The request will include complete justification of need and anticipated savings. The requesting activity will ensure that the following actions are taken before requesting filing equipment or supplies:

A. Records are identified and maintained according to instructions of the DEA Functional Files System.

B. All temporary records eligible for destruction have been destroyed.

C. All noncurrent permanent records have been retired to a Federal records center.

D. Filing cabinets, including top and bottom drawers, are being fully used for material to conduct current business.

E. All security filing cabinets not being used for classified material have been exchanged for nonsecurity type filing cabinets.
0757 FILES SPACE

Files space includes all floorspace in current files areas occupied by files equipment and personnel involved in maintaining and servicing files. To conserve space, files should be transferred to records centers or destroyed in accordance with the disposition instructions in Section 0755 and Appendix 07D.

0757.1 SELECTION. Proper selection and use of files space aids in assuring conservation of personnel, equipment, and space; rapid and economical filing and reference; and protection of files. Determination of the physical location of files will be based on the following:

A. Files will be located as conveniently as practicable in relation to the persons or offices they serve.

B. Classified files which are not maintained in security file cabinets will be maintained in an approved security vault.

C. Space should be adequate for present and anticipated files maintenance and service needs. Inadequate space often results in filing and finding delays and in low work output. The proper amount of files space for files or file room will be determined based on the following criteria:

1. Maximum quantity of file material which is required to be maintained at any one time. This is the volume of files on hand at the end of the calendar year or fiscal year plus the estimated expansion for similar files to be accumulated during the next year.

2. Minimum number of file containers required for the volume of files determined under 1 above, based on two linear feet of records for file drawers with an outside depth of 28 inches, and 1.5 linear feet for file drawers with an outside depth of 25 inches. Floorspace for file containers will be based on space actually occupied by the containers plus essential access and working space. An allowance of six square feet of space normally is adequate for a letter-size file cabinet, including essential access and working space.
3. The minimum floorspace required for necessary desks, chairs, tables, racks, storage cabinets, machines, etc., based on the space actually occupied plus necessary access and working space.

D. Space should be suitable for requirements of the file operation. The following space features should be considered when selecting file space, since these features effect efficiency of operation, and safety, health, and morale of files personnel:

1. Ventilation and heating should be comparable to that in space in which other administrative-type operations are performed.

2. Lighting should be comparable to that provided for normal office space and should be free from glare caused by sunlight, exposed bulbs, or distracting reflections.

3. The floor should be of sufficient strength to support the weight of the files equipment and personnel.

0757.2 LAYOUT. Correct positioning of files, equipment, and supplies in relation to files personnel and the operation assures the greatest physical ease for the largest number of files personnel and the best use of personnel, space, and equipment. The following principles will be applied to the layout of the files space:

A. The main workflow (records for filing and requests for files) should follow straight lines with a minimum of travel, backtracking, and cross-movement.

B. Persons frequently working together or using the same equipment should be located near each other.

C. Use of files should be appropriate to the work involved. For example:

1. The best lighted and ventilated space away from movement and noise should be used for work requiring the closest attention and concentration.

2. Classified material should be located away from doors, windows, and other files to minimize unauthorized access.

3. Files personnel who are required to receive material for files and requests for files should be located near the entrance to the files space.
0758 MICROFILMING RECORDS

0758.1 PROCEDURES. Subpart 101-11.5 of the Federal Property Management Regulations provides the procedures for requesting authority to dispose of microfilmed records, standards to be used by Federal agencies for microfilming records, criteria for using microfilm copies of permanent records, standards for storing microfilm copies of permanent records, and information concerning microfilm services available from the National Archives and Records Service (NARS). Subpart 101-11.5 is reproduced as Appendix 07G.

0758.2 LEGAL STATUS

A. The legal status of microfilm documents is contained in 28 U.S.C. 1732 and 44 U.S.C. 2112. Federal statutes provide for the legality and admissibility as evidence of records made by any photographic, photostatic, microfilm, microcard, miniature, photographic, or other process which accurately reproduces or forms a durable medium for so reproducing the original.

B. To be legally acceptable, such microfilm documents must be produced in the regular course of business and be satisfactorily identified.

0758.3 BENEFITS OF MICROFILMING RECORDS

A. Microfilming of documents should show cost savings, except when overriding intangible or other benefits clearly outweigh the absence of such savings.

B. Microfilming should provide for:

1. Reduction in the volume of paper documents.
2. Disposal of paper documents converted to microfilm.
3. Control over reproduction of microfilm to paper copies.
4. Early destruction of paper copies produced.
5. Maximum use and sharing of microfilm equipment.
0758.4 MICROFILMING PERMANENT OR NONPERMANENT RECORDS

A. DEA activities that propose to microfilm permanent or non-permanent records in order to dispose of the original records, will provide the following information to Records Management Section, Management Analysis Division, prior to actual microfilming of the records:

1. Subject matter or contents of the records to be microfilmed.

2. Physical type of records, e.g., books, cards, correspondence, etc.

3. DEA functional file numbers of the records.

4. Period covered, from (year) to (year).

5. Number of years the microfilmed records must be maintained.

6. Proposed disposition of documents after they are converted to microfilm, i.e., destroy, retain for (specify) years, or other means (describe).

7. A statement attesting that the DEA activity can meet the microfilming standards of Subpart 101-11.5 for permanent records or for nonpermanent records that are to be held for 10 years or more, as applicable.

B. Records Management Section will request authorization to dispose of the original records from the National Archives and Records Service (NARS). Only after authorization is obtained from NARS will disposition of the permanent or nonpermanent records be accomplished.

0758.5 COMPUTER OUTPUT MICROFILM (COM). The requirements in subsection 0758.4 apply to COM.
CHAPTER 07 RECORDS MANAGEMENT

Subchapter 075 DEA Functional File System

0759 ANNUAL SUMMARY OF RECORDS HOLDINGS

0759.1 USE. The Annual Summary of Records Holdings (Standard Form 136) is required by GSA Federal Property Management Regulations 101-11.102.7 and is used to plan for future growth of records storage space by Federal records centers.

0759.2 REPORTING OFFICES

A. Headquarters. Each Office at DEA Headquarters is required to submit a summary of records holdings. Reports from sections, divisions, and staff offices will not be consolidated at Office level.

B. Field. Regional, Laboratory, and Internal Security Field Offices are required to submit a summary of records holdings. Regional Offices must submit a separate report for the Regional Office and each District Office.

0759.3 REPORT REQUIREMENTS

A. General

1. The reporting period is from October 1 of the previous year to September 30 of the current year.

2. Headquarters and field Offices are to submit one copy of SF-136 to the Management Analysis Division by October 12 of each year. Reports will be reviewed by the Management Analysis Division and a consolidated report submitted to Department of Justice by October 20 of each year.

B. Preparation of SF-136. General instructions for preparation of SF-136 are shown on the reverse side of the form. Supplementary instructions are provided below: (See Exhibit 7.)

1. Item 1, "On Hand Beginning of Period," may be an estimate of records holding for the previous year, if a report was not submitted.
2. Columns (a) and (e) are to be completed by Headquarters offices.

3. Columns (c) and (e) are to be completed by field offices.

4. Columns (b) and (d) are to be left blank, since official staging, holding, or other storage areas are not maintained for DEA.

5. Items 1 through 4 are not totaled vertically. The reported figures are used to derive a net gain (cubic feet) of records for the reporting period.

6. Item 5 "Magnetic Tape" is applicable only to ADP tapes. It does not include MTST tapes/cassettes or voice recording tapes/cassettes.

7. In order to maintain a record of the volume of files that are destroyed locally during the fiscal year, the volume of files destroyed may be entered on the Records Retirement Log. At the end of the fiscal year, the data may be abstracted from the log, summarized and entered on SF-136.
Exhibit 7

ANNUAL SUMMARY OF RECORDS HOLDINGS
(See Instructions on reverse before completing form)

Interagency report control No: 1094-GSA-AN

Reporting period (From - To)
October 1, 197_ - September 30, 197_

To:
Drug Enforcement Administration
Management Analysis Division
Records Management Section

From (Reporting unit)
Administrative Services Division

VOLUME OF RECORDS (cubic feet)

<table>
<thead>
<tr>
<th>STATUS—ACTION</th>
<th>DEPARTMENTAL</th>
<th>FIELD</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Current File Rooms and Offices (a)</td>
<td>Staging, Holding and Other Storage Areas (b)</td>
<td>Current File Rooms and Offices (c)</td>
</tr>
<tr>
<td>1. On hand—beginning of period</td>
<td>680</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Transferred to:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a Fed. Records Centers or National Archives</td>
<td>24</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b Other agencies</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Destroyed</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. On hand—end of period</td>
<td>674</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. Magnetic tape (Number of reels included in item A)

No. of Reels

CERTIFICATION:

The records holdings reported on this form are adequately covered by current and operational Records Control Schedules as provided by Sub-part 101-11.4, "Disposition of Federal Records" of the Federal Property Management Regulations.

☐ Yes ☐ No (If "No", please attach explanation)

Remarks: (Include comments on significant increases or decreases in holdings, any plans for records cleanout campaigns, or any other significant records disposition matters).

Name of person with whom to confer

Patricia H. Moore

Phone Number

333-3333

Date Prepared

Oct 9, 197_

Title

Chief, Administrative Services Division

Signature

s/Lowell G. Brennings

136-107

STANDARD FORM 136 (REV. 4-75)
Prescribed by GSA
FPMR 101-11.102-7

77-15 ADMINISTRATIVE MANUAL 1/31/77
A. DISPOSITION STANDARDS. Each file disposition standard consists of three parts: file number, description, and disposition.

1. File Number. The file number that is assigned to a file serves to identify the documents it contains for filing and reference. A file number, by its composition, represents three significant elements: the major or primary functional files category, the minor or secondary functional files category, and the numerical sequence in which the file is described under the minor functional files category. For example, file number 310-06 (Tort Claims Files) represents:

<table>
<thead>
<tr>
<th>File Number</th>
<th>3 10 - 06</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major Functional File Category</td>
<td>300</td>
</tr>
<tr>
<td>Minor Functional File Category</td>
<td>310</td>
</tr>
<tr>
<td>Sequence of File Description</td>
<td>06</td>
</tr>
</tbody>
</table>

In the aforementioned example, "300" is the major functional file category for Legal, Legislative, and Informational Services Files; "310" is the minor functional file category for Claim Investigating and Processing Files; and "06" is the sixth file described under Claim Investigation and Processing Files.

2. Description. To assist individuals in filing documents, a short narrative description is provided for the types of documents that are most frequently filed under a particular file number. The narrative description is not intended to be all inclusive, but is merely a guide for categorizing documents within a respective file number.

3. Disposition. The disposition instructions for DEA files are based on specific retention periods, the occurrence of an event, or accomplishment of an action.

B. FILE CATEGORIES. DEA files are grouped into 14 major functional file categories which contain file numbers, descriptions, and disposition instructions for those records that are created and maintained by DBA activities. No modification (addition or deletion) of the disposition standards, major/minor functional file categories, or the file number sequence is permitted without
prior written approval from the Records Management Section. The 14 major functional file categories are further subdivided into minor functional file categories as follows:

<table>
<thead>
<tr>
<th>Major/Minor Files Functional Category</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>000-Office</strong></td>
<td>Housekeeping and General Program Files</td>
</tr>
<tr>
<td>010-Office</td>
<td>General Administrative Files</td>
</tr>
<tr>
<td>020-Office</td>
<td>Personnel Files</td>
</tr>
<tr>
<td>060-General</td>
<td>Program Files</td>
</tr>
<tr>
<td><strong>100-Planning, Management, and Budgeting Files</strong></td>
<td></td>
</tr>
<tr>
<td>101-Emergency</td>
<td>Planning Files</td>
</tr>
<tr>
<td>110-Organization</td>
<td>Planning Files</td>
</tr>
<tr>
<td>120-Operation</td>
<td>Planning Files</td>
</tr>
<tr>
<td>130-Programming and Budgeting</td>
<td>Files</td>
</tr>
<tr>
<td>140-Management Improvement</td>
<td>Files</td>
</tr>
<tr>
<td>150-Management Survey</td>
<td>Files</td>
</tr>
<tr>
<td>160-Manpower Utilization</td>
<td>Files</td>
</tr>
<tr>
<td>170-Auditing Services</td>
<td>Files</td>
</tr>
<tr>
<td><strong>200-Inspection, Security, and Protective Services Files</strong></td>
<td></td>
</tr>
<tr>
<td>201-Inspection</td>
<td>Files</td>
</tr>
<tr>
<td>210-Personnel Security</td>
<td>Files</td>
</tr>
<tr>
<td>220-Information Security</td>
<td>Files</td>
</tr>
<tr>
<td>230-Communications Security</td>
<td>Files</td>
</tr>
<tr>
<td>240-Protective Services</td>
<td>Files</td>
</tr>
<tr>
<td><strong>300-Legal, Legislative, and Informational Services Files</strong></td>
<td></td>
</tr>
<tr>
<td>301-Legal Opinion and Assistance</td>
<td>Files</td>
</tr>
<tr>
<td>310-Claim Investigating and Processing</td>
<td>Files</td>
</tr>
<tr>
<td>330-Litigation</td>
<td>Files</td>
</tr>
<tr>
<td>360-Legislative and Congressional Liaison</td>
<td>Files</td>
</tr>
<tr>
<td>370-Informational Services</td>
<td>Files</td>
</tr>
<tr>
<td><strong>400-Accounting and Procurement Files</strong></td>
<td></td>
</tr>
<tr>
<td>401-Detail Accounting</td>
<td>Files</td>
</tr>
<tr>
<td>410-Summary Accounting</td>
<td>Files</td>
</tr>
<tr>
<td>480-Procurement</td>
<td>Files</td>
</tr>
<tr>
<td>490-Individual Procurement Transaction</td>
<td>Files</td>
</tr>
</tbody>
</table>

---

1. The term "Office" refers to organizational elements down to section chief level of DEA Headquarters and equivalent organizational elements in the field.
Appendix 07D
Page 3

500-Equal Employment Opportunity and Personnel Files
  501-Equal Employment Opportunity Files
  510-Personnel Program Files
  520-Personnel Position and Pay Files
  530-Employment Services Files
  540-Employment Application Files
  550-Individual Employee Files
  560-Promotion, Placement, and Career Management Files
  570-Personnel Welfare and Grievance Files
  580-Personnel Reduction-In-Force Files
  590-Incentive Awards Committee Files

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

700-Intelligence Files
 (to be developed)

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

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

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

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

77-15 ADMINISTRATIVE MANUAL 1/31/77
1200-Automatic Data Processing Files
   1201-ADP Documentation Files
   1210-ADP Processing Files
   1220-ADP Master Files

1300-Records Management Files
   .1301-Forms Management Files
   1310-Reports Management and Control Files
   1320-Records Maintenance and Disposition Files
   1330-Pub1ication Management Files

C. GENERAL DISPOSITION INSTRUCTIONS. The following instructions govern the application of retention periods for files maintained in FFS.

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

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

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

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

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

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

7. Files which are disposable after a specified retention period following the occurrence of an event or the accomplishment of an administrative action (e.g., audit, final payment, or completion of a project) will be withdrawn from the active file when the event occurs or the administrative action is accomplished and will be placed in an inactive file. The inactive file will be cutoff and disposition accomplished in the same manner as for other files with comparable retention periods.
8. Permanent files will be cutoff at the end of each calendar or fiscal year, held for the period indicated in the disposition for files listed in Appendix 07D and retired to the records center.

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

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

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>010-01</td>
<td>Suspense Files. Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or transitory papers being held for reference may be destroyed on a given date.</td>
</tr>
</tbody>
</table>

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

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

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

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

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

010-02   | Office General Management Files. Documents relating to the internal management or general administration of an office. Included are:

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

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

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>140-01</td>
<td>Management Improvement Project Files. Documents relating to projects which result in initiation of changes in the manner or method of planning, directing, controlling, or doing work which results in increased effectiveness, efficiency, and economy. Included are studies, charts, coordination papers, recommendations, statistical data, and comparable or similar documents. Disposition: a. Offices performing DEA-wide staff responsibility: (1) Record copies of approved studies that resulted in substantial savings or significant improvement in overall DEA work activity: Permanent. Transfer to Federal records center when 3 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 5 years after completion of project. b. Other offices: Destroy 5 years after completion of project.</td>
</tr>
<tr>
<td>140-02</td>
<td>Management Improvement Project Background Files. Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file. Disposition: Destroy 3 years after completion of related project.</td>
</tr>
<tr>
<td>140-03</td>
<td>Work Simplification Proposal Files. Documents related to the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts, work counts, motion economy studies, layout studies, actions taken on proposals, and similar documents. Disposition: Destroy 5 years after completion of project.</td>
</tr>
</tbody>
</table>
130-06  Program and Budget Input Files. Documents relating to the furnishing of data for program and budget guidance, formulation, and execution. They reflect data for the various program elements, such as enforcement, training, education, communications, material, construction, maintenance, and transportation. Included are schedules, coordination papers, justifications, minutes of meetings, plans, and related documents.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 8 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved.
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DEA Staff activities for their functional areas of responsibility, minutes of budget committee meetings; briefings, and presentations on the budget estimates for review offices in the Department of Justice and Office of Management and Budget; and related papers.</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Disposition:</strong> a. Office performing DEA-wide staff responsibility: Destroy 15 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved.*</td>
<td></td>
</tr>
</tbody>
</table>

| **Congressional Budget Justification Files. Documents accumulated by DEA Staff in defending DEA budget estimates before Congress and Congressional Committees. Included are copies of opening statements, documents reflecting expected questions and answers thereto, prepared testimony, coordinating actions, resumes of congressional hearings, and related papers.** |
| **Disposition:** a. Office performing DEA-wide staff responsibility: (1) Record copy of agency budget justification document: Permanent. Transfer to Federal records center 5 years after close of fiscal year involved. Offer to NARS when 15 years old. (2) Other documents: Destroy 8 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved. |

| **Funding Program Files. Documents relating to quarterly allowances and supplemental allowances provided to operating activities. Documents used to authorize operating activities to incur obligations necessary to permit operation while Congress and OMB complete appropriation and apportionment of funds for the new fiscal year.** |
| **Disposition:** a. Office performing DEA-wide staff responsibility: Destroy 8 years after close of fiscal year involved. b. Other offices: Destroy 5 years after close of fiscal year involved. |
Documents created in the development of time-phased schedules for obtaining personnel, facilities, material, and funds required to meet the broad objectives established by DEA plans.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>130-01</td>
<td>Program Development Files. Documents relating to the preparation, coordination, approval, and issue of the Five-Year Program document that translates the objectives established by plans (including management-by-objectives) into time-phased schedules of accomplishment. These program documents are approved by the DEA Administrator and thereafter serve as the basis for development by the DEA Staff of the more detailed program and budget guidance to DEA activities. Included are summary and detail data sheets, program change requests, minutes of meetings of review committees, coordinating actions, approvals, summary tables, and related papers.</td>
</tr>
</tbody>
</table>

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

| 130-02   | Program and Budget Guidance Files. Documents relating to the development, review, approval, and issue of program and budget guidance. Included are program objectives; summary budgets; directives requiring staff preparation, revision, or updating of program and budget guidance to DEA activities, including statements of policies, priorities, standards and workloads; coordinating actions; operating schedules; and related papers. |

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

| 130-03   | Budget Estimate Files. Documents created in the DEA Staff preparation, review, and consolidation of budget estimates and in their submission to the Department of Justice for incorporation in the DOJ budget. Included are budget estimates prepared by |

* Revision
OPERATION PLANNING FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>120-01</td>
<td>Operation Planning Files. Documents relating to the preparation, coordination, and approval of operational plans which are applicable to or involve the resources and functions of DEA. They do not relate to plans described elsewhere in this schedule or to plans confined to specific functional areas which are not a segment of the overall plan. Included are copies of the approved plans, comments, recommendations, contributions, approvals, and disapprovals regarding the plans; and other directly related papers.</td>
</tr>
</tbody>
</table>

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

| 120-02  | Operating Procedure Files. Documents relating to the establishment of and changes in such matters as operating procedures and production methods. Included are studies, coordinating actions, copies of standing operating procedures and procedures manuals, comparable documents, and related papers. |

Disposition: Destroy documents when superseded or obsolete.
These files relate to the establishment of organizations and functions and their relationships to each other.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>110-01</td>
<td>Organization Planning Files. Documents relating to the establishment of and changes in organization, functions, and relationships of DEA activities. Included are staff studies; reports of working groups; minutes of committee meetings and staff conferences; documents relating to overall functions and programs; copies of organization and functions plans, manuals, and charts; copies of published directives implementing establishment or change; copies of documents relating to office staffing and personnel strength; and ceiling authorization documents. Also included are documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require evaluation and approval by Management Analysis Division or comparable office; and related documents. Disposition: a. Office performing DEA-wide staff responsibility: (1) Approved record copies of charts and statements of* substantive organizational functions and programs, studies, reports, minutes of meetings and conferences: Permanent. Transfer to Federal records center when 3 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 5 years after approval of organizational structure. b. Other Offices: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>110-02</td>
<td>Table of Organization Files. Documents relating to initiation, development, preparation, review, and approval of tables of organization. Included are drafts; copies of published tables of organization (including machine prepared or photo-copies); coordination, review, and approval actions; and related papers. Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after superseded or obsolete. b. Other offices: Destroy table of organization documents when superseded or obsolete.</td>
</tr>
</tbody>
</table>
EMERGENCY PLANNING FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>101-01</td>
<td>Emergency Planning Files. Documents relating to emergency planning, including planning for continuity of operations, domestic disturbances, civil defense, and other emergencies requiring preconceived plans. Included are plans, instructions, changes to plans, coordinating actions, and other documents relating to emergency planning. Disposition: Destroy when plans are superseded or obsolete.</td>
</tr>
<tr>
<td>101-02</td>
<td>Emergency Reporting Files. Documents relating to emergency situations and reflecting such information as assistance provided to agencies or populations, and other participation in emergency operations. Included are initial, daily, interim, and final emergency operations, reports, and related documents.</td>
</tr>
</tbody>
</table>

Comp. Schedule No. 1: Item 28 Disposition: Destroy 2 years after submission of report.
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>060-07</td>
<td>Reference Publication Files: Copies of publications issued by any element of DEA, other Government agencies, and non-governmental organizations maintained for reference within an office. Disposition: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>060-08</td>
<td>Technical Material Reference Files. Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, and charts retained for reference purposes only. Disposition: Destroy when superseded or obsolete.</td>
</tr>
</tbody>
</table>
Appendix 07D
Page 12

Description

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

060-06

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

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

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

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

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

e. Copies of documents accumulated by supervisory offices, such as chiefs of offices, divisions, or sections. These documents duplicate the record copy filed elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.
amendments and substantive interagency correspondence: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 6 years after supersession, cancellation, or termination of the agreement. b. Other offices: Destroy 3 years after supersession, cancellation, or termination of the agreement.

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

*Disposition: a. International committees: (1) Records of office of senior DEA representative: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Records of offices of other committee members: Destroy when 10 years old. b. Inter-departmental and intra-departmental committees: (1) Records of office of committee secretary: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Records of offices of committee members: Destroy when 10 years old.*

Staff Visit Files. Documents relating to scheduled or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. This definition is not applicable to visits made in connection with a specific process or case, which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

* Revision
GENERAL PROGRAM FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>060-01</td>
<td>Policy and Precedent Files. Extra copies of documents establishing policy or precedent for future and continuing action. Normally policy and precedent files are maintained at the operating level, and consist of copies of standing operating procedures, and statements of policy or procedure, and other documents duplicated in functional files. Disposition: a. Office of the Administrator: (1) Record copy of documents establishing policy or precedent action: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy when superseded or obsolete. b. Other Offices: Destroy when superseded or obsolete. Earlier disposal of portions of the file or the entire file is authorized.</td>
</tr>
<tr>
<td>060-02</td>
<td>Reading (Chron) Files. Copies of outgoing communications, arranged chronologically, and maintained for periodic review by staff members. Disposition: Destroy 1 year after date of communication. Earlier disposal is authorized.</td>
</tr>
<tr>
<td>060-03</td>
<td>Agreement Files. Documents relating to agreements between elements of DEA, between DEA and other Federal agencies, or between DEA and other non-Federal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations and DEA for the purpose of providing or obtaining various types of support services. Included are agreements, amendments, review comments, related correspondence, and similar documents. Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of agreement and</td>
</tr>
</tbody>
</table>
Standard of Conduct File. Documents relating to procedures used to assure that all personnel fully understand the standards of conduct and ethics required of them. For example, procedures requiring that each individual periodically read applicable directives and sign a memorandum indicating that the directives are understood.

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

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

Disposition: Destroy 3 years after payroll calendar year.
OFFICE PERSONNEL FILES

These files are maintained by operating officials and are used in administering of DEA employees within the organizational segments which are under their control.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>020-01</td>
<td>Office General Personnel Files. Documents that relate to the day-to-day administration of DEA employees in individual offices. Included are papers that relate to attendance at work; copies of reports of attendance and overtime, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Government medical services, including X-rays and immunizations; notices and lists of individuals to receive training; and comparable or related papers. Disposition: Destroy 1 year after notification of action.</td>
</tr>
<tr>
<td>020-02</td>
<td>Employee Record Card Files. Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information. Disposition: Destroy when information is obsolete or superseded.</td>
</tr>
<tr>
<td>020-03</td>
<td>Office Personnel Information Files. Documents pertaining to the administration of individual employees which are duplicated in, or which are not appropriate for inclusion in the Official Personnel Folder. Included are copies of Position Descriptions (OF 8); notice that individuals have been cleared for classified material; other documents related to personnel security retained copies of reports and other papers relating to individual injuries; letters of appreciation and commendation; records reflecting training received by individuals; documents reflecting the assigned responsibilities of individuals; copies of performance appraisal; off duty employment information; and comparable papers. Disposition: a. Offices (Less Foreign Regions): Review at end of calendar year and destroy documents which have been superseded. b. Foreign Regions: (1) Transfer of employee: Forward file to receiving office. (2) Separation of employee: Destroy after separation of employee from agency.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
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</tr>
<tr>
<td>010-03</td>
<td>Duty Roster Files. Documents used for recording recurring and routine duties performed by personnel within an office, including special duties performed on a rotating basis. Disposition: Destroy 3 months after last entry.</td>
</tr>
<tr>
<td>010-04</td>
<td>Duty Reporting Files. Documents prepared by duty officer or by personnel performing similar duty. Included are daily activity reports containing an account of the activities performed and similar or related documents. Disposition: Destroy 6 months after performance of duty.</td>
</tr>
</tbody>
</table>

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

Disposition: Destroy 1 year after requirement is completed. Earlier destruction is authorized.
These files result from planning and executing surveys to examine operating methods, organizational structures, and missions. The surveys may originate as part of a planned schedule, as a request from an operating official, as a result of recommendations or observations by inspection teams, or as directed by higher authority.

### File No. Description

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>150-01</td>
<td>Management Survey Case File. Documents relating to the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services. Individual studies and surveys may range in scope from a comprehensive review of organization and all operating procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.</td>
</tr>
</tbody>
</table>

**Disposition:**

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

| 150-02   | Management Survey Background Files. Documents used in the collection of data for or during a management survey and accumulated in offices conducting or participating in the survey. Included are notes, statistical data, copies of standing operating procedures, organizational charts, functional charts, personnel data, and similar material collected for fact-finding or backup purpose and documents reflecting preliminary arrangements incidental to specific surveys, such as time schedules and security clearances. |

**Disposition:** Destroy 8 years after survey.
MANPOWER UTILIZATION FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>160-01</td>
<td>Manpower Authorization Files. Documents and supporting papers reflecting manpower spaces allocated to operating activities of DEA. Included are Manning levels, or other instruments which limit, increase, or decrease the number of personnel allocated to specific organizational segments of DEA and related documents. Disposition: a. Office responsible for DEA-wide allocation: Destroy 5 years after date of allocation document. b. Other offices: Destroy 3 years after date of allocation document.</td>
</tr>
<tr>
<td>160-02</td>
<td>Manpower Survey Files. Documents relating to on-site and other appraisals of manpower requirements and utilization. Included are personnel inventory and appraisal reports, criteria studies, comments, justifications, and related documents. Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after survey. b. Other offices: Destroy 3 years after survey.</td>
</tr>
<tr>
<td>160-03</td>
<td>Manpower Staffing Standard Files. Documents reflecting the development and issuance of manpower staffing standards and the provision of guidance in applying these yardsticks for measuring personnel requirements. Included are copies of manpower surveys, executive-type letters, messages, copies of staffing guides; coordinating actions and interpretations; and related documents. Disposition: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>160-04</td>
<td>Manpower Statistical Data Files. Documents used to provide a source of statistical data for use in manpower control activities such as forecasting, justifying, and analyzing current or projected manpower requirements and allocating manpower spaces. Included are reports and data concerning</td>
</tr>
</tbody>
</table>
such matters as: agent and administrative strength of organizational segments of DEA, strength by occupational speciality, and related documents.

Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after publication of statistical data. b. Other offices: Destroy 3 years after publication of statistical data.
These files relate to audits performed by the General Accounting Office in performance of their designated functions and to internal review and internal control audits performed by the Department of Justice and DEA.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>170-01</td>
<td>GAO Audit Reporting Files. Documents relating to reports of audit made by the General Accounting Office. Included are notices of intent to audit, copies of documents furnished GAO representatives, copies of tentative findings and recommendations, advance notice of major findings, reports of major findings, report of exit conferences, draft reports, final reports, followup progress reports, comments relating to the reports, and related documents.</td>
</tr>
<tr>
<td>Note: Documents accumulated by offices other than those designated as central point of contact should be identified with the function of the accumulating office.</td>
<td></td>
</tr>
<tr>
<td>Disposition: a. Office performing DEA-wide staff responsibility: (1) GAO contract audit reports: Dispose of in the same manner as the related contract files. (2) Final GAO reports, final replies to GAO reports and final replies to GAO draft reports: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (3) Remaining documents: Destroy when all related actions have been completed. b. Offices designated as central point of contact: Destroy 10 years after final report, except that GAO draft reports may be destroyed on receipt of final report.</td>
<td></td>
</tr>
<tr>
<td>170-02</td>
<td>Internal Review Files. Documents relating to review and examination of DEA operations to insure proper protection of assets; compliance with policies, procedures, and objectives; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. These files accumulate as a result of DEA field offices making review of their own operations and DOJ and DEA Headquarters staff offices making review of DEA activities. Included are reports and directly related correspondence.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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<tr>
<td></td>
<td>Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of final report of comprehensive review and replies thereto: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Destroy other documents 5 years after accomplishment of internal review. b. Other offices: Destroy 3 years after completion of internal review actions.</td>
</tr>
</tbody>
</table>
These files relate to the inspections, investigations, and inquiries conducted by DEA inspectors.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>201-01</td>
<td><strong>Inspection Coordination Files.</strong> Documents related to reviewing, controlling, coordinating, and consolidating planned inspections, surveys, and visits. Included are notifications of impending visits, requests for authority to make visits, itineraries, approvals, requests for changes, and related documents. Disposition: Destroy 2 years after completion of inspection.</td>
</tr>
<tr>
<td>201-02</td>
<td><strong>Integrity Control Files.</strong> Documents related to the conduct of unannounced inspections of DEA activities. Included are the retained copy of the report sent to the inspected office or organization, supporting papers essential to and filed with the report, correspondence from the inspected office or organization indicating corrective action taken, and documents accumulated in staff offices that furnished members for the inspection team. Disposition: Destroy 5 years after completion of inspection results.</td>
</tr>
<tr>
<td>201-03</td>
<td><strong>Internal Security Investigative Case Files.</strong> Reports related to investigations and inquiries of internal affairs including criminal or civil violations of laws and departmental codes, and integrity and security matters. Included are DEA reports (DEA-6) and supporting documents. <em>Disposition: Transfer closed case files to Federal records center when 10 years old, in one-year groups. Destroy when 30 years old; i.e., 30 years from the date the file was opened.</em></td>
</tr>
<tr>
<td>201-04</td>
<td><strong>Internal Security Investigative General Files.</strong> Reports of investigation that are limited in scope concerning a program or area of interest as defined in Appendix 84A, DEA Internal Security Manual. Disposition: Transfer inactive files to Federal records center when 10 years old. Destroy <em>when 20 years old.</em></td>
</tr>
</tbody>
</table>
## PERSONNEL SECURITY FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>210-01</td>
<td>Personnel Security Clearance Files. Documents containing information</td>
<td>Destroy 20 years after date of last action.</td>
</tr>
<tr>
<td></td>
<td>concerning the security clearance of individual personnel and the accreditation of personnel for access to classified files requiring special access authorizations. Included are cards, printouts, and other lists or indexes. This description does not include clearance documents filed in the official personnel folder.</td>
<td></td>
</tr>
<tr>
<td>210-02</td>
<td>Security Briefing and Debriefing Files. Documents relating to security</td>
<td>Destroy 1 year after separation or retirement of the individual, or when obsolete.</td>
</tr>
<tr>
<td></td>
<td>briefing and debriefing of personnel authorized access to classified material. Included are briefing statements, debriefing statements and certificates, and related papers.</td>
<td></td>
</tr>
<tr>
<td>210-03</td>
<td>Security Awareness Files. Documents relating to procedures used to obtain</td>
<td>Destroy after the next periodic application of the procedure.</td>
</tr>
<tr>
<td></td>
<td>compliance with security directives by all personnel. For example, procedures requiring that each individual periodically read applicable security directives and sign a memorandum indicating that the directives are understood.</td>
<td></td>
</tr>
</tbody>
</table>

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**ADMINISTRATIVE MANUAL 3/15/78**
These records are created from the processes of safeguarding classified information in the interest of national security. These processes relate to the dissemination of classified information; the systems for classification, regrading and declassification; and the safekeeping and control of classified information.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>220-01</td>
<td>Security Classification Files. Documents relating to the security classification or regrading system involving the classification or downgrading of documents. Included are correspondence or memorandums on downgrading and reports on security classification, exclusive of other files described in this schedule. Disposition: Destroy 5 years after classification or downgrading action.</td>
</tr>
<tr>
<td>220-02</td>
<td>Security Regrading Case Files. Documents relating to the review of specific classified documents or equipment for the purpose of regrading the documents or equipment. Disposition: Destroy 5 years after regrading action.</td>
</tr>
<tr>
<td>220-03</td>
<td>Classified Material Access Files. Documents reflecting authorization to have access to classified files. They include forms containing an individual's name and signature, classification of files concerned, information desired, and signature of an official authorizing access. <em>Disposition: Destroy 2 years after transfer, reassignment, or separation of the individual.</em></td>
</tr>
<tr>
<td>220-04</td>
<td>Security Information Access Case Files. Documents relating to the review of specific requests for access to classified files or equipment for purposes of research and study. Disposition: Destroy 5 years after approval of review for access to files.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>220-05</td>
<td><strong>Security Information Release Files.</strong> Documents relating to the review of classified documentary materials for purposes of dissemination or release of information to sources outside the agency, such as the review of manuscripts, photography, lecture, radio, television scripts, and other materials. Disposition: Destroy 5 years after approval of review for release of classified information.</td>
</tr>
<tr>
<td>220-06</td>
<td><strong>Security Information Exchange Files.</strong> Documents relating to the exchange of security classified information with other Government agencies, industry, and foreign governments. Included are correspondence relating to the exchange of information, exchange agreements, and related documents. Disposition: Destroy 10 years after approval of review for exchange of classified information.</td>
</tr>
<tr>
<td>220-07</td>
<td><strong>Top Secret Document Record Files.</strong> Documents used to record the names of persons having had access to the TOP SECRET document, and to record copies of extracts distributed. Disposition: Destroy 1 year after related document is destroyed, transferred or downgraded.</td>
</tr>
<tr>
<td>220-08</td>
<td><strong>TOP SECRET Material Accountability Files.</strong> Documents reflecting the identity, receipt, dispatch, downgrading, source, movement from one office to another, destruction, and current custodian of all TOP SECRET material for which the TOP SECRET control officer is responsible. Disposition: Destroy 5 years after all items on individual pages have been destroyed, downgraded, dispatched, or when entries are transferred to a new page.</td>
</tr>
<tr>
<td>220-09</td>
<td><strong>Security Compromise Files.</strong> Documents relating to investigations of alleged security violations, such as missing documents, unauthorized disclosure of information, unattended open security containers, documents not properly safeguarded and matters of a similar nature. Disposition: Destroy 2 years after completion of final corrective or disciplinary action.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
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<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>220-10</td>
<td><strong>Security Inspection and Survey Files.</strong> Documents relating to inspections and surveys primarily conducted by security officers to determine the adequacy of measures taken to protect security information against the hazards of fire, explosion, sabotage, and unauthorized access. Included are reports, recommendations, and related papers.</td>
</tr>
<tr>
<td>220-11</td>
<td><strong>Security Equipment Files.</strong> Documents relating to the determination of uses and types of security equipment for protecting classified documents and material such as alarm systems, safes, and other security equipment.</td>
</tr>
<tr>
<td>220-12</td>
<td><strong>Physical Security Survey Files.</strong> Documents relating to surveys that are concerned with examination of the physical measures designed to safeguard personnel and prevent unauthorized access, sabotage, damage, or theft of equipment and facilities. Included are survey reports, recommendations, and related papers.</td>
</tr>
<tr>
<td>220-13</td>
<td><strong>Security Container Record Files.</strong> Forms placed on safes, cabinets, or vaults containing classified documents and used for providing a record of entry into the containers.</td>
</tr>
<tr>
<td>220-14</td>
<td><strong>Security Container Information Files.</strong> Up-to-date records of safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.</td>
</tr>
</tbody>
</table>
File No.      Description

Disposition: Destroy when superseded or on turn-in of the container.

220-15    
Classified Document Inventory Files. Forms, ledgers, or registers maintained to show internal receipt, identity, routing, and final disposition of classified documents. These files are used to ascertain the status of all classified documents for which the receiving activity is responsible.

Disposition: Destroy 2 years after all classified documents recorded thereon have been transferred, destroyed, or when the entry is transferred to a new sheet.

77-15 ADMINISTRATIVE MANUAL 1/31/77
COMMUNICATIONS SECURITY FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>230-01</td>
<td>COMSEC Management Files. Documents which are not of a routine nature and which are not specifically covered elsewhere in this schedule. These files include management documents related to communications security such as a determination as to cryptosystem and equipment authorized and required, and operational and procedural functions of the organization. Disposition: Destroy 5 years after completion of required action.</td>
</tr>
<tr>
<td>230-02</td>
<td>COMSEC Supply Correspondence Files. Documents relating to the routine supply of COMSEC material. Disposition: Destroy 1 year after receipt of COMSEC material.</td>
</tr>
<tr>
<td>230-03</td>
<td>COMSEC Item Register Files. Cards maintained to account for all COMSEC material and to show its receipt, movement, and final disposition. Disposition: Destroy 1 year after close of the calendar year in which all items on individual cards have been disposed of as evidenced by destruction or transfer reports.</td>
</tr>
<tr>
<td>230-04</td>
<td>COMSEC Daily Inventory Files. Documents reflecting daily inventories which are made at the end of each workday or between shifts. The documents contain the short titles of each item inventoried, the initials of the person making the inventory, and the date and time of the inventory. Disposition: Destroy on completion of next quarterly inventory.</td>
</tr>
<tr>
<td>230-05</td>
<td>COMSEC Accounting Reporting Files. Documents reflecting the receipt, possession, inventory, transfer, destruction and relief from accountability for accountable COMSEC material and documents. Included are destruction, transfer, inventory and...</td>
</tr>
</tbody>
</table>
possession reports; document vouchers; certificates of verification; relief from accountability; and related routine COMSEC accounting correspondence.

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

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

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

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

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

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

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

COMSEC Reporting Files. Included are message reports; electronic security reports; cryptosecurity and transmission security analyses; violation and summary reports; reports of violation of physical and cryptographic security; and other reports not specifically covered in this schedule. Reports that are the subject of a formal investigation will be filed with the investigation reporting files.
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>230-10</td>
<td>COMSEC Investigation Reporting Files. Reports of investigation concerning the loss or subjection to compromise of COMSEC material and investigations of transmission, physical, and other signal security violations. Disposition: Destroy 5 years after completion of final corrective or disciplinary actions.</td>
</tr>
<tr>
<td>230-12</td>
<td>Encrypted Message Text Files. Cipher copies of incoming and outgoing messages and message tapes. Messages involved in an investigation will be retained until the investigation is completed. Disposition: Destroy after a minimum retention of 5 days and before a maximum retention of 60 days.</td>
</tr>
</tbody>
</table>
These files relate to personnel identification and vehicle control.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>240-01</td>
<td>Badge Identification Issue Files. Documents pertaining to the issue of identification cards and badges. Included are applications and similar or related documents. Disposition: a. Destroy 3 years after issuance of badge. b. Records pertaining to visitors and records pertaining to applicants to whom cards or badges were not issued will be destroyed after 1 year.</td>
</tr>
<tr>
<td>240-02</td>
<td>Badge Identification Accountability Files. Documents used to maintain accountability for identification cards and badges. Included are registers and similar or related documents. Disposition: Destroy 3 years after last card or badge number entered has been accounted for.</td>
</tr>
<tr>
<td>240-03</td>
<td>Parking Permit Control Files. Documents relating to the allotment of parking spaces, control of issuance and withdrawal of parking permits, and the recording of violations by holders of parking permits. Disposition: Destroy on transfer of parking permit holders, or when permit is superseded or revoked.</td>
</tr>
<tr>
<td>240-04</td>
<td>Key Accountability Files. Documents relating to the issue, return, and accountability for keys to secure areas. <em>Disposition: Destroy 3 years after turn-in of key.</em></td>
</tr>
<tr>
<td>240-05</td>
<td>Guard Reporting Files. Retained copies of the guard report which is prepared daily and is submitted to the DEA representative. Disposition: Destroy 1 year after preparation of report.</td>
</tr>
</tbody>
</table>

* Revision
LEGAL OPINION AND ASSISTANCE FILES

These files relate to legal opinions and assistance matters.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>301-02</td>
<td>Legal Assistance Case Files. Documents pertaining to personal legal matters of DEA personnel. Included are correspondence, memorandums, and opinions of legal assistance officers. Disposition: Destroy 1 year after completion of the case, except that selected opinions and memorandums withdrawn for use as precedents may be held until no longer required for reference.</td>
</tr>
</tbody>
</table>
CLAIM INVESTIGATING AND PROCESSING FILES

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

2. The term "approval claims" as used herein refers to claims which were paid in the full amount claimed or in which claimant accepted a sum less than the amount claimed in settlement of the claim. Disposition instructions for disapproved claims also apply to claims that are withdrawn by claimants prior to settlement or which for other reasons are administratively closed.

3. A "master claim file" is prepared when a number of claims may result from a single incident or disaster. This "master claim file" contains the complete report of investigation, all exhibits and a listing of all co-claimants and possible claimants. Co-claimant files need only refer to the "master claim file" and include only those documents pertaining to the particular co-claimant not contained in the "master claim files."

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>310-01</td>
<td>Claim Operating Policy Files. Record copies of policy books and standing operating procedures on the handling of claims. Disposition: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>310-02</td>
<td>Claim Journal and Index Files. Documents used for recording pertinent information on each event relating to an actual or possible claim, and cross-indexes of incidents entered in the claims journal. Disposition: Destroy 5 years after final action on recorded claim journal entry.</td>
</tr>
<tr>
<td>310-03</td>
<td>Claim Reporting Files. Documents containing statistical and fiscal data concerning the filing, processing, and administrative settlement of claims. Included are copies of reports retained by reporting offices; report consolidations and summaries prepared or retained by DEA and papers directly related to the reports.</td>
</tr>
</tbody>
</table>
Disposition: a. Detail reports: Destroy 2 years after preparation. b. Consolidations and summaries: Destroy 5 years after publication of data.

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

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

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

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

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

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

Contract Adjustment and Claim Determination Files. Documents reflecting recommendations or determinations on adjustment of contracts under Public Law 85-804 and on contract claims asserted by a contractor against the Government or by the Government against a contractor. They also accumulate in reporting contractor bankruptcies so that, if appropriate, claims in favor of or against the bankrupt can be asserted. Included are copies of contractor claims and adjustment requests, contractual documents, documents containing justification or support for the claim or
<table>
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<th>File No.</th>
<th>Description</th>
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<td></td>
<td>adjustment request; determinations; recommendations; memoranda or law; coordinating actions; bankruptcy reports; and related documents.</td>
</tr>
</tbody>
</table>

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

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

**Disposition:** Destroy *15* years after final determination or settlement.

310-08 | Foreign Claim Files. Case files relating to claims against the United States by inhabitants of a foreign country or by a foreign government or a political subdivision thereof for damage, loss, or destruction of private property, or for personal injury or death caused by DEA employees stationed in the country concerned.  

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

310-09 | Local Foreign Claim Files. Case files relating to claims arising in foreign countries for death or personal injury; damage, loss, or destruction of public or personal property; or in connection with provisions of contracts, leases, or other instruments. They are limited to those claims which must be settled under local laws, regulations, or agreements.  

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

310-10 | DEA Property Damage Claim Files. Case files relating to claims in favor of DEA for damage, loss, or destruction of DEA property.  

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

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

<table>
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<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>330-01</td>
<td><strong>Litigation Case Files.</strong> Documents relating to actual or potential legal proceedings in which DEA, including its instrumentalities, has an interest. Included are show cause orders; copies of show cause and administrative hearings; advisory reports; copies of processes and pleadings; communications with DEA activities; communications with the Department of Justice and United States Attorneys, and with other organizations, agencies, activities, and individuals both within and without the Federal Government; and related papers.</td>
</tr>
</tbody>
</table>

**Disposition:** Destroy 15 years after completion of litigation.

| 330-02   | **Judicial Information Release Files.** Documents relating to the release of information for use in litigation in response to subpoenas, court orders, or requests. Included are requests, subpoenas, court orders, copies of the documents concerned or summaries of their contents, recommendations concerning releases, memorandums of law, coordinating actions, and related papers. |

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

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

| 330-03   | **Appearance as Counsel In Civil Court Files.** Documents relating to the appearance of DEA employees as counsel before civil courts, administrative tribunals, regulatory bodies, or Government agencies. Included are the requests with supporting or related papers, letters, and other documents |

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indicating coordination involved and action taken on the requests.

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

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

330-04 Witness Appearance Files. Documents relating to requests for DEA employees to appear as witnesses before civil courts, administrative tribunals, and regulatory bodies. Included are requests with supporting documents, letters, electrically transmitted messages, personnel action forms, and other papers indicating action taken on the requests.

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

330-05 Vehicle Seizure Files. Documents reflecting the receipt and release of vehicular conveyances that are found, impounded, or seized as contraband or prohibited property, or safeguarded for detained personnel. Included are logs, receipts, releases, reports of investigation, and related papers.

Disposition: Destroy 3 years after return or release of vehicle from DEA control.
LEGISLATIVE AND CONGRESSIONAL LIAISON FILES

These files relate to the initiation, processing, and coordination of legislation, Executive Orders, and proclamations either sponsored and supported by, or otherwise of interest to DEA; the preparation and coordination of replies to congressional inquiries; liaison with and assistance provided congressional committees investigating DEA activities; and similar matters of a legislative or congressional nature.

File No. 360-01

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

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

File No. 360-02

Legislation Comment Files. Documents reflecting comments on proposed legislation, Executive Orders, proclamations, and reports which are initiated by or for which primary responsibility for action has been assigned to another Government agency. Included are retained copies of the organization's comments, copies of proposed legislation, and related papers.

Disposition: Office of legislative officer or individuals designated to coordinate and control the legislative activities of DEA: Destroy 5 years after final comment action on legislation.
<table>
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<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>360-03</td>
<td><strong>Congressional Correspondence Files.</strong> Documents relating to congressional inquiries on matters within the scope and activity of DEA, except in areas affecting budgets, appropriations, and related financial matters, or concerning the release of safeguarded information. Included is correspondence between congressmen and their constituents or other people, and between congressmen and DEA on such matters as alleged unfair treatment, improper assignment, and drug narcotic inquiries.</td>
</tr>
<tr>
<td>360-04</td>
<td><strong>Congressional Investigation Files.</strong> Documents reflecting liaison between DEA and congressional committees. Included are papers relating to the selection of witnesses to appear before and the presentation of evidence to such committees, information on the activities of congressional committees investigating the activities of DEA, and analyses of committee visits to DEA establishments.</td>
</tr>
<tr>
<td>Disposition: Office responsible for the maintenance of liaison between DEA and congressional committees: Destroy 10 years after close of investigation.</td>
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</tr>
<tr>
<td>360-05</td>
<td><strong>Congressional Visit Reporting Files.</strong> Documents reporting visits by members or staff members of congressional committees to any element of DEA. Included are initial and daily reports reflecting the names of the visiting Congressional committee or survey group, subject of the visit, and similar information; and papers directly related to the reports.</td>
</tr>
<tr>
<td>Disposition: Office responsible for overall coordination of congressional liaison: Destroy 5 years after visit of Congressional element.</td>
<td></td>
</tr>
</tbody>
</table>
These files accumulate from the programs designed to keep the public informed of DEA activities, thereby acquiring public understanding and support of DEA activities. Specifically, they relate to the release of information to the public, action taken in conjunction with civic groups to improve DEA-community relations, participation in local, national, and international events, industrial cooperations, and similar actions which are taken to maintain and improve public relations.

<table>
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<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>370-01</td>
<td>Public Appearance Schedule Reporting Files. Documents reflecting scheduled speeches and participation by DEA staff in activities such as panel-type programs sponsored by organizations or for public audiences, press conferences or briefings, and radio and TV programs. Disposition: Destroy 2 years after scheduled public appearance.</td>
</tr>
<tr>
<td>370-02</td>
<td>Public Information Reporting Files. Documents reporting data on public information activities. Included are narrative reports on public information and community relations activities, statistical reports on information releases, summary reports, and papers relating to the reports. Disposition: Destroy 2 years after submission of report.</td>
</tr>
<tr>
<td>370-03</td>
<td>*News Media and Release Files. Audiovisual records (as described under General Records Schedule 21) that depict DEA participation with Federal, state, and local law enforcement agencies in significant or high level drug seizures and operations; implementation of enforcement-related priority programs resulting from enacted legislation; appearance of the Administrator or other high level DEA officials on TV networks regarding drug law enforcement; and methods of interdicting illegal drug trafficking. Also, documents relating to the preparation, coordination, clearance, and release of information to the public through newspapers, periodicals, radio, television, motion pictures, public appearances, and other media.</td>
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* Revision
of dissemination. Included are printed or processed press releases; speeches; radio, television, and motion picture scripts; and coordinating documents accumulated in obtaining clearances for the release.

*Disposition: a. Office performing DEA-wide staff responsibility: (1) Audiovisual material: Permanent. Offer to NARS in accordance with General Records Schedule 21. (2) Record copy of all releases: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (3) Destroy other documents 5 years after release of information to the public.

b. Other offices: Destroy 5 years after release of information to the public.*

370-04 Feature Story Review Files. Documents relating to assistance provided to magazine and book representatives in the development of feature stories concerning DEA activities. Included are story outlines prepared by DEA and provided the media representative, advice on proposed stories which are being prepared by other writers, papers relating to reviews of the stories for accuracy when desired by the writer, and similar papers.

Disposition: Destroy 5 years after release of feature story.

370-05 Research Clearance Files. Documents relating to approval for access to classified files for purposes of unofficial research and study. They also accumulate from a review for propriety and accuracy and in providing for the required security review of the resulting manuscripts and research notes. Included are requests for access to classified files, approvals, copies of manuscripts and research notes, and coordinating actions on both access and manuscript clearances.

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

370-06 Contractor Information Release Files. Documents relating to procedures governing the release of information by manufacturers, colleges, universities, advertising agencies and similar commercial entities relative to DEA contracts or activities accomplished.
<table>
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<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>370-07</td>
<td>DEA Authored Information Clearance Files. Documents relating to the review and clearance for publication of magazine and book manuscripts on drug narcotic subjects which are authored by DEA personnel. Included are copies of the manuscripts, coordinating actions on the manuscripts, and related papers. Disposition: Destroy 5 years after clearance approval of publication.</td>
</tr>
<tr>
<td>370-08</td>
<td>Public Inquiry Files. Documents relating to release of nonsafeguarded or nonprivileged information in response to requests or inquiries from the public. Included are routine requests for information on DEA activities, correspondence, and related papers. Disposition: Destroy 2 years after approval of release of information.</td>
</tr>
<tr>
<td>370-09</td>
<td>DEA Community Relations Files. Documents relating to DEA information programs with private and public agencies, and community groups in regard to drug abuse prevention activities. Disposition: Destroy 5 years after termination of program.</td>
</tr>
<tr>
<td>370-10</td>
<td>Information Publication Distribution Files. Documents used in the receipt, storage, and issue of information publications and materials. Disposition: Destroy 2 years after completion of distribution action.</td>
</tr>
</tbody>
</table>
370-11 Commercial Authorship Approval Files. Documents reflecting the authorization for DEA personnel to speak or write on a regularly scheduled basis for commercial publications or interests. Included are requests for approval, approvals, and directly related papers.

Disposition: Destroy on expiration or revocation of the approval.

370-12 Charity Contribution Files. Documents relating to contributions by DEA activities to recognized health, welfare, and voluntary fund raising organizations, such as the Combined Federal Campaign.

Disposition: Destroy 2 years after termination of campaign.

370-13 Statistical Material Clearance Files. Documents created in reviewing and issuing clearances for the release of specific statistical data. Included are copies of requests for statistical clearances, clearance actions, and related papers.

NOTE: Files accumulated in initiating or releasing offices will be filed functionally with the material released.

Disposition: Destroy 1 year after clearance approval.

370-14 Statistics Reporting Files. Copies of statistical summaries, studies, program evaluations, surveys, and contractor reports of drug narcotic data.

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

b. Other offices: Destroy 5 years after date of publication.
These files pertain to invoices, vouchers, purchase orders, and other related documents that show detail accounting of receipts and disbursements of DEA funds.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>401-01</td>
<td>Paid Vendor Invoice Files. Copies of paid invoices maintained alphabetically by vendor. Disposition: Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
</tr>
<tr>
<td>401-02</td>
<td>Paid Government Obligations Files. Copies of Vouchers of Transfers between Appropriations and/or Funds (SF-1080) and Vouchers and Schedule of Withdrawals and Credits (SF-1081) that reflect payments made to other Government agencies by DEA. Documents are maintained alphabetically by agency, except those pertaining to the General Services Administration are maintained by GSA region. Disposition: Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
</tr>
<tr>
<td>401-03</td>
<td>Paid Travel Voucher Files. Copies of Travel Voucher (SF-1012) that reflect payments for travel performed by DEA employees. Vouchers are maintained alphabetically by traveler's name. Disposition: Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
</tr>
<tr>
<td>401-04</td>
<td>Paid Purchase Order Files. Copies of Orders for Supplies or Services (SF-147) that reflect payments by DEA. Paid purchase orders are attached to the appropriate invoice with the receiving report and</td>
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</tbody>
</table>
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File No. Description

filed as an integral part of the Paid Vendor Invoice Files (401-01).

Disposition: Cutoff at the end of the fiscal year.
  a. Documents created prior to July 2, 1975:
     Destroy 10 years, 3 months after period of the account.  
  b. Documents created on or after July 2, 1975:
     Destroy 6 years, 3 months after period of the account.

401-05 Unpaid Purchase Order Files. Copies of Orders for Supplies or Services (SF-147), including contracts, for which payments by DEA have not been made. Maintain documents by purchase order number.

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

401-06 Paid Government Travel Request Card Files. Copies of Government Travel Request (SF-1169) that reflect payment by DEA. Cards are maintained in serial number sequence.

Disposition: Cutoff at the end of the fiscal year.
  a. Documents created prior to July 2, 1975:
     Destroy 10 years, 3 months after period of the account.  
  b. Documents created on or after July 2, 1975:
     Destroy 6 years, 3 months after period of the account.

401-07 Unpaid Government Travel Request Card Files. Copies of Government Travel Request (SF-1169) for which payment by DEA has not been made. Cards are maintained in serial number sequence.

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

401-08 Paid Transportation Schedules Files. Copies of Voucher and Schedule of Payments (SF-1166) that reflect payments by DEA to common carriers. Schedules are maintained in serial number sequence.

Disposition: Cutoff at the end of the fiscal year.
  a. Documents created prior to July 2, 1975:
     Destroy 10 years, 3 months after period of the
<table>
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<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>401-09</td>
<td>Paid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) and Public Vouchers for Transportation Charges (SF-1113) that reflect payment to common carriers by DEA. Bills of lading are maintained in vendor name sequence. Disposition: Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
</tr>
<tr>
<td>401-10</td>
<td>Unpaid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) for which payment to common carrier has not been made by DEA. Bills of lading are maintained in serial number sequence. Disposition: Cutoff at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-09).</td>
</tr>
<tr>
<td>401-11</td>
<td>Reimbursable Moving Expenses and Taxes Withheld Files. Reports of Federal and State taxes withheld from wages of DEA employees who had a permanent change of station. Disposition. Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
</tr>
<tr>
<td>401-12</td>
<td>Travel Advance Card Files. Copies of Application and Account for Advance of Funds (SF-1038) concerning payment to employees for official travel. Cards are maintained in alphabetical sequence. Disposition: a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
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</table>

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<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>401-13</td>
<td><strong>Imprest Fund Account Files.</strong> Documents accumulated by imprest fund cashiers/subcashiers which reflect the receipt and accounting for imprest funds. Included are copies of the Permanent Increase in Imprest Funds Above Maximum (SF-211), Reimbursement Vouchers (SF-1129), Request for Permanent Change in Imprest Funds (SF-1191), Monthly/Quarterly Audit Fund Report (DEA-153), Designation of Subcashier or Alternate Subcashier/Change in Imprest Fund (DEA-358), and other related forms of reimbursement vouchers and receipts for imprest funds.</td>
</tr>
</tbody>
</table>
|          | **Disposition:** Cutoff at the end of the fiscal year.  
|          | a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account. |
| 401-14   | **Imprest Fund Shortage Files.** Documents accumulated by the accounting officers which reflect imprest fund shortages, such as reports with supporting and related documents. |
|          | **Disposition:** Cutoff at the end of the fiscal year.  
|          | a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account. |
| 401-15   | **Travel Accountability Files.** Log registers and related devices that are used to record the receipt and issuance of accountable transportation forms as Government Bill of Lading (SF-1103), Government Transportation Request (SF-1169), and Government Tax Exempted Certificate (SF-1094). |
|          | **Disposition:** Destroy 1 year after all entries on the log registers are cleared. |
| 401-16   | **Monthly Disbursement and Collection Document Files.** Copies of vouchers that reflect disbursements made by DEA and collections received by DEA. Included are Statement of Transactions (SF-224), Vouchers of Transfers Between Appropriations and/or Funds (SF-1080), Vouchers and Schedule of Withdrawals and Credits (SF-1081), Schedules of Cancelled Checks (SF-1098), Vouchers and Schedule of Payments (SF-1166), and Statement of Transactions (SF-1221).
<table>
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<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>401-17</td>
<td>Certificate of Deposit Files. Copies of certificates of deposit (SF-219) and supporting vouchers reflecting payments made by DEA to the U.S. Treasury. Disposition: Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
</tr>
<tr>
<td>401-18</td>
<td>Mechanized Accounting Document Files. Copies of documents posted to the DEA computerized accounting system. Included are allowance documents, obligation documents, duplicate copies of disbursement vouchers, liquidated and posted schedules, and correction notices. Disposition: Cutoff at the end of the fiscal year. a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.</td>
</tr>
<tr>
<td>401-19</td>
<td>Mechanized Accounting Transaction Reports Files. Weekly and monthly reports that are generated by the DEA computerized accounting system. These include obligation I.D. master, expenditure and allowance report, monthly transaction register, notice of payments, travel advance statement, listing of travel advance balance, project summary report on obligations, report on obligations and expenditures, listing of valid batches by month, and related reports. Disposition: a. Destroy weekly reports 3 months after the period of account. b. Destroy monthly transaction register and other documents 3 years after the period of account. c. Year end reports.</td>
</tr>
</tbody>
</table>
created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account.  
d. Year end reports created on or before July 2, 1975: Destroy 6 years, 3 months after period of the account.
SUMMARY ACCOUNTING FILES

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

<table>
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<tr>
<th>File No.</th>
<th>Description</th>
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<tbody>
<tr>
<td>410-01</td>
<td>Accounting Journal Files. Documents relating to books of original entry maintained to record all financial transactions and to summarize accounting for monthly postings to the general ledger. Included are the general journals and special journals, such as fund receipt, fund disbursement, and related documents.</td>
</tr>
<tr>
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<td><em>Disposition: Cutoff at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.</em></td>
</tr>
<tr>
<td>410-02</td>
<td>General Ledger Files. Documents relating to general ledgers which contain the accounts necessary to reflect financial operations, such as asset accounts, operating accounts, and liability accounts. These accounts are maintained for the purpose of establishing in summary form the status of the accounts, operations for the month, and to provide a medium for verifying the accuracy of reports and subsidiary ledgers.</td>
</tr>
<tr>
<td></td>
<td><em>Disposition: Cutoff at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.</em></td>
</tr>
<tr>
<td>410-03</td>
<td>Subsidiary Ledger Files. Documents relating to subsidiary ledgers maintained as a source for ascertaining the composition of general ledger accounts, accumulated detail for analysis and reporting purposes, and verification of the accuracy of general ledger accounts.</td>
</tr>
<tr>
<td></td>
<td><em>Disposition: Cutoff at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.</em></td>
</tr>
<tr>
<td>410-04</td>
<td>Trial Balance Files. Documents relating to trial balances prepared from general ledger accounts, including trial balance sheets and related papers.</td>
</tr>
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</table>

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<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition: Cutoff at the end of the fiscal year.</th>
</tr>
</thead>
</table>
| 410-05   | Subsidiary Monthly Payment Files. Documents relating to monthly payment schedules, allotment schedules, and transmittals. | a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account.  
b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account. |
| 410-06   | Biweekly Accounting Station List Files. Payroll list printouts that are prepared every two weeks which show summary accounting transactions by organization, object class, prior year, and current year. | Destroy 1 year after receipt of printout. |
| 410-07   | Summary Accounting Reporting Files. Copies of reports forwarded to higher echelon, such as Department of Justice, Department of Treasury, and Department of Commerce. Included are the following reports with related documents: budget status report, financial statement of condition, obligation report by object class, statement of transactions, transactions of the Federal Government, statement of unexpended balances of appropriated funds, Federal outlays by geographic location, statement of receipt account, and statement of appropriation account. | a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account.  
b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account. |
Disposition: Cutoff at the end of the fiscal year.
a. Documents created prior to July 2, 1975: Destroy 10 years, 3 months after period of the account. b. Documents created on or after July 2, 1975: Destroy 6 years, 3 months after period of the account.
These files relate to the supervision and administration of the DEA procurement of supplies, equipment, and services. The responsibility of GAO to audit Government transactions includes access to contract records. In addition, GAO has certain statutory responsibilities which require that GAO have available to it a copy of any contract for purposes of certifying that document, or parts thereof, in conformity with the Miller Act and any other appropriate legislation. The long-standing practice of maintaining a separate "GAO copy" of the contract has been discontinued. Now the copy of the contract maintained in the office of the Contracting Officer is the one which GAO may from time to time request to fulfill its statutory obligations.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>480-01</td>
<td>Contract Statutory Restriction Files. Documents used in developing supplementary contract forms and clauses and in authorizing deviations from standard clauses. Included are copies of statutory requirements; coordination documents; studies; requests, approvals, and disapprovals of deviations; and similar documents. Disposition: Destroy when obsolete or superseded.</td>
</tr>
<tr>
<td>480-02</td>
<td>Determination and Findings Files. Documents related to determinations and findings required prior to negotiation of contracts. Included are determinations and findings and directly related correspondence. NOTE: Officers administering contracts which result from the determinations and findings will file the documents with the resulting contract. Disposition: Destroy 6 years after final resolution of determinations and findings.</td>
</tr>
<tr>
<td>480-03</td>
<td>Individual Item Pricing Files. Documents used in determining standard prices for use in obtaining improved pricing on purchases and accounting for the sale and issue of items, for comparative pricing purposes, and for analyzing price trends. Included are ledger sheets, card records, and related papers.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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</tr>
<tr>
<td>480-04</td>
<td><strong>Cost and Price Analysis Files.</strong> Documents used in collecting and analyzing data in the performance of comprehensive studies of price trends and variations. Included are studies, copies of price lists, contracts, estimates, reports, and other documents containing similar data.</td>
</tr>
<tr>
<td>480-05</td>
<td><strong>Buy American Act Files.</strong> Documents relating to implementation of the Buy American Act. Included are determinations, requests for exceptions with related approvals or disapprovals, lists of excepted items and materials, reports of violation, similar documents, and related correspondence. Files relating to specific contracts will be destroyed therewith.</td>
</tr>
<tr>
<td>480-06</td>
<td><strong>Contract Review Files.</strong> Documents used by the DEA contract office reviewing contracts for such aspects as legal sufficiency, appropriateness of award, reasonableness of price and cost, and similar matters. Included are copies of contracts, worksheets, related correspondence, and similar data.</td>
</tr>
<tr>
<td>480-07</td>
<td><strong>Procurement Misconduct Case Files.</strong> Documents accumulated as case files which deal with specific incidents relating to fraud, misconduct, criminal conduct, or suspected fraud or misconduct in connection with procurement matters. Included are investigations, statements, reports, decisions, similar documents and related papers. These files also provide information for publication of the debarred, ineligible, or suspended bidders list.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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</tr>
<tr>
<td>480-08</td>
<td><strong>Debarred Bidder List Files.</strong> Documents relating to the suspension of bidders that prohibits contractual relationship with the Department of Justice or DEA. Included are lists of debarred, ineligible or suspended bidders; status reports and recommendations relating to bidders appearing on the lists; modifications, deletions, and additions to the lists; and similar or related documents. Disposition: Destroy 30 years after close of case.</td>
</tr>
<tr>
<td>480-09</td>
<td><strong>Bidder List Files.</strong> Cards and lists used to determine which contractors are eligible to receive invitations to bid for specific items. Disposition: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>480-10</td>
<td><strong>Small Business Information Files.</strong> Documents relating to communications or discussions which provide small business concerns with information about DEA's requirements for suppliers on bidders lists, adapting their production facilities to compete for prime contracts or subcontracts, changes in specifications which make it possible for production by small business concerns to meet future procurement, and other matters concerning the participation of small business concerns in the DEA procurement program. Included are inquiries from small business concerns, memorandums recording discussion with representatives of small business concerns, and similar documents. Disposition: Destroy 6 years after requirements are superseded or obsolete.</td>
</tr>
<tr>
<td>480-11</td>
<td><strong>Small Business Program Survey Files.</strong> Documents relating to surveys of field purchasing offices to analyze the effectiveness of the small business program in order that small business concerns are afforded equal opportunity to compete for procurements. Included are data accumulated for the purpose of making surveys, reports from procuring offices, survey reports, instructions or changes made as a result of the survey, and related papers. Disposition: Destroy 6 years after survey.</td>
</tr>
</tbody>
</table>
These files relate to the administration of individual procurement transactions which include documents relating to the negotiation, commitment, and placement of contracts, purchase orders, and comparable instruments. Files that are known to be pertinent to an unsettled claim, incomplete investigation, or pending litigation will not be destroyed until settlement of the claim or completion of the investigation or litigation. In addition, records relating to contracts involved in appeals handled by a Board of Contract Appeals will be retained for a period of seven years from the date of the decision of the board.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>490-01</td>
<td>Transactions for $10,000 or Less Files. Contracts (less construction), purchase orders, leases, or comparable instruments for amounts of $10,000 or less, and construction contracts under $2,000. Disposition: a. Transactions for $10,000 or less after July 25, 1974 and transactions for $2,500 or less before July 25, 1974. Destroy 3 years after final payment, except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the board. Incomplete transaction files will be withdrawn from the cutoff block prior to transfer to Federal records center and brought forward for disposition with the next fiscal year files. b. Transactions for more than $2,500 before July 25, 1974: Destroy in accordance with 490-03.</td>
</tr>
<tr>
<td>490-02</td>
<td>Unsuccessful Bid Files. Documents relating to unsuccessful bids, proposals, and quotations for contracts of $2,500 or less. Included are unsuccessful bids (including tie bids), unsuccessful proposals and quotations, and related documents. <em>Disposition: Destroy in accordance with 490-01 or 490-03 as applicable.</em></td>
</tr>
<tr>
<td>490-03</td>
<td>Transactions For More Than $10,000 Files. Contracts (less construction), purchase orders, leases, or comparable instruments for amounts of more than $10,000, and construction contracts exceeding $2,000.</td>
</tr>
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</table>
**File No.**

<table>
<thead>
<tr>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Disposition:</strong> Destroy 6 years and 3 months after final payment, except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the board.</td>
</tr>
</tbody>
</table>

490-04

**Open-End Contract Information Files.** Documents reflecting information as to existing open-end contracts for use of contracting officers in procurement of supplies and equipment. **Disposition:** Destroy when superseded or obsolete.

490-05

**Master, Open-End and Call-Type Contract Files.** Documents relating to master, open-end, indefinite delivery, Federal Supply Schedule, call-type, and similar contracts. Included are contracts, service authorizations, delivery orders, comparable instruments, and related papers. Offices not administering, but procuring under these contracts, will handle individual service authorizations and delivery orders as separate individual procurement transactions. **Disposition:** a. Offices administering contract: Destroy 6 years and 3 months after expiration and final payment except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the board. b. Offices procuring under contract: Individual delivery orders, service authorizations, and comparable instruments: Disposition is as provided for transactions for $2,500, or less, or for transactions for more than $2,500, as applicable.

490-06

**Contract Standard Drawing and Specification Files.** Standardized drawings and specifications that are used in a sufficient number of individual contracts to warrant reproduction and distribution of such use. Reference sets of such standard drawings and specifications are maintained by contracting elements, and contract files may consist of reference to the pertinent standard drawing of specification in lieu of actual copies thereof. **Disposition:** Cutoff record set annually. Destroy when superseded or obsolete.
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>490-07</td>
<td>Nonaction Bid Invitation Files. Invitations for bids returned by prospective bidders without bid action. Disposition: Destroy immediately after bid opening or on receipt of bid if it can be determined that no bid action was taken.</td>
</tr>
<tr>
<td>490-08</td>
<td>Rejected Bid Files. Invitations for bids accumulated as a result of rejecting all bids to an invitation and a new invitation is not issued. Disposition: Destroy 1 year after bid is received.</td>
</tr>
<tr>
<td>490-09</td>
<td>Procurement Register Files. Registers or sheets used to record and control the assignment of numbers to contracts, purchase orders, leases, or similar instruments. These files are maintained on a fiscal year basis. Disposition: Destroy 6 years and 3 months after termination of contract.</td>
</tr>
<tr>
<td>490-10</td>
<td>Procurement Action Reporting Files. Documents relating to the reporting system designed to provide statistics concerning placement, status, delivery, and settlement of procurement actions. Included are special, quarterly, procurement activity, status, monthly, contract settlement, semiannual, consolidated, and summary reports; and directly related correspondence. All the above reports, except consolidated reports and summaries, will be filed and disposed of with the related contracts. Disposition: Consolidated reports and summaries: Destroy 6 years and 3 months after the end of the fiscal year of preparation.</td>
</tr>
<tr>
<td>490-11</td>
<td>Procurement Inspection Files. Documents relating to the inspection and audit of procurement matters and contracts. Included are copies or extracts of reports made by DOJ or DEA inspectors, General Accounting Office and supervisory offices; documents indicating corrective action taken; and related correspondence. Disposition: Destroy 6 years and 3 months after inspection or audit.</td>
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<td>File No.</td>
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<tr>
<td>490-12</td>
<td>Contracting Officer Designation Files. Documents reflecting the designation and recession of contracting officers and contracting officer's representative which include the specific procurement authorities delegated.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy 6 years and 3 months after recession or termination.</td>
</tr>
<tr>
<td>490-13</td>
<td>Procurement Expediting Files. Documents related to controlling and facilitating the delivery of materials under specific procurement transactions.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy 6 years and 3 months after delivery of materials.</td>
</tr>
<tr>
<td>490-14</td>
<td>Tax Exemption Certificate Files. Documents relating to the issue of tax exemption certificates which indicate proof of exemption of taxes excluded from the contract price under procurement regulations. Included are U.S. Government tax exemption certificates, U.S. Government tax exemption or identification cards, and comparable or related documents.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy 6 years and 3 months after issuance of certificate.</td>
</tr>
<tr>
<td>490-15</td>
<td>Photographic Inspection Files. Radiographs, micrographs, macrographs, and other films and prints relating to the inspection of material prior to acceptance by DEA.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy 6 years and 3 months after completion of related contract.</td>
</tr>
<tr>
<td>490-16</td>
<td>Laboratory Test Reporting Files. Documents maintained by laboratories that relate to tests conducted on material. Included are chemical analysis, steel analysis, physical test, macrostructure and macrotech tests, treatment and tests of material, and similar reports and directly related papers.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy 6 years and 3 months after acceptance of test results.</td>
</tr>
</tbody>
</table>
These files relate to the DEA compliance with Federal Government policy guaranteeing equal employment opportunity to all persons without regard to race, creed, color, or national origin.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>501-01</td>
<td>Equal Employment Opportunity Reporting Files. Documents related to reporting on activities and conditions related to equal employment opportunity. Included are reports on complaints, recruitment and action items; statistical and narrative reports; summaries; consolidations; and similar or related documents. Disposition: a. Office performing DEA-wide staff responsibility: Destroy 5 years after submission of reported data. b. Other offices: Destroy 2 years after submission of reported data.</td>
</tr>
<tr>
<td>501-02</td>
<td>Equal Employment Opportunity Survey Files. Documents related to conducting surveys of the implementation and effectiveness of the equal employment opportunity program. Included are reviews, appraisals, recommendation, final survey reports, and similar or related documents. Disposition: Destroy 2 years after completion of next comparable survey.</td>
</tr>
<tr>
<td>501-03</td>
<td>Equal Employment Opportunity Complaint Case Files. Documents reflecting complaints of personnel concerning equal employment opportunity. Included are complaints, transmittal letters, investigative data and summaries, finding of fact statements, final disposition reports, acceptance statements, withdrawal notices, and similar or related documents. Disposition: a. Case resolved by DEA: Destroy 7 years after final adjustment. b. Case resolved by the U.S. Civil Service Commission: Official case file is retained by USCSC.</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>501-04</td>
<td><strong>Equal Employment Opportunity Affirmative Action Plan Files</strong>. Documents created in defining the objectives and actions appropriate to local conditions and problems within a geographical area under a Region's jurisdiction.</td>
<td>Destroy 5 years after plan is approved.</td>
</tr>
<tr>
<td>501-05</td>
<td><strong>Equal Employment Opportunity Special Program Files</strong>. Documents created in developing, coordinating, executing, and disseminating guidance relative to specific EEO programs that are designed to improve hiring, promotion, training, and assignment of DEA employees. Included are the Federal Women's Program and the Spanish-Speaking Program.</td>
<td>Destroy 5 years after termination of program.</td>
</tr>
</tbody>
</table>
PERSONNEL PROGRAM FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>510-01</td>
<td>Personnel Program Reporting Files. Documents which provide data concerning various aspects of DEA personnel management activities. Included are statistical and narrative reports; consolidations, summaries, extracts of reports, and similar or related documents. Disposition: Destroy 3 years after submission of program data.</td>
</tr>
<tr>
<td>510-02</td>
<td>Personnel Inspection Files. Documents reflecting inspections conducted by the U.S. Civil Service Commission and other authorized agencies. Included are reports of inspection, reports of corrective action taken, and similar or related documents. Disposition: Destroy 1 year after next comparable inspection.</td>
</tr>
<tr>
<td>510-03</td>
<td>JUNIPER Printout Files. Documents consisting of computerized personnel listings that are generated by the Justice Uniform Personnel System (JUNIPER). Disposition: a. Expiration of appointments and transaction and error register listing: Destroy 6 months after receipt. b. DEA separations by series, JUNIPER suspense roster, probationary or trial period conversions, DEA promotion roster, cumulative list of DEA promotions, and within-grade roster listings: Destroy 1 year after receipt. c. JUNIPER manpower analysis roster (maintain one copy of monthly roster): Destroy 3 years after receipt. d. Accessions and separations listing: Destroy 5 years after receipt.</td>
</tr>
<tr>
<td>510-04</td>
<td>JUNIPER Microfische Files. Documents consisting of microfiche listings that are generated by the Justice Uniform Personnel System (JUNIPER). Disposition: a. Personnel listings in alphabetical sequence by name and numerical sequence by</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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<td>social security number: Destroy 6 months after receipt. b. Master file display: Destroy 5 years after receipt.</td>
</tr>
<tr>
<td>510-05</td>
<td>Payroll Systems Printout Files. Documents consisting of listings that are generated by the computerized output from the time and attendance report (DJ Form 225a).</td>
</tr>
</tbody>
</table>

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

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>520-01</td>
<td>Position Number Log Files. Documents reflecting a continuing list of numbers assigned and other identifying data pertaining to evaluated positions. Included are registers, logbooks, and similar or related documents. Disposition: Destroy 20 years after a new numbering system is established.</td>
</tr>
<tr>
<td>520-02</td>
<td>Master Position Description Files. Documents used in analyzing a specific position to determine whether the position matches an existing position. Included are OF-8 (Position Description) and similar or related documents. Disposition: a. Destroy one copy 5 years after position is abolished or description is superseded. b. Destroy other copies when position is abolished or description is superseded.</td>
</tr>
<tr>
<td>520-03</td>
<td>Organization Files. Documents reflecting a complete record of positions in each organizational segment. Included are individual folders containing organization chart, position description, and questionnaires, if used; and similar or related documents. Disposition: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>520-04</td>
<td>Position Standard Files. Documents which provide guidance in evaluation of positions and consist of Civil Service Commission and Department of Justice classification and qualification standards. Included are position evaluation decisions, post-audit reports by Civil Service Commission which have the effect of standards, and similar or related documents. Disposition: Destroy when standard is superseded or obsolete.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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</tr>
<tr>
<td>520-05</td>
<td><strong>Position Standard Development Files.</strong> Documents relating to the development of classification or qualification standards. Included are tentative drafts of standards, correspondence, project schedules, materials, and similar or related documents. Disposition: Review at least once a year after publication of final standards and destroy all papers which have been superseded or are no longer applicable.</td>
</tr>
<tr>
<td>520-06</td>
<td><strong>Differential and Allowance Files.</strong> Documents which provide overseas personnel offices with a means of documenting an employee's eligibility for foreign post differential and foreign quarters and post allowance. Included are Standard Forms 1190 (Foreign Allowances Application, Grant, and Report) and similar or related documents. Disposition: Destroy on separation of employee from the agency.</td>
</tr>
<tr>
<td>520-07</td>
<td><strong>Wage Rate Files.</strong> Documents relating to the determination and application of base rate schedules for wage board jobs. Included are tentative and revised schedules of full scale wage surveys, and requests for changes to survey schedules; minutes of meetings; comments, recommendations, and justifications; collected and supplemental wage data concerning regular and overtime rates, bonuses, incentives, and shift differentials, data summaries; wage schedules; notifications of wage schedule applications, and similar or related documents. Disposition: Destroy when superseded or obsolete.</td>
</tr>
</tbody>
</table>
These files relate to selecting and retaining employees for DEA.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>530-01</td>
<td><strong>Civil Service Certificate Files.</strong> Documents providing a record of requests to the Civil Service Commission for certification of eligibles and reports of action taken on certificates of eligibles. Included are Standard Form 39 (Request for Certification) (Copy 3), CSC Forms 2934c (Statement of Reasons for Passing over a Preference Eligible and Selecting a Nonpreference Eligible) and similar or related documents. Disposition: Destroy 2 years after date of certification.</td>
</tr>
<tr>
<td>530-02</td>
<td><strong>Re-employment Files.</strong> Documents reflecting persons separated by reduction-in-force or for military service, or having other restoration or re-employment rights. In either the restoration section or the re-employment priority list section of these files, the file on an individual may be returned to the employee evaluation record file upon fulfillment of restoration or re-employment obligation. Disposition: a. Restoration activity: Destroy when obligation is terminated or restored. b. Re-employment priority list activity: Review at end of each calendar year. Place forms for employees separated for 2 years in an inactive file, hold 1 year, then destroy. Place forms for employees separated for 1 year in an inactive file, hold 1 year, then destroy.</td>
</tr>
<tr>
<td>530-03</td>
<td><strong>Special Deferment Files.</strong> Documents pertaining to each request for deferment or action in support of deferment. Disposition: Destroy 1 year after transfer or separation of individual or on termination of deferment.</td>
</tr>
</tbody>
</table>
EMPLOYMENT APPLICATION FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>540-01</td>
<td>Qualification Standard Files. Documents used in rating applications for appointments and approving non-competitive actions. Included are index to standards; CSC Handbook X-118, CSC Departmental Circular 588; examination announcements; special standards, such as promotion and training agreements; and similar or related documents. Disposition: Destroy when qualification standard is superseded. (Superseded standards may be retained until CSC inspection covering period during which the standard was applicable).</td>
</tr>
<tr>
<td>540-02</td>
<td>Active Employment Application Files. Documents pertaining to individuals who can be considered for appointment. Included are applications and related documents. Disposition: Destroy after 2 years (with prior approval of CSC or on receipt of CSC inspection report). Note: In all cases retain applications having a direct bearing on the appointment in question until action is completed.</td>
</tr>
<tr>
<td>540-03</td>
<td>Inactive Employment Application Files. Documents pertaining to applicants for federal employment rated as not qualified for consideration for appointment, applicants who decline or will not be available for appointment for an indefinite period of time, and applicants for whom employment determinations preclude selection. Included are applications and related documents. Disposition: Destroy after 2 years (with prior approval of CSC), or on receipt of CSC inspection report.</td>
</tr>
</tbody>
</table>
These files relate to documenting the service of each individual employee of DEA and its consultants.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>550-01</td>
<td>Official Personnel Folder Files. Documents which reflect qualifications, efficiency, promotions, awards, and similar information on a DEA employee. Included are individual personnel folders, Notification of Personnel Action (DJ-50), and allied forms and related documents. Disposition: a. Transfer of employee: Transfer folder to new employing office. b. Separation of employee: Retire to National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, MO 63118. <strong>NOTE: Maintain and dispose of temporary records on left side of OPF in accordance with FPM Chapter 293 and Supplement 293-31.</strong></td>
</tr>
<tr>
<td>550-02</td>
<td>Expert and Consultant Data Files. Documents reflecting the names, designations, rates of compensation, duties, and number of days service of experts and consultants. Included are extra copies of personnel actions, descriptions of services to be performed, and similar or related documents. Disposition: Destroy 2 years after separation of employee.</td>
</tr>
<tr>
<td>550-03</td>
<td>Employment and Financial Interest Statement Files. Documents reflecting Government employment, private employment, and financial interest of DEA employees required to file such statements as required by Section 0672 of the DEA Administrative Manual. Included are statements of employment and financial interests, supplementary statements, reports of change, review comments, and related papers. Disposition: Destroy <em>2</em> years after separation, retirement, reassignment, or death of the individual.</td>
</tr>
<tr>
<td>550-04</td>
<td>Notification of Personnel Action Files. Documents which consist of copy No. 6 (utility copy) of DJ-50, which is filled by nature of action in chronological sequence.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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</table>

**Disposition:**

a. Accessions and separations: Destroy *10* years after the effective date of the nature of action.
b. Other documents: Destroy 2 years after the effective date of the nature of action.
These files relate to the promotion, placement, and career management of DEA employees.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>560-01</td>
<td>Referral and Selection Files. Documents reflecting placement and promotion actions under the Merit Placement and Promotion Program. Maintain in chronological order by date of certification. Disposition: Destroy after 2 years or after regularly scheduled CSC inspection.</td>
</tr>
<tr>
<td>560-02</td>
<td>Placement Consideration Files. Documents pertaining to employees considered to fill a vacancy but not selected and held for future consideration of employee. Included are requests for consideration, vouchers, results of interviews, qualification summaries, copies of notices of eligibility, and similar or related documents. Disposition: Destroy after 2 years or after regularly scheduled CSC inspection.</td>
</tr>
<tr>
<td>560-03</td>
<td>Employee Evaluation Record Files. Documents reflecting qualifications, personal data, interviews, training data, and evaluations which are used as a &quot;tickler&quot; for follow-up interviews. Disposition: Destroy 1 year after separation of employee.</td>
</tr>
<tr>
<td>560-04</td>
<td>Career Management Files. Documents related to formulating and directing a planned system for the progressive development of employees and to provide a source of input to meet continuing staffing requirements within designated career occupational fields. Included are coordinating actions, studies, interpretations, and published record copies of instructions; DEA-wide letters; messages; newsletters; and similar or related documents. Disposition: Destroy 5 years after system is superseded or obsolete.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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<tr>
<td>560-05</td>
<td>Occupational Inventory Files. Documents reflecting qualifications, availability, appraisals, and other data on persons registered in specific career fields. Included are forms, printouts, and similar or related documents.</td>
</tr>
<tr>
<td>560-06</td>
<td>Career Referral Files. Documents related to requesting and furnishing names of individuals from occupational inventory files or general information concerning career programs. Included are replies to requests and similar or related documents.</td>
</tr>
<tr>
<td>560-07</td>
<td>Career Trainee Input Requirement Files. Documents reflecting trainee input requirements in occupational fields. Included are letters, forms, printouts, and similar or related documents.</td>
</tr>
</tbody>
</table>
PERSONNEL WELFARE AND GRIEVANCE FILES

These files pertain to employee work schedules, services and facilities, and grievances.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>570-01</td>
<td>Hours of Work Files. Documents relating to the establishment of working hours, staggered shifts, holiday staffing, and similar matters affecting the work schedule of civilian employees. Included are coordinating actions, studies, interpretations, and published record copies of instructions; letters; messages; and similar or related documents. Disposition: Destroy 1 year after no longer effective.</td>
</tr>
<tr>
<td>570-02</td>
<td>Employee Service Case Files. Documents related to considering, approving or disapproving, establishing, or discontinuing specific employee services or facilities such as medical and health services; recreation; and published record copies of instructions; letters; orders, and similar or related documents. Disposition: Destroy 5 years after disapproval or discontinuance of the service or facility.</td>
</tr>
<tr>
<td>570-03</td>
<td>Appeal and Grievance Case Files. Documents reflecting actions taken on appeals and grievances submitted by DEA employees. Included in each case are employee grievance record; decisions delivered, including records of grievance committee; review decisions; and similar or related documents. Disposition: Destroy after <em>4</em> years unless appeals are pending.</td>
</tr>
</tbody>
</table>
PERSONNEL REDUCTION-IN-FORCE FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>580-01</td>
<td>Reduction-In-Force Data Files. Documents reflecting name of employee, date, position, grade, last performance rating, competitive level code, and similar information. Included are punched cards, card forms, listings, and similar or related documents. Disposition: Destroy when no longer required for reference.</td>
</tr>
<tr>
<td>580-02</td>
<td>Competitive Level Files. Documents reflecting competitive levels within areas serviced by the DEA personnel officer which are used as a basis for preparing retention registers. Included are cards, listings, and similar or related documents. Disposition: Destroy when no longer required for reference.</td>
</tr>
<tr>
<td>580-03</td>
<td>Retention Register Files. Documents reflecting retention groups of employees according to tenure, length of service, performance ratings, and veterans preference. Included are registers and similar or related documents. Disposition: Destroy when 2 years old, unless appeals are pending.</td>
</tr>
</tbody>
</table>
## INCENTIVE AWARDS COMMITTEE FILES

These files relate to approving, disapproving, and reporting awards by incentive award committees.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>590-01</td>
<td>Incentive Awards Committee Meeting Records. Documents reflecting actions taken by incentive award committees. Included are minutes of meetings and similar or related documents. Disposition: Destroy 5 years after meeting was held.</td>
</tr>
<tr>
<td>590-02</td>
<td>Incentive Awards Reporting Files. Documents used to provide statistical information on participation, approvals, savings, or other aspects of the incentive awards program. Included are retained copies of reports, report corrections, and similar or related documents. Disposition: Destroy 2 years after data were reported.</td>
</tr>
<tr>
<td>590-03</td>
<td>Incentive Award Case Files. Documents related to submitting, evaluating, and approving or disapproving each incentive awards case. Included are types of awards as suggestions, Sustained Superior Performance, Special Act or Service, or Certificate of Achievement. Disposition: Destroy 5 years after final action.</td>
</tr>
<tr>
<td>590-04</td>
<td>Employee Suggestion Control and Subject Index Files. Documents used as a suspense control of employee suggestions on which action is not completed, and as a subject index to completed suggestions. Disposition: Transfer from control file to subject index file upon final disposition of suggestion. Destroy 2 years after final disposition of suggestion.</td>
</tr>
</tbody>
</table>
These files relate to those activities of drug/narcotic enforcement pertaining to criminal/regulatory investigations, drug abuse prevention, and other enforcement-related operations.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>601-01</td>
<td>Jurisdictional Responsibility Files. Documents relating to the determination and establishment of the scope and responsibility of DEA for drug abuse prevention; detection and investigation of drug/narcotic crimes and offenses; and apprehension, restraint, and custody of offenders or suspected offenders. Included are agreements with other federal agencies or civil authorities, and similar papers. Disposition: <strong>a.</strong> Offices performing DEA-wide staff responsibility: <em>(1)</em> Record copy of agreement and implementing instructions: Permanent.* <em>(2)</em> Transfer to Federal records center when 5 years old. <strong>Offer to NARS when 15 years old.</strong> <em>(2)</em> Other documents: Destroy 8 years after termination of agreement or functional responsibility. <strong>b.</strong> Other offices: Destroy 5 years after termination of agreement or functional responsibility.</td>
</tr>
<tr>
<td>601-02</td>
<td>Investigative Technique Files. Documents related to determining and disseminating the techniques, methods, and procedures to be used in investigating and reporting drug/narcotic criminal and regulatory activities and offenses. Included are written guidelines pertaining to utilization of specialized equipment in support of investigations. Disposition: <strong>a.</strong> Offices responsible for directing or developing techniques, methods, and procedures: Destroy 5 years after termination of functional requirement. <strong>b.</strong> Other offices: Destroy 3 years after termination of functional requirement.</td>
</tr>
<tr>
<td>601-03</td>
<td>Enforcement Confidential Fund Files. Documents which relate to expenditures of special funds to cover expenses incurred in discharging assigned duties of criminal investigators not otherwise payable from other DEA funds. Funds are utilized for purchase of evidence and purchase of information.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
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<td>-------------</td>
</tr>
<tr>
<td>601-04</td>
<td>Enforcement Program Files. Documents created in planning, coordinating, executing, and reviewing courses of action for the curtailment of illegal production, diversion, and trafficking of drugs and narcotics. Included are investigative and compliance programs, surveys, studies; operations of task forces and other specialized units; and program status reports. These files are exclusive of the general program files that are identified in Subchapter 623 of the Agents Manual.</td>
</tr>
<tr>
<td>601-05</td>
<td>Criminal Investigator Cross-Designation Files. Documents relating to the assignment, termination, or withdrawal of cross-designation of criminal investigations as Customs Officers (Excepted). Included are applications, recommendations, approvals, disapprovals, and related papers.</td>
</tr>
<tr>
<td>601-06</td>
<td>Enforcement Activities Reporting Files. Reports containing statistical and narrative data relating to drug/narcotic cases, trends, compliance violations, drug seizures, and other enforcement activities. Included are the weekly activity reports, regional monthly summaries, reports to the Attorney General, feeder reports, consolidated reports and analyses. Does not include reports pertaining to enforcement programs, as such reports are included with the program files.</td>
</tr>
</tbody>
</table>
Comp. Schedule No. 1:  
Item 35.

Disposition: a. Offices performing DEA-wide staff responsibility: (1) Record copy of annual reports: Permanent. Transfer to Federal record center when 5 years old. Offer to NARS when 15 years old. (2) Consolidated data: Destroy 5 years after preparation of report. (3) Feeder reports and similar data: Destroy 1 year after preparation of report. b. Other offices: Destroy 3 years after preparation of report.

601-08

General Investigative Files. DEA reports of investigations that are limited in scope concerning a suspect or firm relative to violations of drug/narcotic laws. Included are numbered and unnumbered general investigative files. Name and program general file procedures are outlined in Chapter 62 of the DEA Agents Manual.

Comp. Schedule No. 1:  
Items 3 to 8.

Disposition: a. Unnumbered files: Transfer to Federal records center in calendar year 1981. *Destroy in calendar 1996.* b. Numbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center 10 years from date the file was opened. *Destroy when 25 years old (i.e. 25 years from the date file was opened).*

601-09

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

Comp. Schedule No. 1:  
Item 36; and  
Comp. Schedule No. 2:  
Part III, Item 2.


b. Numbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center 10 years after date the file was opened, in one year groups. *Destroy when 55 years old (i.e., 55 years from the date the file was opened).* 

Note: The sensitivity of these files requires that they be stored in a vault or classified area of a Federal records center. These files will be sealed in records center boxes and delivered by the DEA activity to Federal records center or picked-up and receipted for by the records center. The boxes and SF-135 will be annotated to indicate a special handling marking of "NOT TO BE OPENED BY NARS, RESTRICTED TO DEA PERSONNEL".

* Revision
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>601-10</td>
<td>Enforcement Journal Files. Documents containing a chronological record of agent activity developed from reports, complaints, incidents, or information received, and action taken.</td>
<td>Destroy 3 years after journal entry date.</td>
</tr>
<tr>
<td>601-11</td>
<td>Foreign Country Files. Documents relating to drug/narcotic enforcement activities in a foreign country. These files include: a. Correspondence with foreign governments concerning international cooperation in enforcement activities and documents concerning methods used to control international trafficking in narcotics; agenda, minutes, and reports of meetings and conferences on narcotic control; and documents concerning DEA participation in negotiations concerning internal narcotic control matters, including position papers. b. Studies of drug/narcotic production and distribution, assessments of anti-narcotics efforts within a country, delineation of areas of responsibility for drug/narcotic enforcement, position papers, and status reports of drug/narcotic enforcement.</td>
<td>a. Offices performing DEA-wide staff responsibility: Record copy of documents described in subparagraphs <strong>a and b.</strong> Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. b. Other offices: Destroy 5 years after approval of program material.</td>
</tr>
<tr>
<td>601-12</td>
<td><strong>Other Regional or District Investigative Files. Copies of DEA reports (DEA-6) and supporting documents that are received from or prepared for other DEA Regional or District Offices.</strong></td>
<td>a. Reports received for information only: Destroy 10 years after date of report. Earlier destruction is authorized. Do not transfer reports to Federal records center. b. Reports prepared using the file number of another Regional or District Office. Destroy 10 years after date of report. Earlier destruction is authorized but not prior to 2 years. Do not transfer reports to Federal records center.**</td>
</tr>
</tbody>
</table>
ENFORCEMENT GRANT PROGRAM FILES

These files relate to DEA's participation in the Grant Fund Program of drug law enforcement technical assistance as provided to State and local government enforcement agencies.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>610-01</td>
<td>Federal Assistance Program Files. Documents created in planning, coordinating, executing, and reviewing drug law grant programs received from State and local government agencies. Includes documentation relating to national projects proposed for funding consideration and national drug law enforcement areas identified for grant fund assistance.</td>
</tr>
</tbody>
</table>

Disposition:  
- a. Office performing DEA-wide staff responsibility: Destroy 8 years after termination of funded project.  
- b. Other offices: Destroy 5 years after termination of funded project.  

| 610-02   | Federal Assistance Program Reporting Files. Reports containing statistical and narrative data relating to Drug Law Enforcement Grant Programs. Included are monthly summary reports pertaining to grant funded programs for States, fund status reports, and consolidated reports and analyses. |

Disposition:  
- a. Office performing DEA-wide staff responsibility:  
  1. Annual and consolidated reports: Destroy 5 years after termination of funded project.  
  2. Feeder reports and other data: Destroy after 1 year.  
- b. Other offices: Destroy 3 years after termination of funded project.  

77-15 ADMINISTRATIVE MANUAL 1/31/77
DRUG CONTROL FILES

These files relate to the control of legally manufactured drugs.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>630-01</td>
<td>Drug Evaluation Files. Documents pertaining to studies and technical reviews of abuse, production, and distribution of drugs for the development of drug control requirements. Included are surveys of rehabilitation facilities, staff position papers, copies of State and Federal programs, statistics on drug diversion, agenda of meetings with government and non-government officials, and related papers. Disposition: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>630-02</td>
<td>Controlled Substances Theft/Loss Report. Documents relating to reports of theft or loss of controlled substances, theft or loss of order forms, and reports of investigation. Disposition: Destroy 5 years after resolving theft or loss.</td>
</tr>
<tr>
<td>630-03</td>
<td>Drug Schedule Files. Documents relating to the establishment of criteria for categorizing drugs in various schedules; coordination with other government agencies for drug reviews; applications for exclusion of non-narcotic substances from a schedule; applications for exception of a stimulant or depressant compound from a schedule; approval or denial of exclusion or exception; drug scheduling petitions, transcriptions of drug hearings, and review decisions. Disposition: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>630-04</td>
<td>Controlled Substances Reporting Files. Reports accounting for stocks of narcotic controlled substances, excluding theft/loss reports. Included are reports from manufacturers and importers; reports of distributors and exporters; reports from manufacturers importing opium; reports of manufacturers importing medicinal coca leaves; reports from manufacturers importing special coca leaves; reports from manufacturers of bulk materials or dosage units; reports from packagers and labelers;</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>reports from importers and exporters; reports from distributors; reports from manufacturers importing concentrate of poppy straw; reports of disposal and destruction of controlled substances; feeder reports; consolidated reports; and analyses.</td>
<td></td>
</tr>
</tbody>
</table>

Comp. Schedule No. 1:

Item 10.

Registration Application Files. Documents pertaining to application by individuals who currently or propose to manufacture, distribute, or dispense controlled substances. Included are application forms for registration and reregistration; approval, denial, revocation, or suspension of registration; and delinquency notice of registration.

Disposition:  a. Approved registration applications: Destroy 8 years after approval of application.  b. Administrative coded registration applications (denial, revocation, suspension, etc): Transfer files to Federal records center 10 years after administrative coded action. *Destroy 5 years after administrative coded action.*

Item 20.

Import/Export Permit Files. Documents pertaining to applications to import or export controlled substances. Included are copies of applications for permit to import opium or coca leaves; permit to export controlled substances; and controlled import/export declaration.

Disposition: Destroy 8 years after approval for issuance of permit.

Item 20.

Controlled Substances Order Form Files. Documents relating to the issuance of order forms for the transfer of controlled substances; non-acceptance of order forms; return of unused order forms; cancellation or voiding of order forms; and alteration of order forms.

Disposition: Destroy 3 years after issuance of order form.

* Revision
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>630-08</td>
<td><strong>Manufacture and Purchase Quota Files.</strong> Documents relating to estimates of controlled substances required for procurement, manufacture, stockpiling, and medical/scientific use. Included are reports furnished to the United Nations; and statistical returns on drug production, utilization, consumption, import, export, and seizure.</td>
<td>a. Office performing DEA-wide staff responsibility: (1) Record copy of annual reports required by international conventions or treaties; annual statistical summary of the manufacture and domestic and international trade in narcotics: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old. (2) Other documents: Destroy 8 years after fiscal year in which quota was established. b. Other offices: Destroy 3 years after fiscal year in which quota was established.</td>
</tr>
<tr>
<td>630-09</td>
<td><strong>Registration Journal Voucher Files.</strong> Documents relating to receipt of fees from applicants for registration or reregistration of controlled substances, and refunds to applicants.</td>
<td>Destroy 3 years after approval of issuance of permit.</td>
</tr>
<tr>
<td>630-10</td>
<td><strong>Drug Identification Label Files.</strong> Drug labels and brochures which list the medical ingredients of drug/narcotic preparations that are manufactured or distributed by a specific company.</td>
<td>Destroy when superseded or obsolete.</td>
</tr>
</tbody>
</table>
These files relate to planning, conducting, supervising, and evaluating the DEA drug/narcotic enforcement program training.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>801-01</td>
<td>Training Facility Requirement Files. Documents related to determining requirements for training facilities to include requirements for acquisition, activation, retention, utilization, expansion, consolidation, inactivation, or disposition. Included are studies, justifications, and similar or related documents. Disposition: Destroy 5 years after approval of training facility requirements.</td>
</tr>
<tr>
<td>801-02</td>
<td>Training Operation Files. Documents related to planning and conducting agent, police, intelligence, chemist, special field exercises, and other actual training operations. Included are exercise plans, observation and inspection reports, scenarios, critiques, map exercises, general training programs, technical training programs, final reports and comments on them, and similar or related documents. Disposition: Destroy 3 years after discontinuance of training exercise or operation, or when plans are superseded or become obsolete.</td>
</tr>
<tr>
<td>801-03</td>
<td>Training Evaluation Files. Documents relating to inspections of the status and quality of individual training. Included are training inspection reports, reports of corrective action, and similar or related documents. Disposition: Destroy 2 years after conduct of evaluation.</td>
</tr>
<tr>
<td>801-04</td>
<td>School Planned Input Files. Documents related to the planning, execution and revision of personnel inputs for school courses. Included are comprehensive statements of the training needs of each activity authorized to send students to DEA schools, schedules of schools and classes to accommodate planned inputs, allocation of school quotas to input activities, coordinating documents, and similar or related documents.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>801-05</td>
<td><strong>Disposition:</strong> Destroy 3 years after receipt of input data. <strong>School Reporting Files.</strong> Documents reflecting such information as the number of school enrollments, turnbacks, graduates, and failures; and number of personnel enrolled from other federal agencies. Included are forms, printouts, correspondence, and similar or related documents.</td>
</tr>
<tr>
<td>801-06</td>
<td><strong>Disposition:</strong> Destroy 2 years after date of report. <strong>Target Practice Files:</strong> Documents indicating the time of firing with live ammunition, the area involved, firing safety measures, and similar matters. Included are forms, cards, correspondence, and similar or related documents.</td>
</tr>
<tr>
<td>801-07</td>
<td><strong>Disposition:</strong> Destroy 1 year after conduct of firing. <strong>Training Media Files.</strong> Documents accumulated by activities engaged in training operations, particularly in the conduct of training. Included are training schedules, programs, lesson plans, and similar or related documents.</td>
</tr>
<tr>
<td>801-08</td>
<td><strong>Disposition:</strong> Destroy 1 year after conduct of training operation, except that lesson plans will be destroyed when superseded or obsolete. <strong>Instructor Information Files.</strong> Documents accumulated to provide a locally available record of qualifications, experience, effectiveness, and comparable information on potential instructors, assigned instructors, and guest speakers. They are used in requesting assignment or employment of instructors, utilizing instructors, and determining their need for additional training. Included are instructor evaluation forms, qualification data, biographical sketches and similar or related documents.</td>
</tr>
</tbody>
</table>

77-15 ADMINISTRATIVE MANUAL 1/31/77
ENFORCEMENT INDIVIDUAL TRAINING FILES

These files relate to the attendance and proficiency of individuals participating in various types of the DEA drug/narcotic training.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>810-01</td>
<td>Individual Training Recod Files. Documents indicating attendance at various phases of training, evaluation of individual students, mandatory training progress, educational records and activities, test scores on training activities, and similar information concerning the progress and attendance of each individual participating in the DEA drug/narcotic training. Included are cards, card forms, and similar or related documents. Disposition: Forward evaluation reports with the transfer of the individual. Destroy remaining records 5 years after completion of schooling or withdrawal of the student.</td>
</tr>
<tr>
<td>810-02</td>
<td>Proficiency Test Files. Documents reflecting degree of proficiency in enforcement training such as weapons qualification. Included are proficiency tests and similar or related documents. Disposition: Destroy after appropriate entry has been made on the qualification card or on the individual's training record.</td>
</tr>
</tbody>
</table>
### FOREIGN NATIONAL TRAINING FILES

These files relate to the DEA drug/narcotic enforcement training of personnel of friendly foreign nations.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>820-01</td>
<td>Foreign Training Program Files. Documents relating to the development of programs for the training of foreign nationals by DEA. Included are communications on training requirements with the foreign nation concerned, acceptances, cancellations, program guidance, and similar or related documents.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 3 years after termination of program training requirement.</td>
</tr>
<tr>
<td>820-02</td>
<td>Foreign Training Program Control Files. Documents reflecting the category of training, number of spaces programmed, number and cost of training spaces allocated, and similar data for each country supported.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 2 years after fiscal year in which training was programmed.</td>
</tr>
<tr>
<td>820-03</td>
<td>Training Assistance Files. Documents related to training furnished foreign nations by DEA mobile training teams. Included are requests for training teams, comments of DEA Foreign Regions, acceptances, cancellations, foreign training effectiveness reports, and similar or related documents.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 3 years after fiscal year in which training was programmed.</td>
</tr>
<tr>
<td>820-04</td>
<td>Foreign National Personnel Files. Documents related to selecting and processing foreign nationals for training in DEA facilities. Included are biographical data on the student, other foreign student data, copies of academic reports, and similar or related documents.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 5 years after fiscal year in which training was conducted.</td>
</tr>
<tr>
<td>820-05</td>
<td>Foreign Training Reporting Files. Documents reflecting the status and progress of foreign nationals being trained by DEA personnel. Included are training reports and similar or related documents.</td>
</tr>
</tbody>
</table>
Disposition: Destroy 3 years after fiscal year in which training was conducted.
These files relate to the construction of training devices, the preparation of graphic training aids, the status of training publications, the accomplishment of training film projects, and controls over the production and issuance of such materials.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>830-01</td>
<td>Training Aids Program Files. Documents relating to the formulation of annual programs for the development, production, and procurement of training aids. Included are graphic aids development programs, lists of film projects recommended for production, lists of approved film projects, and similar or related documents. Disposition: Destroy 5 years after training program is implemented. <strong>Note: Dispose of audio-visual records in accordance with instruction covering related audiovisual records described under 830-02.</strong></td>
</tr>
</tbody>
</table>
| 830-02   | Training Aids Files. Training aids developed or produced for local use or distribution. Included are graphic training aids, such as charts, diagrams, maps, and illustrations; locally produced training films; training devices specifications, photographs, transparencies, and other reproductions of the aforementioned material; instructional material such as instructional notes, illustrative problems, practical exercises, and checklists; and related correspondence and comparable material used in presentation of the subject and completion of training by students; and audiovisual records **(as described under General Records Schedule 21)** that depict specialized or unique training techniques/methods, and training of foreign law enforcement personnel in overseas areas. Disposition: a. Office performing DEA-wide staff responsibility: (1) Documentation of training aids that illustrate unique enforcement-related training methods: (a) Audio-visual material: Permanent. Offer to NARS in accordance with General Records Schedule 21. (b) Other materials (textual records): Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15

**Revision**

**Addition**
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>830-03</td>
<td>Training Aid Work Order Files. Documents reflecting requests for construction or manufacture of training aids. Included are work orders, cost estimates and data, sample illustrations, photographs, clippings, correspondence, and similar or related documents. Disposition: Destroy 1 year after completion or discontinuance of the related work.</td>
</tr>
</tbody>
</table>

* Revision

78-11 ADMINISTRATIVE MANUAL 3/15/78
DEA EMPLOYEE TRAINING FILES

These files relate to education and training of DEA personnel in other federal agency schools, educational institutions and commercial organization, including on-the-job and off-the-job training, in order to meet special requirements essential to the performance of the mission of the activity to which they are assigned.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>860-01</td>
<td>Training and Promotion Agreement Files. Documents related to negotiating master training and promotion agreements with the Civil Service Commission in professional fields in which there is a current and continuing DEA-wide shortage of available personnel. Included are requests for establishment of training programs not currently authorized by regulations, agreements, program approvals, and similar or related documents. Disposition: a. Office responsible for negotiating the agreement: Destroy when agreement is superseded or obsolete. b. Other Offices: Destroy 2 years after fiscal year in which training was programmed.</td>
</tr>
<tr>
<td>860-02</td>
<td>School Planning Files. Documents pertaining to planned requirements for training, selection of schools and courses, arrangements for special noncatalog courses, program revisions, and related matters. Disposition: Destroy 5 years after fiscal year in which training was programmed.</td>
</tr>
<tr>
<td>860-03</td>
<td>School Admission Files. Documents relating to the admission of DEA personnel to schools and courses. Included are requests for admission, statements of acceptance, notifications of acceptance, completion statements, costs, and similar or related documents. Disposition: Destroy 2 years after completion of schooling, rejection of the individual or withdrawal of the student.</td>
</tr>
<tr>
<td>860-04</td>
<td>Training Reporting Files. Documents reflecting the status of employee training in Government and non-Government facilities. Included are reports and related documents. Disposition: Destroy 3 years after submission of report.</td>
</tr>
</tbody>
</table>
### File No. Description

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>860-05</td>
<td>Training Program Files. Documents relating to the establishment, management, and evaluation of local training programs for DEA employees. Included are training plans, reviews of training requirements, apprentice training program registration with the Department of Labor, and similar or related documents. Disposition: Destroy 5 years after the fiscal year in which the training was programmed.</td>
</tr>
<tr>
<td>860-06</td>
<td>Contract Training Files. Documents reflecting contract training of DEA employees in non-Government facilities. Included are requests for approval of the training, justification, obligated service agreements, recommendations for waivers, approvals, and similar or related documents. Disposition: Destroy 3 years after completion of training or upon expiration of obligated service agreement.</td>
</tr>
<tr>
<td>860-07</td>
<td>Record of Training Files. Documents reflecting information pertinent to individual trainee participation in off-the-job training courses, completed record of training forms, and similar or related documents. Disposition: Review annually and destroy that portion pertaining to individuals who are no longer employed by DEA.</td>
</tr>
<tr>
<td>860-08</td>
<td>Training Material Files. Documents used in the training of DEA personnel through short on-site training courses and instructional conferences. Included are minutes and agenda of instructional conferences, course outlines, handouts, instruction sheets, and similar or related documents. Disposition: Destroy 2 years after superseded or obsolete.</td>
</tr>
</tbody>
</table>
LABORATORY FILES

These files are accumulated from laboratory analysis and examination of drug and non-drug evidence.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>901-01</td>
<td>Laboratory Case Files. Documents related to the analysis of drug and non-drug evidence. Included are evidence accountability and disposition records, chemists worksheets, ballistics reports, and related analytical documents.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Transfer case files to Federal records center 2 years after close of investigative case. Destroy 10 years after close of investigative case.</td>
</tr>
<tr>
<td>901-02</td>
<td>Index Book Files. Ledgers that are maintained for the purpose of recording evidence that is received in the laboratory.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Transfer ledgers to Federal records center 2 years after the last recorded investigative case is closed. Destroy 10 years after the close of the last recorded investigative case.</td>
</tr>
<tr>
<td>901-03</td>
<td>Evidence Accountability Files. This is a temporary file and consists of the original copies of the Evidence Accountability Record, Form DEA-307.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Upon final disposal of the evidence, transfer the original copy of the Evidence Accountability Record to the Laboratory Case Files (901-01).</td>
</tr>
<tr>
<td>901-04</td>
<td>Laboratory Reporting Files. Retained copies of recurring reports, and related correspondence, required by the DEA Laboratory Operations Manual.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy 3 years after date of report.</td>
</tr>
</tbody>
</table>
These records are accumulated from processes involving the development of long range guidance for research and technology based on the DEA drug/narcotic requirements.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>930-01</td>
<td>R&amp;D Planning Files. Documents that accumulate from the process of developing long range plans or forecasts in research and technology. They involve the establishment of schedules to achieve the DEA's long range research and technological objectives, the formulation of new concepts and requirements in research and technology for planning purposes, and similar matters. Included are research and technological long range plans or forecasts and documents contributing to the development of the plans or forecasts. Disposition: Destroy 5 years after fiscal year in which plan was implemented.</td>
</tr>
<tr>
<td>930-02</td>
<td>DEA Scientific Advisory Committee Files. Documents accumulated by the chairman of the DEA Scientific Advisory Committee concerning review and evaluation, appraisal of facilities, and study and recommendations on special problems of research and technology in DEA. Included are documents reflecting actions taken and matters considered by the panel, such as agenda of meetings, minutes of meetings, reports and recommendations distributed to panel members, and similar documents. Disposition: a. <em>Office of DEA committee chairman or senior DEA representative:</em> (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 10 years old. (2) Other documents <strong>(extra copies)</strong>: Destroy 5 years after meeting of the committee. b. Offices of committee members: Destroy 2 years after meeting of the committee.</td>
</tr>
<tr>
<td>930-03</td>
<td>Scientific Research Schedule Files. Documents relating to cost projections for research projects, including information about program objectives in terms of projects, tasks, status and time phasing for research, and funds required. Disposition: Destroy 2 years after completion or cancellation of project.</td>
</tr>
</tbody>
</table>

* Revision ** Addition
Unfunded Study Files. Documents accumulated in providing information for use in, and in exchange for copies of studies conducted and funded by civilian concerns as part of their drug/narcotic oriented research programs. Included are study assistance requests for applications, coordinating actions, policy agreements governing the release of information, copies of studies and evaluations thereto, and related papers.

Disposition: Destroy 5 years after receipt of study.

Problem Statement Files. Documents accumulated in providing information on individual research and technological problems and needs to industrial, academic, and non-profit research concerns. The information enables the concerns to determine how they can most effectively seek participation in DEA Narcotic Research Program, to prepare and submit unsolicited proposals directed toward solving the stated needs, and to orient their research and technological programs toward maintaining the capability for response to definite requirements for research or hardware technology. Included are problem statements, coordinating actions, communications from qualified concerns indicating whether or not they can assist in fulfilling the stated needs, and related papers, but not unsolicited proposals, or reports equivalent thereto resulting from the problem statement.

Disposition: Destroy 2 years after revision, cancellation, or expiration of the problem statement.

Information-To-Industry Briefing Files. Documents created in briefing representatives of industrial, academic, and non-profit research concerns, on current drug/narcotic research problems and anticipated requirements. Included are briefing invitations and announcements, registration documents, listings of attendees, agendas, minutes of briefings or copies of presentations given, and related papers.

Disposition: Destroy 5 years after conduct of briefing.
Unsolicited Proposal Files. Documents relating to the receipt and administration of the evaluation of unsolicited disclosures, data, suggestions, ideas, plans, sketches, drawings, information, discoveries, models, samples, or comparable inventive proposals, but not proposals responding to requests for quotation or requests for bids for basic research or submitted by scientific personnel in line of duty or under the incentive awards program. Included are proposals from private individuals, memoranda of understanding, communications with submitters, evaluations, and related papers.

Disposition: Destroy 5 years after receipt of proposal.
RESEARCH AND DEVELOPMENT CONTROL FILES

These records relate to the administration and control over drug/narcotic research projects, and the collection, dissemination, and exchange of scientific information.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>940-01</td>
<td>Foreign Scientific Information Files. Documents relating to relationships with foreign nations requesting the exchange and collection of scientific information. Included are papers relating to plans for cooperation, discussions, visits with foreign government officials, and comparable relationships. Disposition: Destroy 5 years after approval of exchange of information.</td>
</tr>
<tr>
<td>940-02</td>
<td>Project Control Files. Documents accumulating from the supervision, management, and administration of drug/narcotic research, development, test, and evaluation of projects. Included are documents relating to project appraisals; recommendations for project initiation, termination, or cancellations; review and analysis of specific research projects; and other papers relating to the projects. Arrange files by project serial number and nomenclature, or title. Disposition: Destroy 5 years after completion, termination, or cancellation of the project.</td>
</tr>
<tr>
<td>940-03</td>
<td>Project Register Files. Registers, listings, index cards, and related documents used to record information on projects and tasks, such as project or task number and title, project or task office, and contract number. Disposition: Destroy 5 years after projects listed in register are completed.</td>
</tr>
<tr>
<td>940-04</td>
<td>Project Reporting Files. Reports prepared by DEA containing information about individual research, development, test, and evaluation projects and project tasks, including the identification, time phasing, requirements and objectives, and other information about the project or task. Included are research and technology resumes, development plans, or similar reports.</td>
</tr>
</tbody>
</table>
### File No. Description

**Disposition:** Destroy on completion or cancellation of the project, or when no longer needed for reference.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
</table>
| 940-05   | **Project Case Files.** These consist of one copy of each preliminary, progress, or final technical report or publication; contract or grant agreement, with changes, modifications, or addendums thereto; test reports and comparable test data; feasibility, cost effectiveness, and state-of-the-art study reports from scientific journals which pertain to research projects supported by DEA.  

**Disposition:** Destroy 15 years after completion, termination, or cancellation of project. |
| 940-06   | **Technical Report Reference Files.** Documents maintained in organized library type collections to provide reference for DEA in-house research activity. They include one copy of each technical report or publication issued by the organization or received from its contractors and one copy of those reports of interest which are received from other sources.  

**Disposition:** Destroy when superseded or obsolete. |
| 940-07   | **Scientific and Raw Data Files.** Documents maintained and used by scientific personnel for research, development, and test of an item, a group of items, or within a field of scientific inquiry. Included are scientific notes; drafts of technical reports and articles; telemetering, oscilloscopes, and time and motion films and recordings; tapes; punched cards, sound recordings; and similar rough or raw data which is not made a part of the official project case file.  

**Disposition:** Destroy on incorporation or summarization of the data in a technical report or paper; on completion of the project, or when no longer needed for research within the field of inquiry. |
COMMUNICATIONS REQUIREMENTS FILES

These files accumulate from the development and reporting of requirements for communications-electronic facilities and equipment, including COMSEC equipment.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>970-01</td>
<td>Communication Representation Files. Documents relating to representation on, and recommendations to other federal agencies, including implementation of decisions on communications, electronic policies, radio frequency allocation, call signs, radio interference, and radio propagation matters. Disposition: Destroy 5 years after approval action on communication requirement.</td>
</tr>
<tr>
<td>970-02</td>
<td>Telecommunication Facility Project Files. Documents relating to the preparation, validation, and development of projects for the design, construction, and installation of telecommunications services, equipment, facilities, networks, and systems. Included are project letters, bills of material, maps, drawings, specifications, installation data, completion reports, installed communication equipment property cards, and related papers. Disposition: a. Office performing DEA-wide responsibility: Destroy 2 years after disapproval of the requirement or termination of the project. b. Other offices: Destroy 1 year after disapproval of the requirement or 1 year after discontinuation of the installation or facility.</td>
</tr>
<tr>
<td>970-03</td>
<td>Communication Facility Lease Request Files. Documents relating to requests for providing, rearranging, and removing communication circuits, equipment, and services leased from commercial companies to meet DEA communications requirements. Included are requests for leased facility forms, justification data, and related papers. Disposition: a. Office responsible for final approval: Destroy 10 years after termination of the lease. b. Other offices: Destroy 2 years after termination of the lease.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>970-04</td>
<td>Radio Frequency Files. Documents relating to the authorization, allocation, assignment, correlation, and use of radio frequencies and call signs. Disposition: a. Correspondence relating to concurrence of the Federal Communications Commission: Destroy after 1 year. b. Other documents: Destroy on supersession, cancellation or discontinuance of the assignment of use.</td>
</tr>
<tr>
<td>970-05</td>
<td>Communication Operation Instruction Files. Documents containing information and data on codes, radio frequency assignments, call signs, and lists of holders of code systems. Disposition: Destroy when superseded or obsolete.</td>
</tr>
</tbody>
</table>
COMMUNICATIONS SERVICES FILES

These files accumulate from the administration, use, and maintenance of communications facilities and equipment.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>980-01</td>
<td>Telephone Service Work Order Files. Documents used to request and authorize telephone service on Government-owned systems. Included are requests for telephone service, work orders, and related papers. Disposition: Destroy 1 year after completion of work.</td>
</tr>
<tr>
<td>980-02</td>
<td>Telephone Toll Call Reporting Files. Reports of all authorized official prepaid outgoing, incoming collect, and toll credit card calls. Disposition: Destroy after 3 months, except when discrepancies between these records and toll tickets are found, in which case the files will be held until corrective action has been completed.</td>
</tr>
<tr>
<td>980-03</td>
<td>Communications Equipment Record Files. Documents relating to the modification, testing, and comparable action pertaining to individual items of equipment used in communications systems. Disposition: Destroy on disposal of the related equipment.</td>
</tr>
</tbody>
</table>
COMMUNICATIONS CENTER OPERATIONS FILES

These files accumulate in communications center from the operation of teletypewriter, facsimile, data transmission services, and similar communications services.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>990-01</td>
<td>Communications Center Operation Files. Documents relating to the operation of communications centers and concerning the transmission and receipt of electrically transmitted messages. Included are message registers, supervisory logs, performance reports, interference reports, maintenance work orders, frequency logs, and similar documents, but exclusive of other files described in this schedule.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 1 year after transmission or receipt of message.</td>
</tr>
<tr>
<td>990-02</td>
<td>Communications Center Message Files. Copies of incoming and original authenticated copies of outgoing messages maintained in communications centers.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 1 year after transmission or receipt of message. Earlier disposal is authorized.</td>
</tr>
<tr>
<td>990-03</td>
<td>Monitor Reel Tape Files. Tapes providing a temporary record of transmissions for the purpose of accomplishing tracer actions and making re-transmissions.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Withdraw and destroy 30 days after transmission of message.</td>
</tr>
<tr>
<td>990-04</td>
<td>Service Message Files. Copies of incoming and outgoing service messages relating to traffic handling or operational irregularities. Service messages correcting transmissions are filed with the related message (file no. 990-02).</td>
</tr>
<tr>
<td></td>
<td>Disposition: Withdraw and destroy 30 days after receipt of service message.</td>
</tr>
<tr>
<td>990-05</td>
<td>Operator's Number Sheet Files. Documents indicating the numbers of messages handled on a circuit/channel or piece of communications equipment.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Withdraw and destroy 30 days after assignment of number.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>990-06</td>
<td>Multiple Address and Book Message Processing Files. Documents relating to the processing of multiple and book messages.</td>
</tr>
</tbody>
</table>

**Disposition:** Withdraw and destroy 30 days after message is processed.
MEDICAL PROGRAM FILES

These files relate to physical profiling for DEA personnel and the administration of the DEA Medical Program.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001-01</td>
<td>Medical Review Files. Documents relating to medical fitness for appointment,</td>
</tr>
<tr>
<td></td>
<td>retention in service, promotion, special assignment, and separation.</td>
</tr>
<tr>
<td></td>
<td>Included are extracts of medical examinations and similar or related</td>
</tr>
<tr>
<td></td>
<td>documents.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 3 years after review.</td>
</tr>
<tr>
<td>1001-02</td>
<td>Health Record Files. Health records of criminal investigators and chemists.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Disposition is governed by DEA Administrative Manual.</td>
</tr>
</tbody>
</table>
SAFETY PROGRAM FILES

These files result from a program to prevent or reduce personal injury, occupational diseases, and property damage from accidental causes.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1030-01</td>
<td><strong>Safety Program Files.</strong> Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures; survey reports, safety inspection reports, minutes of safety meetings, and notification of safe and unsafe practices. Included are changes made as a result of the findings of the surveys or inspections, and similar or related documents. Disposition: Destroy 5 years after survey.</td>
</tr>
<tr>
<td>1030-02</td>
<td><strong>Safety Hazard Files.</strong> Documents relating to technical review, advice, and guidance for identifying and eliminating or controlling safety hazards. Included are hazard reports and similar or related documents. Disposition: Destroy 2 years after elimination or completion of measures to control safety hazards.</td>
</tr>
<tr>
<td>1030-03</td>
<td><strong>Safety Awareness Files.</strong> Documents related to developing or selecting materials, such as posters, placards, cartoons, literature, or other means of making personnel aware of safety hazards. Included are copies of posters, placards, and cartoons; newspaper items; photographs; letters; and similar or related documents. Disposition: Destroy 2 years after publication of material.</td>
</tr>
<tr>
<td>1030-04</td>
<td><strong>Safety Award Files.</strong> Documents reflecting the consideration and selection of activities and individuals for recognition of outstanding effort and achievement in the prevention of accidents. Included are approved requests, orders, certificates, citations, disapproved requests, and similar or related documents. Disposition: Destroy 5 years after presentation of award.</td>
</tr>
</tbody>
</table>
ACCIDENT FILES

These files relate to aircraft accidents and incidents, motor vehicle accidents, and marine accidents; fire and explosions; harmful chemical exposures; and other accidents arising from equipment and personnel failures.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1040-01</td>
<td>Accident Case Files. Documents relating to individual accidents. Included are reports of accidents, and investigations thereof, involving aircraft, motor vehicles, fires, damage to DEA property, injury to or death or personnel, and similar or related documents. Disposition: a. Office performing DEA-wide staff responsibility for safety function: Destroy 10 years after close of accident case. b. Offices initiating reports and investigations: Destroy 5 years after close of accident case.</td>
</tr>
<tr>
<td>1040-02</td>
<td>Accident Experience Files. Documents related to the statistical reporting of accidents and summarizing and analyzing accident experience and trends involving aircraft, motor vehicles, fires, personal injury, damage to property and other accidents. Disposition: Destroy 5 years after completion of data.</td>
</tr>
</tbody>
</table>
These files accumulate as a result of controlling and accounting for supplies and equipment by property officers and other responsible individuals.

File No.  Description
1101-01  Property Receipt Files. Cards, lists, hand receipts (Form DEA-16), or comparable documents showing accountable property charged to a DEA activity.

Disposition: Destroy or turn in on complete accounting for property, or when superseded by a new receipt or listing.

1101-02  Equipment Record Files. Documents used, when required to record individual and cumulative repairs (Form DEA-16B), adjustments, and usage of items of equipment.

Disposition: Destroy 2 years after equipment leaves custody of DEA.

1101-03  Property Accountability Transfer Files. Documents attesting the transfer of property accountability from one accountable officer to another. Included are certificates of transfer, inventory lists, and related documents.

Disposition: Destroy 2 years after satisfactory transfer of property.

1101-04  Equipment Loan Files. Documents reflecting loan of equipment to or from other Government agencies.

Disposition: Destroy 2 years after turn-in, or other satisfactory accounting for items involved.

1101-05  Report of Survey Files. Reports that describe the circumstances, and recommended action, concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.

Disposition: a. Office performing final review authority: (1) Reports involving pecuniary liability: Destroy 10 years after completion of final action. (2) Other reports: Destroy 3 years after
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<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1101-06</td>
<td>Reports of Survey Register Files. Registers and related documents maintained to control reports of survey.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 10 years after last recorded survey.</td>
</tr>
<tr>
<td>1101-07</td>
<td>Property Officer Designation Files. Documents reflecting the designation of property officers. Included are letters of appointment and revocation.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 2 years after termination of appointment.</td>
</tr>
<tr>
<td>1101-08</td>
<td>Packaging and Handling Deficiency Reporting Files. Reports submitted by receiving activities concerning deficiencies in the preservation, packing, marking, or handling of supplies, equipment, or materials. Included are reports of packing and handling deficiencies, reports of corrective action, and related papers.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 1 year after submission of report.</td>
</tr>
<tr>
<td>1101-09</td>
<td>Excess Property Reporting Files. Reports used to disseminate information concerning availability of excess property. Included are reports of excess personal property, listings, cards forms, and similar documents.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 1 year after date of report.</td>
</tr>
<tr>
<td>1101-10</td>
<td>Equipment and Supply Requisition Files. Documents relating to requests for supplies and equipment (expendable and non-expendable), rentals of equipment with supporting correspondence, and copies of requisitions.</td>
</tr>
</tbody>
</table>
These files result from control and utilization of facilities that are used or occupied by DEA activities.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1110-01</td>
<td>Facilities Utilization Files. Documents relating to the control and allocation of office space. Included are space allocations, space reports, requests for additional space or changes in space locations, space release, surveys of space requirements, office layouts, and similar documents. Disposition: Facilities office: Destroy 5 years after approval of allocation or space requirement. Other offices: Destroy 3 years after completion of action. Earlier disposal is authorized.</td>
</tr>
<tr>
<td>1110-02</td>
<td>Floor Plan Files. Reference copies of floor plans for DEA activities. Disposition: Facilities office: Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>1110-03</td>
<td>Facilities Services Files. Documents related to custodial services required by an activity; installation of telephones; changes to telephone directories; issuance of keys and locks; modification, repair, or change of heating, lighting, ventilation, cooling, electrical, and plumbing systems; painting, partitioning, repairing, or other aspects of office landscaping; and similar documents. Disposition: Destroy 2 years after completion of work or cancellation of request.</td>
</tr>
</tbody>
</table>
These files relate to the control and management of DEA motor vehicles.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1120-01</td>
<td>Vehicle Authorization Files. Requests for procurement or distribution of vehicles indicating requirements, justifications, and approvals or disapprovals thereof.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 2 years after completion of procurement or distribution of vehicles.</td>
</tr>
<tr>
<td>1120-02</td>
<td>Vehicle Control Files. Documents utilized to control the location, custody, assignment, seizure status and other data relative to vehicles.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 2 years <strong>after</strong> vehicle leaves custody of DEA.</td>
</tr>
<tr>
<td>1120-03</td>
<td>Vehicle Identification Plate Files. Documents accumulated in connection with requesting, transferring, issuing, and disposing of United States or local identification plates or license plates.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 5 years after disposal of plates.</td>
</tr>
<tr>
<td>1120-04</td>
<td>Vehicle Operating Cost and Performance Reporting Files. Feeder and summary reports prepared therefrom reflecting cost and performance data relative to vehicle operations. Included are reports of motor vehicle data, vehicle deficiency reports, requests for milage expense and vehicle status etc.</td>
</tr>
<tr>
<td></td>
<td>Disposition: a. Summary reports: Destroy 5 years after compilation of data. b. Other reports: Destroy 3 years after compilation of data.</td>
</tr>
<tr>
<td>1120-05</td>
<td>Vehicle Disposition Files. Requests submitted to Department of Justice or General Services Administration for transfer of excess vehicles or disposal of vehicles that meet or exceed the vehicle replacement standards.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Destroy 5 years after the vehicle leaves custody of DEA.</td>
</tr>
</tbody>
</table>
LIBRARY FILES

These files relate to the operation of the DEA library.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1130-01</td>
<td><strong>Library Voucher Files.</strong> Vouchers, supporting papers, and voucher register and inventory balance record of books.</td>
<td>Destroy 2 years after receipt or accountability of books.</td>
</tr>
<tr>
<td>1130-02</td>
<td><strong>Shelf List Card Files.</strong> Cards indicating all books in the library arranged in the order in which the books stand on the shelves, and reflecting item identification by classification, title, author, voucher number (additions or reductions), and other information necessary to facilitate the processes of accountability.</td>
<td>Destroy after all items indicated thereon have been dropped from accountability records.</td>
</tr>
<tr>
<td>1130-03</td>
<td><strong>Library Catalog Files.</strong> Cards enumerating authors, titles, cross-references, and subjects arranged in alphabetical order and indicating descriptive details including location of books on the shelves. Upon transfer of the books to another library, the current library card catalog files will be included in the transfer, if possible.</td>
<td>Destroy when related books have been permanently removed from the library collection.</td>
</tr>
</tbody>
</table>
PERSONNEL MOVEMENT AND TRAVEL FILES

These files relate to the control, administration, and operations involved in the movement of DEA employees and their dependents.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1140-01</td>
<td>Travel Request Files. Documents pertaining to requests for orders placing DEA employees on temporary duty, notices of arrival and departure, approval of issuance of temporary duty orders, placement of personnel on temporary duty, and similar matters. Disposition: Destroy 3 years after fiscal year in which travel was performed.</td>
</tr>
<tr>
<td>1140-02</td>
<td>Conference Travel Files. Documents maintained for the purpose of planning, reviewing, and furnishing information in connection with travel of authorized personnel to attend meetings of technical, scientific, professional, and similar organizations. Disposition: Destroy 3 years after fiscal year in which travel was performed.</td>
</tr>
<tr>
<td>1140-03</td>
<td>Passport Files. Documents relating to passports and visas for DEA employees including their dependents. Included are requests for passports, transmittal letters, receipts for passports, control cards, and related documents. Disposition: Destroy 3 years after issuance of passport or visa.</td>
</tr>
</tbody>
</table>
These files relate to the application of printing, reproduction, binding operations, and equipment; to contract printing; and similar matters.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1150-01</td>
<td>Printing Equipment Control Files. Documents related to granting authority to issue, purchase, rent, exchange, transfer, or dispose of printing, binding, and related auxiliary equipment. Included are requests for approval of and justification for printing and reproduction equipment, Department of Justice and Government Printing Office approval, authorizations for excess equipment to be turned into supply channels for disposal, and related papers. Disposition: Destroy 3 years after disposal of equipment or disapproval of acquisition request.</td>
</tr>
<tr>
<td>1150-02</td>
<td>Printing Report Files. Documents reflecting information on printing operations and equipment, such as individual and cumulative printing jobs, inventory of printing equipment, contract printing costs, and similar data required by the Joint Congressional Committee on Printing. Included are inventory reports of printing and stored equipment, contract printing reports and expenditure statements, comparable reports, and related papers. Disposition: Destroy 5 years after submission of report.</td>
</tr>
<tr>
<td>1150-03</td>
<td>Reproduction Equipment Information Files. Documents accumulated by offices involved in printing and reproduction in keeping abreast of new developments, improved processes, and new principles in printing, binding, and related auxiliary equipment. Included are correspondence with other Federal agencies, or private concerns; technical information and related papers. Disposition: Destroy on supersession or obsolescence of material.</td>
</tr>
<tr>
<td>1150-04</td>
<td>Printing Job Jacket File. Work orders, production and cost records, related processing data and samples of each printing job produced.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
<td>-------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1150-05</td>
<td>Illustration and Drawing Files. Blueprints, drawings, specifications, and artwork used in preparing illustrations for publications.</td>
</tr>
<tr>
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</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>1150-06</td>
<td>Photographic Negative Files. Original basic photographic negatives of material used in preparation of illustrations for publications and duplicates of photographic negatives of artwork used for illustrating publications.</td>
</tr>
</tbody>
</table>
These files are maintained at activities engaged in the receipt, storage, and issue of publications or blank forms.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1160-01</td>
<td>Publication Requisition Files. Documents used in requisitioning nonreimbursable publications, and accountable and nonaccountable blank forms. Included are requisitions, shipping orders, transfer requests, and similar papers. Disposition: Destroy 3 months after completion of action, earlier disposal is authorized.</td>
</tr>
<tr>
<td>1160-02</td>
<td>Status of Publication Files. Forms reflecting the status of publications and blank forms that provide information which is used to determine required supply action. Disposition: Destroy 1 year after last entry on form status.</td>
</tr>
<tr>
<td>1160-03</td>
<td>Initial Distribution Files. Distribution sheets, delivery instructions, correspondence, and related papers pertaining to the distribution of DEA publications. Included are forms reflecting the quantity and type of publications and blank forms required for automatic distribution. Disposition: Documents pertaining to classified publications: a. Destroy 2 years after distribution of publication. b. Destroy superseded forms when replaced by current forms. c. Other documents: Destroy 3 months after distribution of publication. Earlier disposal is authorized.</td>
</tr>
<tr>
<td>1160-04</td>
<td>Accountable Form Receipt and Issue Files. Documents reflecting the receipt or issue of accountable blank forms. Included are receipt forms, listings, and registers. Disposition: Destroy 2 years after receipt or issuance of form.</td>
</tr>
<tr>
<td>1160-05</td>
<td>Accountable Form Authorization Files. Signature cards identifying individuals authorized to receive accountable forms.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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</tr>
<tr>
<td>1160-06</td>
<td><strong>Publication Stock Record Card Files.</strong> Cards reflecting the status of supply of publications and blank forms, including data as to stock levels, quantities on hand, and quantities received or issued.</td>
</tr>
<tr>
<td>1160-07</td>
<td><strong>Publication History and Stock Usage Files.</strong> Forms reflecting the history and usage for each item of stock.</td>
</tr>
</tbody>
</table>
MAIL SERVICES FILES

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

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1170-01</td>
<td>Mail Loss and Shortages Files. Documents relating to the recording, reporting, and investigating of losses or destruction of mail including delay, accident, occurrence, or depreciation (theft or rifling) involving mail. Included are reports containing facts surrounding the loss or shortage, investigation progress reports, final investigation reports, records or postal claims, records of lost or rifled mail, and related papers. Disposition: Destroy 3 years after completion of the investigation.</td>
</tr>
<tr>
<td>1170-02</td>
<td>Mail Routing Guide Files. Documents prepared to facilitate mail delivery, reduce routine errors, and to aid in training new routing clerks. Included are cards, manuals, indexes, and similar papers used as mail routing guides. Disposition: Destroy when superseded or obsolete, except that background papers relating to the guide will be destroyed 2 years after publication of guide.</td>
</tr>
<tr>
<td>1170-03</td>
<td>Accountable Mail Receipt Files. Documents reflecting the receipt and dispatch of registered, certified, and numbered insured mail. Disposition: Destroy 2 years after receipt or dispatch of mail.</td>
</tr>
<tr>
<td>1170-04</td>
<td>Mail Control Files. Documents relating to the control of incoming and outgoing mail. Included are routing and suspense slips, delivery receipts, logs of incoming and outgoing mail, records of messenger trips, and similar papers. The records of delivery of accountable mail, when filed with mail control files, will be disposed of as accountable mail receipt files. Receipts for classified documents, when filed with mail control files, will be disposed of as classified document receipt files. Return receipt requested postal forms accumulated by DEA</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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<tr>
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<td>purchasing activities as the result of the transmission of either contractual documents or correspondence directing specific procurement actions by registered mail, will be considered as record segments of the contract to which they relate. Such receipt forms will be filed with related contracts and retained in accordance with disposition instructions for contract files.</td>
</tr>
<tr>
<td>Disposition: Destroy 1 year after receipt or dispatch of mail.</td>
<td></td>
</tr>
<tr>
<td>1170-05</td>
<td>Mail Hours of Collecting Files. Documents indicating pick-up and delivery of mail to offices.</td>
</tr>
<tr>
<td>Disposition: Destroy when superseded or obsolete.</td>
<td></td>
</tr>
<tr>
<td>1170-06</td>
<td>Mail Production Files. Production reports of mail handled and work performed.</td>
</tr>
<tr>
<td>Disposition: Destroy 2 years after compilation of data.</td>
<td></td>
</tr>
</tbody>
</table>
ADP DOCUMENTATION FILES

These files consist of those records required for servicing machine-readable records and for converting them from encoded data to usable information. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. The disposition of documentation files is linked to disposition of the machine-readable files serviced.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1201-01</td>
<td>Data Systems Specifications Files. Documents containing definitions of the system including functional requirements, data requirements, system/sub-system specifications request for the system, and authorizing directives.</td>
</tr>
</tbody>
</table>

**Disposition:**

a. Disapproved proposed system:
   Destroy one year after final action.
b. Approved system for which all related magnetic data files are authorized for disposal:
   Destroy one year after termination of the system.
c. An approved system for which any related magnetic data file is not authorized for disposal:
   Retain with related magnetic data file.

| 1201-02  | System Test Documentation Files. Documents consisting of test plans, test data, and test analysis reports. |

**Disposition:**

a. Approved system:
   Destroy one year after discontinuance of the system.
b. Disapproved proposed system:
   Destroy one year after final action.

| 1201-03  | File Specifications Files. Documents consisting of definitions of the logical and physical characteristics of each record element or item of data in the file, including names and tags or labels; relative position, form, format, and size of data elements (record layout); specification of all codes used, cross reference code manual; security and privacy restrictions; integrity and validity characteristics; update and access conditions; and recording media and volume. |

**Disposition:**

a. A system for which all related magnetic data files are authorized for disposal:
Appendix 07D

File No. Description

1201-04

Destroy with final related magnetic data file.
b. A system for which any related magnetic data file is not authorized for disposal: Retain with related magnetic data files.

1201-05

User Guide Files. Documents consisting of information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability of when and how to use it; and serves for the preparation of input data and the interpretation of results.

Disposition: Handbooks, guides to data availability, and procedures for querying files: Retain with data systems specifications.

1201-05

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

Disposition: Listings of each type of output by title and tag, format specifications, selection criteria volume and frequency, media, graphic displays and symbols, security and privacy conditions and disposition of output: Destroy three years after related report is discontinued.

1201-06

ADP Report Files. Documents printed in final report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed.

Disposition: Systems which require retention of related data: Retain one copy with related file specifications.

1201-07

Information Retrieval Routine Files. Documents related to a series of machine instructions designed to retrieve information from specific data systems.

Disposition: a. General purpose programs: Destroy when no longer needed. b. Special purpose programs for data files for which disposal is authorized: Destroy with related data files. c. Special purpose programs for data files for which disposal is not authorized: Retain with related data file.
These are machine-readable files, aside from master files, which comprise most of the life cycle of computerized records. Processing files, from work files and raw data input files to publication files and security backup files, are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they are generally not intended for long term retention.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1210-01</td>
<td>ADP Work Files. Temporary computer sensible(^1) media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges. Disposition: New media, or media not included in a library control system, or files whose retention dates have expired: Available for immediate use or reuse.</td>
</tr>
<tr>
<td>1210-02</td>
<td>ADP Test Files. Computer sensible(^1) media used in testing a proposed program. Disposition: a. Media used by programmers for individual run testing and not under library control: Destroy after system has been accepted or discontinued. b. System debugging test data: Destroy when related program is discontinued. c. System acceptance test data: Destroy when related program is discontinued.</td>
</tr>
<tr>
<td>1210-03</td>
<td>Initial Data Abstract Files. Computer sensible(^1) media containing data abstracted from source documents or other media and entered into the system for the first time. Disposition: a. Data used for updating and required to support reconstruction of master file: Destroy after third update cycle.(^2) b. Data not required to support reconstruction of master file and/or used as input for a one-time study, survey or experiment: Destroy in accordance with DEA computer systems documentation. c. Media officially designated to replace or serve as the basic source data in lieu of the hard copy or other input source document: Destroy in accordance with instructions documenting the same process, transaction, or case.</td>
</tr>
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Deletion
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<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1210-04</td>
<td><strong>Initial Data Reference Files.</strong> Computer sensible media files created by another agency.</td>
<td>Media not a record of the receiving agency: Destroy as reference material.</td>
</tr>
<tr>
<td>1210-05</td>
<td><strong>Initial Data Card/Tape Abstract Files.</strong> Punched cards or paper tape containing data abstracted from source documents and used for conversion to magnetic media or processing on electric accounting machine equipment created after January 1, 1970.</td>
<td>a. Data retained by ADP operational elements as backup to magnetic media: Destroy after third update of related magnetic file. b. Electric accounting machine output listings and reports: Destroy after 180 days if used in processing without being converted to magnetic media. c. Data converted to magnetic media: Destroy after verification of data on related magnetic media.</td>
</tr>
<tr>
<td>1210-06</td>
<td><strong>Initial Data Source Files.</strong> Punched cards that contain original entry data with film or written inserts.</td>
<td>Source documents: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transactions, or case.</td>
</tr>
<tr>
<td>1210-07</td>
<td><strong>Intermediate Data Input/Output Files.</strong> Computer sensible media containing output within or from one run to a subsequent run that manipulates, sorts, and or moves data through the system, includes checkpoint, edit, correction, reject list, unmatched data eliminating error, and rerun files.</td>
<td>a. Media used in an updated system: Destroy after subsequent data files that contain the accepted detail data have been created and proven satisfactory. b. Media used in a one-time study or survey: Destroy after master date file has been proven satisfactory.</td>
</tr>
<tr>
<td>1210-08</td>
<td><strong>Valid Transaction Files.</strong> Computer sensible media containing valid file of items used with a master data input file for creation of a master data output file.</td>
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<tr>
<td>File No.</td>
<td>Description</td>
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</tr>
<tr>
<td>1210-09</td>
<td><strong>Information Retrieval System Master Reference Files.</strong> Computer sensible media containing data created by the merging of prior master file with valid transactions data to create a new master file. Disposition: Cumulative index to scientific and technical publications, and bibliographic and other non-record material: Destroy after third update cycle.2***</td>
<td></td>
</tr>
<tr>
<td>1210-10</td>
<td><strong>Security Backup Files.</strong> Computer sensible media that is identical in format to the master file and retained as security in case the master file is damaged or inadvertently erased. Disposition: a. Updated media: Destroy after third update cycle.2 b. A one-time study or survey: Destroy in accordance with standards for disposal of corresponding master file.</td>
<td></td>
</tr>
</tbody>
</table>

Next page is 127.

*** Deletion
1. The term "computer sensible" is used in order to include media which are not magnetic storage devices. Computer cards, for instance, are still widely used. Technological advances forecast computer sensible non-magnetic storage devices likely not to be erasable and reusable.

2. "Dispose of after third update cycle" indicates that the first generation data may be disposed of after the fourth successful update.

3. Records received from another agency become the records of the receiving agency under either of two conditions:
   a) when the data are merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; or
   b) when the data are provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.
ADP MASTER FILES

These files constitute the definitive state of a data file in a system at a given time. Such files are partly categorized on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and the frequency with which its machine-readable output should be subject to archival appraisal.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1220-01</td>
<td>Housekeeping System Master Files. Computer sensible media containing data for such &quot;housekeeping systems&quot; as fiscal accountability, supply management, and payroll administration. Disposition: a. Media not required for GAO site audit: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case. b. Media required for GAO site audit: Destroy in accordance with functional guidelines provided by GAO.</td>
</tr>
<tr>
<td>1220-03</td>
<td>Re-Formated Files. Computer sensible media containing essentially duplicate data from the master data file but which is created for use with other computer hardware. Disposition: a. Media created for the specific purpose of information interchange: Destroy as provided for related master data file. b. Data of specific application for agency computer hardware systems: Destroy when determination is made that such format is unnecessary.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
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</tr>
<tr>
<td>1220-06</td>
<td>Defendant Data (Statistics) System. Machine-readable records containing data relating to persons arrested for drug law violations by Federal law enforcement officials. Provides statistical information on drug trafficking and data to support the evaluation of law enforcement practices and procedures. Covers 1971 to the present. Disposition: Destroy 10 years after system is discontinued.</td>
</tr>
<tr>
<td>1220-07</td>
<td>Drug Abusers Reporting System. Machine-readable records used to provide a data base for furnishing information for research into drug abuse and for law enforcement purposes. Contains data relating to persons arrested for any crime whom the arresting officer suspects as being addicted to narcotics or chronically abusing narcotics. Covers 1970 to the present. Disposition: Destroy 10 years after system is discontinued.</td>
</tr>
<tr>
<td>1220-08</td>
<td>Ballistics Intelligence Tables System. Machine-readable records which provide drug intelligence for law enforcement purposes. Contains records of tool mark and chemical analysis of illicitly and illicitly made drug tablets. Covers 1970 to the present. Disposition: Destroy 10 years after system is discontinued.</td>
</tr>
<tr>
<td>1220-09</td>
<td>Controlled Substances Act Registration Records (CSA). Machine-readable records containing data on individuals by name; physicians and related practitioners, dentists, veterinarians, persons conducting research with controlled substances; distributors, manufacturers, exporters, and importers of controlled substances, and pharmacies. Provides a data base of all handlers required to register under the Comprehensive Drug Abuse Prevention and Control Act of 1970. Covers 1971 to the present. Disposition: Destroy 10 years after system is discontinued.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>1220-10</td>
<td>Automated Records and Consumated Orders System/ Diversion Analysis and Detection System (ARCOS/ DAUDS). Machine-readable records under the Comprehensive Drug Abuse Prevention and Control Act of 1970. Used to provide statistics necessary to make estimates of narcotic substances to be manufactured for medical and scientific needs of the United States, legal exports, and maintenance of reserves. Also produces various reports that indicate suspected diversion of drugs to illegal channels. Covers 1975 to the present. Disposition: Destroy 10 years after system is discontinued.</td>
</tr>
<tr>
<td>1220-11</td>
<td>Narcotics and Dangerous Drugs Information System (NADDIS). Machine-readable records which enable DEA to carry out its assigned law enforcement and regulatory functions to fulfill United States obligations under the Single Convention on Narcotic Drugs. This system is composed of records on persons, business organizations, ships or vessels, and certain airfields that have been identified in DEA investigative reports. Covers 1972 to the present. Disposition: Destroy 10 years after system is discontinued.</td>
</tr>
<tr>
<td>1220-12</td>
<td>System to Retrieve Information from Drug Evidence (STRIDE). Machine-readable records containing information about drug evidence analyzed in DEA laboratories in order to determine trends of drug abuse and trafficking by time and place, to warn of new drugs being abused, to identify common sources of illegal drugs, to warn of illicit distribution of licit drugs, to supply data on the availability of drugs, and to provide drug removal and management statistics. Contains information such as drug identification, purity, weight, secondary ingredients, color, texture, etc. Covers 1973 to present. Disposition: Destroy 10 years after system is discontinued.</td>
</tr>
</tbody>
</table>
1. The term "computer sensible" is used in order to include media which are not magnetic storage devices. Computer cards, for instance, are still widely used. Technological advances forecast computer sensible non-magnetic storage devices likely not to be erasable and reusable.

2. "Dispose of after third update cycle" indicates that the first generation data may be disposed of after the fourth successful update.

3. Records received from another agency become the records of the receiving agency under either of two conditions:
   a) when the data are merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; or
   b) when the data are provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

   In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.
FORMS MANAGEMENT FILES

These files relate to the planning and execution of procedures to standardize, design, construct, and control the use, numbering, and distribution of forms.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1301-01</td>
<td>Forms Management Reporting Files. Documents relating to reports on progress in forms management. Included are reports, worksheets, and correspondence directly related to the reports. Disposition: Destroy 5 years after completion of requirement.</td>
</tr>
<tr>
<td>1301-02</td>
<td>Forms Numerical Files (Internal). Documents accumulating in offices having authority to approve forms and resulting from the consideration, approval, control during existence, and revision or rescission of specific forms. Included are requests for approval of forms, justifications, coordination papers, instructions governing use of the form, and a copy of each edition of the form. Disposition: Destroy 5 years after discontinuance of the form.</td>
</tr>
<tr>
<td>1301-03</td>
<td>Forms Numerical Files (External). Documents relating to forms used within the jurisdictional area of the forms management office but approved by other agencies or offices. Included are copies of forms, instructions for use, and coordination papers. Disposition: Destroy 1 year after discontinuance of the form.</td>
</tr>
<tr>
<td>1301-04</td>
<td>Forms Functional Files. A collection of forms arranged by functional classification, used to assist in taking forms management actions, such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the forms management office. Disposition: Destroy when form is discontinued, superseded, or obsolete.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
</tr>
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</tr>
<tr>
<td>1301-05</td>
<td><strong>Forms Number Register Files.</strong> Documents used to record and control the assignment of form number, consisting of an entry in the register for each assigned form number.</td>
</tr>
</tbody>
</table>

**Disposition:** Destroy on discontinuance or obsolescence all forms entered in the register.
REPORTS MANAGEMENT AND CONTROL FILES

These files result from the direction and operation of DEA reports control system which is designed to control reports; assure that reports are adequate, accurate, and timely; eliminate unnecessary reports; and standardize materials and procedures.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1310-01</td>
<td>Reports Control Files. Documents reflecting action taken in evaluating the requirement for approving and controlling specific reports. Included are applications for approval of reports; copies of pertinent forms or descriptions of format; copies of the requiring directive; preparation instructions; documents relating to continuation, revision, or other change to the report or output; memorandums reflecting results of periodic and special evaluations; documents identifying the relationship of the output to any controlled report to be prepared in whole or in part from the output; and similar or related papers. Disposition: Destroy 10 years after discontinuance of the report or output.</td>
</tr>
<tr>
<td>1310-02</td>
<td>Reports Control and Output Register Files. Documents used to control the assignment of reports control symbols and ADP outputs. Included are registers, ledgers, or comparable documents. Disposition: Destroy when no longer needed for control purposes.</td>
</tr>
</tbody>
</table>
These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use, and disposition of DEA records.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1320-01</td>
<td>Records Management Survey Files. Documents relating to staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.</td>
<td>Destroy 5 years after survey.</td>
</tr>
<tr>
<td>1320-02</td>
<td>Records Management Survey Background Files. Documents used in preparing for records management surveys. Included are organizational charts, statements of function, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes, drafts, and similar or related documents.</td>
<td>Destroy 3 years after next comparable survey. Earlier destruction is authorized.</td>
</tr>
<tr>
<td>1320-03</td>
<td>Congressional Authorization Files. Documents relating to congressional authorization to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, approvals or disapprovals.</td>
<td>Destroy previous schedule when succeeding schedule is approved by NARS.</td>
</tr>
<tr>
<td>1320-04</td>
<td>Records Disposition Standard Files. Communications with the National Archives and Records Service concerning authority for disposition of specific files, including special studies of specific files for the purpose of establishing or revising disposition standards.</td>
<td>Destroy 2 years after publication of disposition of standard or on disposition of all files covered in the standard.</td>
</tr>
<tr>
<td>File No.</td>
<td>Description</td>
<td>Disposition</td>
</tr>
<tr>
<td>----------</td>
<td>-----------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1320-05</td>
<td>Records Locator And Disposition Files. Documents reflecting files that have been transferred or retired. Included are records shipment lists, records transfer lists, and copies or records transmittal and receipt (SF-135).</td>
<td>Destroy 2 years after all records listed thereon have been destroyed.</td>
</tr>
<tr>
<td>1320-06</td>
<td>Microfilming Job Files. Documents relating to appraisal of proposed microfilming projects and control of approved projects. Included are records analysis sheets for proposed microfilming projects, cost summary sheets, studies, justifications, and related material.</td>
<td>Destroy 5 years after completion of project, except that disapproved project files will be destroyed 1 year after disapproval.</td>
</tr>
<tr>
<td>1320-07</td>
<td>Records Holdings Files. Statistical reports of Annual Summary of Records Holdings (SF-136).</td>
<td>Destroy 3 years after submission of report.</td>
</tr>
</tbody>
</table>
These files relate to the preparation, review, and issue of publications and to the maintenance of record and reference sets of publications. Record copies of all publications with related background papers should be filed in appropriate functional files. (Record copy is defined as that copy of publication maintained by the office of record, usually the preparing office, for record purposes as distinguished from the copies of the same publication distributed and maintained for reference purposes.) Record sets of selected publications are required for permanent or long term retention since they are used extensively for future administrative actions and historical or other research.

<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
</table>
| 1330-01  | Publication Record Set Files. These will consist of one copy of each publication or change issued, within the categories specified below. Publications within this set will be filed numerically. Each folder or binder of the record set will be distinctly marked "Record Set."


  b. Functional procedures manuals, legal guidelines, program bulletins, and other official procedural documents will be maintained by originating office.

Comp. Schedule No. 1: Disposition: Office performing DEA-wide staff responsibility: Permanent. Transfer to Federal records center when 5 years old. Offer to NARS when 15 years old.

| 1330-02  | Publication Reference Set Files. Offices responsible for issuing publications will maintain one set for reference purposes when needed or when required by other directives. This set will include a copy of those publications included in the "Record Set" and copies of other publications issued by them for which a "Record Set" is not required. Each folder

** Addition
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1330-03</td>
<td>Publication Manuscript Files. Manuscript copies of publications, printer copies of galley or page proofs or publications, drafts of publications, and other working or control data used in preparation of publications. Disposition: Destroy on printing of publication.</td>
</tr>
<tr>
<td>1330-04</td>
<td>Publication Deviation Files. Documents related to approving deviations or exceptions to standard publication procedures. Included are requests and approvals to distribute local publications outside the jurisdiction of the DEA, authorizations to print in more than one color, authorizations to include emblems on envelopes, and similar deviations or special authorizations. Disposition: Destroy 2 years after expiration or supersession of the authorization.</td>
</tr>
<tr>
<td>1330-05</td>
<td>Publication Approval Files. Documents related to approving the initiation of new publications, changes to existing publications, limitations in previous approvals, and renewal after expiration of the previous approval. Included are requests for approval, notification of approval, and related papers. Disposition. Destroy on expiration or supersession or on discontinuance of the publication.</td>
</tr>
<tr>
<td>1330-06</td>
<td>Directives Development and Editing Files. Documents relating to the improvement and development of DEA directives through editing, changing, and rewriting of first drafts. Included are copies of first and final draft manuscripts; notes and memorandums pertaining to conferences with the author, coordination, and research, copies of related correspondence; and a printed copy of the basic directive and each change thereto.</td>
</tr>
</tbody>
</table>
NOTE: Documents maintained by proponent offices will be filed with related records documenting the preparation of the directives.

Disposition: Office responsible for editing, development, and improvement: Destroy on revision or obsolescence of the directive.
RULES FOR ALPHABETICAL FILING

Rules

1. Personal names.
   a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.
   b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetical sequence.
   c. HYphenated surnames of individuals are filed as one complete surname.
   d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.
   e. MARRIED WOMEN'S names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine Adams Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens)).
   f. ABBREVIATED first names are filed as though they were spelled in full.
   g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname is used as the first name. Nicknames with no recognizable surnames are filed as they are written.
   h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles, Col., Major; professional title, Dr., Prof.; official titles, governor, mayor; titles of respect, Rev., Hon.; foreign titles, Lord; degrees, L.L.D., Ph.D). Titles followed by one or more names not recognizable as surnames are filed in order as written.
   i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.

2. Firms, corporations, companies, associations, institutions, governments, and geographical names.
   a. COINED names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.
   b. SURNAMES are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.
   c. PREFIXES on firm and geographical names such as Co-, D', d', de, des, Di, El, L', La, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.
   d. HYphenated firm names are filed as one complete name.

Examples

Arthur B. Anglin—filed Anglin Arthur B.
David de Valera—filed de Valera David.
Blanche Duff-Gordon—filed Duff-Gordon Blanche.
Black Thunder.
Henry George.
Laurens Josephine Mary (Mrs) (Mrs. William A)
Laurens William A. (Mrs)—filed Laurens Josephine Mary.
Chas. Brown—filed Brown Charles.
Red Larson—filed Larson Red.
Boston Jimmie—filed Boston Jimmie.
Dr. Charles C. Brown—filed Brown Charles C (Dr.).
Father Pierre—filed Father Pierre.
C. Albert Brown, Jr—filed Brown C Albert (Jr).
A A A Chemical Co—filed A A A Chemical Company.
Aunt Jemima's Pancake Flour—filed Aunt Jemima's Pancake Flour.
De la Verne Co—filed De la Verne Company.
Los Angeles, Calif—filed Los Angeles, California.
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Rules

e. COMPOUND names of firms which may be spelled either as one or
two words, are filed as one word. This rule must be restricted to a few
frequently occurring words such as Inter State; Mid West; South Eastern;
South Side; North East.

f. COMPOUND GEOGRAPHICAL firm names, are filed as written.
Abbreviations are filed as though spelled in full.

g. ABBREVIATIONS representing names or parts of names of firms,
of Government agencies, fraternal and similar organizations are filed as
though spelled in full.

h. APOSTROPHES (') is disregarded in filing, but an apostrophe (s)
is used.

i. ARTICLE, CONJUNCTION, OR PREPOSITION, such as "the,
and, &,-of, for, on, or by" is disregarded in filing when it is a part of the
firm name and is inclosed in parentheses. When "Ye" is used, it is filed as
written. Foreign language articles are not translated and are filed as
written.

j. STATE, COUNTY, CITY, TOWN, or a similar word is filed as
written when appearing as the first word in the name of a firm, institution,
association, etc., and not referring to a Government establishment.

k. NUMERALS of one or two digits which comprise a name or the
beginning of a name are read in units and tens and are filed as though
spelled out. A name with three or four digits is read in hundreds. Consider
only the lowest number in captions beginning with inclusive numbers.
Captions beginning with numbers spelled in full or abbreviated are filed
as though spelled in full. Numbers of two or more words are filed as one
word.

l. FIRM names beginning with such phrases as Board of, Bureau of,
Commission for, which do not refer to any Government establishment or
function, are filed as written.

m. STANDARD TERMS such as Bros., Co., Corp., Ltd., Inc., names
of states and cities, often abbreviated, affect the filing sequence. When
abbreviated they are filed as though spelled in full. In foreign firm names,
abbreviations of company, brothers, etc., whether they appear before or
after the names are filed as written. They are not translated.

n. CHANGE of firm name due to succession should be filed under the
current firm name and a cross-reference made under the former name.

Cross-reference:

o. MULTIPLE names. Firms doing business under two titles are filed
under the more active or important name and a cross-reference is made
under the other name. This includes firms "doing business as," written
"d/b/a."

Cross-reference:

p. PARTNERSHIP AND FIRM names which contain the full names
of two or more individuals are filed by the name of the first individual
mentioned.

q. VARIOUS LOCATIONS. The same firm name appearing at various
locations is filed by name of firm and then by city. Consider the State
when there is a duplication of city names.

Examples

Inter State Warehousing Co—filed Inter
State Warehousing Company.

Ft. Wayne Paper Co—filed Fort Wayne
Paper Company.

N.J. Coal & Coke Co—filed New Jersey
Coal & Coke Company.

Amer. Society for Civic Education—filed
American Society (for) Civic Education.

E. 59th St. Garage—filed East Fifty Ninth
Street Garage.

Anglin’s Beauty Shop—filed Anglin Beauty
Shop.

Anglin’s Automobile Co—filed Anglin’s Auto-
mobile Company.

The Calico Cat—filed Calico Cat (The).

Il Progresso Italiano—filed Il Progresso Italiano.

City Letter Co—City Letter Company.

County of Wall Surveying Co—filed County
of Wall Surveying Company.

86 Madi-on Ave. Realty Co—filed Eighty-six
Madi-on Avenue Realty Company.

1198 Park Ave. Corp—filed Eleven Hundred
Ninety-eight Park Avenue Corporation.

92-96 W. 18th St. Corp—filed Ninety-two
(96) West Eighteen Street Corporation.

Committee for Economic Development—
filed Committee (for) Economic Develop-
ment.

Brown Bros—filed Brown Brothers—Cie
Generale Transatlantique—filed Cie Gen-
erale Transatlantique.

Clairo Company formerly Van Ess Product
Co—filed Clairo Company (formerly Van
Ess Products Company).

Van Ess Products Company—filed Clairo
Company.

Max Jensen doing business as Ace Van
Lines—filed Max Jensen.

Jensen Max d/b/a Ace Van Lines—filed Ace
Van Lines.

Charles Brown & Henry Jones—filed Brown
Charles & Henry Jones.

Alfred Van Lines, Denver, Colo—filed
Alfred Van Lines Denver Colorado.

Alfred Van Lines, Portland, Me—filed
Alfred Van Lines Portland Maine.
SUBSIDIARIES OR DIVISIONS. Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.

8. BANKS, BOARDS OF TRADE, NEWSPAPERS, etc. Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore, filed by location: city first, the state in parentheses, followed by the name of the bank board of trade, etc.

FEDERAL DEPARTMENT NAMES. Federal Government departments and subdivisions thereof are filed by name in the alphabetical name file disregarding the parent organization.

Examples

Truscon Steel Co. Division of Republic Steel Corp.—filed Republic Steel Corporation Truscon Steel Co. Division.

Board of Trade Chicago, Ill.—Chicago (Ill.) Board of Trade.

Rules

U.S. Coast Guard:
Office of Emergency Management:
Great Lakes Naval Training Station:
Executive Office of the President:

3. FRATERNAL or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organizations may be cross-referenced.

4. INSTITUTION names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.

5. SUBDIVISIONS of state, county, municipal or foreign governments, such as department, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.
## Listing of Federal Archives and Records Centers

<table>
<thead>
<tr>
<th>GSA Region</th>
<th>Areas Served</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entire Federal Government for personnel records of separated Federal employees; pay records of all Federal employees; medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis, Missouri area</td>
<td>National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island</td>
<td>Federal Archives and Records Center, GSA 380 Trapelo Road Waltham, MA 02154</td>
</tr>
<tr>
<td>2</td>
<td>New York, New Jersey, Puerto Rico, and the Virgin Islands</td>
<td>Federal Archives and Records Center, GSA Military Ocean Terminal, Bldg. 22 Bayonne, NJ 07002</td>
</tr>
<tr>
<td>3</td>
<td>Delaware and Pennsylvania east of Lancaster</td>
<td>Federal Archives and Records Center, GSA 5000 Wissahickon Avenue Philadelphia, PA 19144</td>
</tr>
<tr>
<td>3</td>
<td>Pennsylvania except areas east of Lancaster</td>
<td>Federal Records Center, GSA Naval Supply Depot, Bldg. 308 Mechanicsburg, PA 17055</td>
</tr>
<tr>
<td>3</td>
<td>District of Columbia, Maryland, Virginia, and West Virginia</td>
<td>Washington National Records Center Washington, DC 20409</td>
</tr>
<tr>
<td>4</td>
<td>North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky</td>
<td>Federal Archives and Records Center, GSA 1557 St. Joseph Avenue East Point, GA 30344</td>
</tr>
<tr>
<td>5</td>
<td>Illinois, Wisconsin, and Minnesota</td>
<td>Federal Archives and Records Center, GSA 7358 South Pulaski Road Chicago, IL 60629</td>
</tr>
<tr>
<td>5</td>
<td>Indiana, Michigan, and Ohio</td>
<td>Federal Records Center, GSA 3150 Bertwynn Drive Dayton, OH 45439</td>
</tr>
<tr>
<td>6</td>
<td>Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area</td>
<td>Federal Archives and Records Center, GSA 2306 East Bannister Road Kansas City, MO 64131</td>
</tr>
<tr>
<td>6</td>
<td>Greater St. Louis, Missouri area</td>
<td>National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118</td>
</tr>
<tr>
<td>GSA Region</td>
<td>Areas Served</td>
<td>Location</td>
</tr>
<tr>
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</tr>
<tr>
<td>7</td>
<td>Texas, Oklahoma, Arkansas, Louisiana, and New Mexico</td>
<td>Federal Archives and Records Center, GSA 4900 Hemphill Street P.O. Box 6216 Fort Worth, TX 76115</td>
</tr>
<tr>
<td>8</td>
<td>Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota</td>
<td>Federal Archives and Records Center, GSA Bldg. 48, Denver Federal Center Denver, CO 80225</td>
</tr>
<tr>
<td>9</td>
<td>Nevada (except Clark County), California (except Southern California), and American Samoa</td>
<td>Federal Archives and Records Center, GSA 1000 Commodore Drive San Bruno, CA 94066</td>
</tr>
<tr>
<td>9</td>
<td>Clark County Nevada, Southern California (counties of: San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego), and Arizona</td>
<td>Federal Archives and Records Center, GSA 24000 Avila Road Laguna Niguel, CA 92677</td>
</tr>
<tr>
<td>10</td>
<td>Washington, Oregon, Idaho, Alaska Hawaii, and Pacific Ocean area (except American Samoa)</td>
<td>Federal Archives and Records Center, GSA 6125 Sand Point Way Seattle, WA 98115</td>
</tr>
</tbody>
</table>
Subpart 101-11.5—Microfilming

§ 101-11.500 Scope of subpart.

This subpart provides the (a) procedures for requesting authority to dispose of microfilmed records, (b) standards to be used by Federal agencies for microfilming records, (c) criteria for using microfilm copies of permanent records, (d) standards for storing microfilm copies of permanent records, and (e) information concerning microfilm services available from the National Archives and Records Service (NARS).

§ 101-11.501 Authority.

As provided in 44 U.S.C. chapters 29 and 33, the Administrator of General Services is authorized to (a) establish standards for the photographic and microphotographic reproduction of permanent records by agencies of the Federal Government with a view to disposal of the original records; (b) establish uniform standards within Government agencies for the storage and use of processed microfilm copies of permanent records that have been authorized for disposal; (c) develop and promote standards to improve the management of records; and (d) establish, maintain, and operate centralized microfilming services for Federal agencies.

§ 101-11.502 Definitions.

For the purpose of this Subpart 101-11.5, the following definitions shall apply:

(a) Permanent record. Any record (see 44 U.S.C. 3301) that has been determined by the Archivist of the United States to have sufficient historical or other value to warrant its continued preservation by the Government. Such determinations take the form of approved agency records retention plans, an approved offer to transfer records to the National Archives, or specific series of records identified as permanent on all Standard Forms 115, Request for Authority to Dispose of Records, approved by NARS since May 14, 1973. NARS approval, prior to May 14, 1973, of a comprehensive records disposal schedule that also lists records that are identified as “permanent” or “retain” by the agency but are not clearly certified as permanent by NARS, does not constitute a determination that the records have sufficient historical or other value to warrant their continued preservation by the Government.

(b) Original microfilm. Original microfilm is camera microfilm whether produced by customary or Computer Output Microfilm (COM) methods and regardless of emulsion or base.

(c) Silver original microfilm. Silver original microfilm is camera microfilm meeting the requirements of Federal Standard No. 125b; Film, Photographic, and Film, Photographic, Processed (for permanent record use).

(d) Silver duplicate negative. A silver duplicate negative is a second generation negative microfilm meeting the requirements of Federal Standard No. 125b whether produced from an original negative or from an original positive.

(e) Silver master positive. A silver master positive is a second generation positive microfilm meeting the requirements of Federal Standard No. 125b produced from either an original negative or from an original positive.

(f) Diazo microfilm. Diazo microfilm is a duplicating microfilm sensitive to ultraviolet light and developed by passing the film through an ammonia chamber. Diazo microfilm must meet the requirements of Federal Specification L-F-315C; Film, Diazotype, Sensitized (Direct Image Microforms).

(g) Vesicular microfilm. Vesicular microfilm is a duplicating microfilm exposed by ultraviolet light and developed by being passed over a heat roller and by a second exposure to ultraviolet light which stabilizes the film. Vesicular microfilm must meet the requirements of Federal Specification L-F-00320C; Film, Thermal Developing.

§ 101-11.503 Disposal of records.

§ 101-11.503-1 Request for authority.

(a) Federal agencies proposing to preserve permanent records on microfilm and dispose of the original records shall request authority on Standard Form 115, Request for Authority to Dispose of Records, in accordance with Subpart 101-11.

(i) Agencies whose proposed microfilming procedures meet the standards in § 101-11.501 shall include on the SF 115 the following certification:

This certifies that the records described on this form shall be microfilmed in accordance with the standards set forth in 41 CFR 101-11.504 and that the (select appropriate words: Silver original microfilm, silver duplicate negative microfilm, or silver master positive microfilm) plus one positive copy of each microfilm which is a (select appropriate words: Silver duplicate negative copy, silver positive copy; vesicular microfilm copy; diazo microfilm copy) shall be (select appropriate phrase: Offered to the Office of the National Archives (NN), National Archives and Records Service, General...
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Services Administration, Washington, D.C. 20408, offered to the Regional Archives Branch (city and State); offered to the Federal Records Center (city and State); or transferred to an approved agency records center at (city and State).

(2) Agencies whose proposed microfilming procedures do not meet the standards in §101-11.504 shall include on the SF 115 an outline of the system, film, and processing which they propose to use.

(b) Agencies proposing to retain the silver original microfilm copy of permanent records after disposal of the original records must include as part of this request a statement that facilities meeting the standards of §101-11.506 will be used to store the silver original microfilm. These facilities shall be subject to initial and subsequent inspection by NARS. Such agencies shall also indicate when the first inspection of microfilm required by §101-11.506-8 will be conducted.

§101-11.503-2 Deposit of copies.

(a) The silver original microfilm copy or either of (1) a silver duplicate negative copy or (2) a silver master positive copy; plus one positive copy, which may be either of silver, vesicular, or diazo microfilm, of each microfilm of permanent records microfilmed by an agency shall be verified for completeness and accuracy and then shall be either transferred to an approved agency records center or offered to either the Office of the National Archives (NN), National Archives and Records Service, mailing address: General Services Administration (NN), Washington, DC 20408, or the Archives Branch in the Federal Records Center where the original permanent records would normally be retired.

(b) After acceptance of the agency offer by NARS, the agency shall forward the microfilm copies as soon as the project is completed or, in the case of larger continuing projects, when a substantial and readily identifiable portion is completed.

(c) The microfilm copies shall be accompanied by adequate descriptive material to enable NARS or agency file personnel to service the records with reasonable facility and by a certification by an agency official that the microfilm was produced in the normal course of agency operations and that care has been taken to insure that the microfilm is a complete and accurate copy of the original records.

§101-11.503-3 Deteriorating microfilm.

An agency having custody of a previously produced original microfilm or, if the original microfilm is no longer in existence, the master copy or permanent records shall prepare a silver duplicate negative copy for its own use, if required, when it finds that such copies are deteriorating or in danger of deterioration. The agency shall also offer an identical copy plus one positive copy as specified in this §101-11.503-2.

§101-11.504 Standards for microfilming permanent records.

Federal agencies microfilming permanent records shall comply with the following standards which relate to the preparing and filming of permanent records, the selecting of film stock, and the processing of film.

§101-11.504-1 Preparing and microfilming permanent records.

(a) General. The integrity of the original records authorized for disposal shall be maintained by insuring that the microfilm copies are adequate substitutes for the original records and serve the purposes for which such records were created or maintained. The following measures and any others found necessary shall be observed in any Federal microfilming project to insure preservation of the integrity of the records:

(1) Copies shall contain all significant record detail shown on the originals;

(2) Copies of the records shall be so arranged, identified, and indexed that any individual document or component of the records can be located with reasonable facility;

(3) No photographic densities on negative copies higher than are required for the intended purposes shall be used. Where possible, densities on negative copies shall be between 1.0 and 1.2. On positive copies the background shall be kept as clear as practicable;

(4) A minimum resolution of 90 lines per mm. shall be obtained and

(5) Military specifications and standards for microfilming and photographing engineering drawings and similar related documents shall be followed whenever applicable.

(b) Roll microfilm. (1) The photographic images at the beginning of each roll of microfilm shall include information identifying the agency and organization whose records it covers; the title of the records; the microfilm roll number;
number; the security classification, if any; and, if possible, the inclusive dates, names, or other data identifying the first and last records on the roll. The

(2) Any indexes, registers, or other finding aids shall be microfilmed at the beginning of the records to which they relate.

(c) Other microforms. (1) Microfilming systems for unit microfilm records shall be so designed and supervised that the resulting microfilm file is an accurate representation of the original records.

(2) Any indexes, registers, or other finding aids shall be microfilmed and located in a readily identifiable place within the collection of microfilmed records.

(3) Systems (e.g., COM) producing original permanent records on microfilm with no paper original shall be designed so that they produce microfilm which meets the standards of this Subpart 101-11.5.

§ 101-11.504-2 Microfilm stock.

The film stock used to make photographic or microphotographic copies of permanent records shall be safety-base permanent record film as specified in American National Standards Institute (ANSI) PH 1.25, Specifications for Safety Photographic Film; PH 1.28, Specifications for Photographic Films for Permanent Records; PH 1.29, Methods for Determining the Curl of Photographic Film; and PH 1.31, Method of Determining the Brittleness of Photographic Film, and shall comply with Federal Standard No. 125b. In order to afford adequate protection for permanent records, agencies using microfilm systems which do not produce an original microfilm meeting these standards for permanent records shall immediately make a silver duplicate negative or silver master positive which does meet the standards.

§ 101-11.504-3 Processing film.

The film used to make photographic or microphotographic copies of permanent records shall be so processed that the residual thiosulfate concentration shall be greater than zero but shall not exceed 1 microgram per square centimeter. An optimum concentration of 0.7 micrograms per square centimeter in a clear area is recommended. Agencies conducting their own microfilming program may determine whether their processed film meets this requirement by performing the tests specified in ANSI PH4.8; Methylene Blue Method for Measuring Thiosulfate and the Silver Densitometric Method for Measuring Chemicals in Films, Plates, and Papers; or by submitting a sample for testing from a clear area of the film, measuring at least 2 square inches, to the Office of the Executive Director (NAP), National Archives and Records Service, General Services Administration, Washington, D.C. 20408. A charge of $5 will be made for each sample tested, however, small numbers of samples will be tested by NARS without charge. COM-produced microfilm of permanent records shall meet the processing standards above. If the processing is to be of the reversal type it must be full photographic reversal and not the halide-type reversal.

§ 101-11.505 Criteria for using microfilm copies of permanent records.

The following criteria are required in using microfilm copies of permanent records:

(a) Original microfilm copies of permanent records shall not be used for reference purposes. Negative or positive copies of the original negative shall be used for reference purposes.

(b) Adequate measures shall be taken to keep the original microfilm clean and unscratched.

§ 101-11.506 Standards for storing microfilm copies of permanent records.

This section prescribes standards required for storing silver original microfilm copies or silver duplicate negative or silver master positive copies of permanent records.

§ 101-11.506-1 Reels and cores.

Microfilm stored in roll form shall be wound on cores or on reels of the type specified in ANSI PH5.6. Standard Dimensions for 100-foot Reels for Processed 16-mm. and 35-mm. Microfilm. The materials used for the cores and reels shall be noncorroding such as plastic compounds or nonferrous metals. The use of steel for reels shall be permitted provided the reels are well protected by lacquer, enamel, tinning, or other corrosion-resistant finish. Plastics and lacquers that might give off reactive fumes or exudations during storage shall not be used. The plastic materials must be free of peroxides. Paper strips or rubber bands shall not be used for confining film on reels or cores. The materials used shall not ignite, decompose, or develop reactive fumes and vapors.
§ 101-11.506-2 Storage containers.

The microfilm shall be stored in a closed container made of such inert material as metal or plastic of proven quality. The container shall be sealed where needed to maintain prescribed humidity limits or to protect the film against gaseous impurities. If proper temperature and humidity controls are maintained as prescribed in § 101-11.506-4, and if there is good ventilation and clean air in the storage area, the containers need not be sealed. Open containers such as folding cartons may be used only if it has been established that the container material will have no adverse effect on the film over long periods of time.

§ 101-11.506-3 Storage rooms.

Agencies retaining original microfilm copies of permanent records shall provide a fire-resistant vault or room. The storage area shall not be used as an office or working area. No flammable material shall be stored in the storage area. For full protection against fire and associated hazards, fire-resistant safes or insulated containers shall be placed within fire-resistant vaults or rooms constructed in accordance with recommendations of the National Fire Protection Association in their publication NFPA 232, Protection of Records, 1970. Particular care shall be taken to insure that the provisions of this § 101-11.506 are applied effectively when original negative microfilm is stored in such places as underground installations and insulated file cabinets where a high humidity is probable.

§ 101-11.506-4 Environmental conditions.

The relative humidity of the storage vault or room shall not exceed 40 percent. Temperatures shall not exceed 70°F. Rapid and wide-range cycling of humidity or temperature shall be avoided and shall in no instance exceed ±5 percent relative humidity or ±5°F in a 24-hour period. Where inactivity of the film permits, protection may be increased by conditioning and sealing the film at a lower humidity and/or storing the film at a lower temperature. Film stored at a lower relative humidity than 30 percent or a temperature lower than 60°F shall be sufficiently warmed and reconditioned before use to avoid any possible damage in handling. If possible, approximately 0.05 inches of water pressure above atmospheric pressure shall be maintained within the room or vault and in the film inspection area by means of an independent air-conditioning system.

§ 101-11.506-5 Control of air conditioning.

Air conditioning shall be kept under sufficient control to meet the standards for temperature and humidity as specified in § 101-11.506-4. Dehumidifiers using desiccants shall not be used since, with circulating air in the storage area, there is a danger of abrasive or reactive dust particles settling on the film. Humidification before storage is not necessary unless the prevailing relative humidity in storage areas is less than 15 percent for long periods of time. Water trays or saturated chemical solutions shall not be used due to the serious danger of overhumidification.

§ 101-11.506-6 Protection against air-contained impurities.

Solid particles that abrade the film or react on the image shall be cleaned from the air supplied to microfilm storage and associated rooms by the use of dry media mechanical filters or electrostatic precipitators. These filters shall have an arrestment or cleaning efficiency of at least 80 percent when tested with atmospheric air using ANSI PH5.4: Standard Practice for Storage of Processed Silver Gelatin Microfilm; which cites the report to the National Board of Fire Underwriters for the installation of air conditioning, warm air heating, air cooling, and ventilating systems. Filtering media, casings, and castings, if used, shall be of the noncombustible type.

§ 101-11.506-7 Gaseous impurities.

Such gaseous impurities as sulfur dioxide, hydrogen sulfide, and others that may cause deterioration of the microfilm shall be removed from the air. Silver-gelatin microfilm shall not be stored with other types of film in the same room or in rooms connected by ventilating ducts because gases given off by the nonsilver-gelatin microfilm may damage or destroy the safety-film base.

§ 101-11.506-8 Microfilm inspection.

At approximately 2-year intervals, a 1 percent sample of randomly selected rolls of microfilm shall be inspected. For each biennial inspection, a different lot sample shall be chosen, allowing some overlapping of inspection to note any changes in previously inspected samples. The guidelines in the National Bureau of Standards Handbook 96, Inspection of Processed Photographic Record Films for Aging Blemishes, shall be followed. The results of such inspections shall be reported to the Office of the National Archives (NN), National Archives and
Records Service, General Services Administration, Washington, D.C., 20408, 30 days after the inspection is completed. Reports shall include at least the (a) quantity of microfilm of permanent records on hand; i.e., number of rolls, microfiche, jackets, etc.; (b) quantity of microfilm inspected; (c) condition of the microfilm; and (d) corrective action required, if necessary.

§ 101-11.507 Standards for microfilming nonpermanent records.

(a) Agencies that wish to microfilm their own nonpermanent records should conduct a cost-benefit analysis according to their internal regulations and procedures to insure that the project or system is cost effective.

(b) Agencies that wish to microfilm their own nonpermanent records in order to dispose of the original records shall request authority in accordance with Subpart 101-11.4. The request for authority on SF 115 shall indicate whether the original records are required to be held less than 10 years or 10 years or more.

(c) After approval of the request the microfilming shall be done in accordance with the following:

1. For nonpermanent records to be held 10 years or more, the standards set forth in § 101-11.504 for microfilming, in § 101-11.505 for using microfilm, and in § 101-11.506 for storing microfilm copies of permanent records should be used where applicable to insure the availability of the information for the period of time required.

2. Nonpermanent records to be held less than 10 years may be microfilmed in accordance with agency standards and requirements for the retention of the records, including the option of using any film, processing system, or storage containers the agency may select.

§ 101-11.508 Centralized microfilm services.

The following microfilming services of the National Archives and Records Service are available to Federal agencies:

(a) Technical advice and assistance in establishing and promoting agency projects and programs to preserve records, reduce volume, provide security copies, make duplicate copies, or improve information retrieval systems;

(b) A central reimbursable microfilming service for Federal agencies including the preparation, indexing, and filming of records, inspection of film, and labeling of film containers;

(c) Information on current uses of microfilm, new microfilm techniques, and developments in the field.

§ 101-11.508-1 Procedures for arranging for reimbursable services.

Federal agencies desiring microfilm services should contact the appropriate regional National Archives and Records Service. Agencies in the greater St. Louis area (Missouri only) should contact the Manager, National Personnel Records Center, St. Louis, MO 63132. Agencies in the District of Columbia, Maryland, Virginia, and West Virginia, should contact the Manager, Washington National Records Center, Suitland, MD 20409. Elsewhere in GSA Region 3, agencies should contact the Region 3 National Archives and Records Service. An agreement of services to be provided will be negotiated before work is begun. This agreement may be in the form of an agency purchase order. The agency shall provide instructions that specify (a) location of the records to be filmed; (b) description of the records to include the volume, size, physical condition, filing arrangement, and the nature and frequency of additions, changes, and deletions, etc.; (c) size and format of the film to be used; (d) type of camera to be used and the reduction ratio at which the documents are to be filmed; (e) type of reader to be used; and (f) number and type (silver, diazo, vesicular) of reference copies.

§ 101-11.508-2 Fees for microfilming services.

Microfilming services normally available are: 16-mm. rotary, 16-mm. planetary, and 35-mm. planetary microphotography; negative film processing; 16-mm. cartridge loading; aperture card and microthin jacket mounting; and diazo duplication. The fees for these services will be announced in GSA bulletins issued and signed by the Archivist of the United States. For services not listed, contact the person or office shown in § 101-11.508-1.
<table>
<thead>
<tr>
<th>Item in Retention Plan</th>
<th>DEA Organizational Unit (Office of Record)</th>
<th>Record Series (File No.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Master sets of policy, procedural, organizational and repertorial documents.</td>
<td>Management Analysis Division</td>
<td>1330-01 Publication Records Set Files</td>
</tr>
<tr>
<td>a. Formal policy and procedural issuances (current as well as obsolete) such as regulations, orders, circulars, manuals, and other types of directives, with related endorsements, clearances, and comments including a master set of forms used in substantive functions.</td>
<td>Management Analysis Division</td>
<td>110-01 Organization Planning Files</td>
</tr>
<tr>
<td>b. Organizational charts and directories (current as well as obsolete).</td>
<td>Management Analysis Division</td>
<td>370-14 Statistics Reporting Files</td>
</tr>
<tr>
<td>c. Narrative and statistical reports on accomplishments at the divisional and higher organizational levels, including narrative accounts of its history.</td>
<td>Statistical &amp; Data Services Division</td>
<td></td>
</tr>
<tr>
<td>d. Publicity material, such as press and radio releases, official speeches, charts posters, and the like.</td>
<td>Office of Public Affairs</td>
<td>370-03 News Media and Release Files</td>
</tr>
<tr>
<td>e. Publications that contribute to an understanding of its organization and functioning, exclusive of publications that embody the results of scientific, statistical, or research activity.</td>
<td>Management Analysis Division</td>
<td>110-01 Organization Planning Files</td>
</tr>
<tr>
<td>2. Records related to providing executive direction to DEA activities.</td>
<td>Office of Chief Counsel</td>
<td>301-01 Legal Opinion Precedent Files</td>
</tr>
<tr>
<td>a. Authoritative documents that affect and define functions, such as laws, Executive orders, court decisions, legal opinions, interpretations and internal and external rulings, internal documents that delegate or revoke continuing authority, and related endorsements, clearances, and comments.</td>
<td>Management Analysis Division</td>
<td>1330-01 Publication Record Set Files</td>
</tr>
</tbody>
</table>
b. Agenda and minutes, with supporting papers, or staff meetings at the divisional and higher organizational levels.

c. Agenda and minutes, with supporting papers, of meetings of interagency and extra-federal governmental bodies in which it participates.

d. Reports on DEA studies, surveys, audits, and inspections of operations, management, and systems with related papers showing their inception, scope, procedure, and results.

e. Documents reflecting relations with the White House, the Executive Office of the President, and the Congress on other than routine personnel matters.

f. Budget statements (estimates and justifications, including the budget proposed to the Office of Management and Budget and to the Congress and budget briefing books and digests prepared by the agency, and correspondence of the office with primary responsibility for developing, presenting and defending budget estimates and for budget administration operations.

g. Correspondence of officials having primary responsibility for developing plans, policies, programs and procedures, for the supervision of the execution of the programs, and for the evaluation of the programs, including correspondence of the Chief Counsel.

h. A record copy of audits, surveys, and examinations by the United States General Accounting Office of DEA operations, with documentation, including correspondence, relating to the review of the reports by DEA.

i. A record copy of annual or other periodic summaries of findings in internal audits of DEA's own operations, and related recommendations.
j. One case file per year showing the planning for and the final report on an internal audit that results in significant changes in DEA plans, policies, programs, or procedures, and related correspondence.

k. A record copy of each unpublished annual or other periodic report on the activities and programs of DEA.

l. Annual activity and any special nonrecurring reports from field offices that are required for executive direction purposes.

m. Interagency agreements and delegations of continuing authority to and from other agencies that significantly affect the substantive functions of DEA.

n. Case files on approved plans, policies, programs (including internal management improvement, records managements, and staff development programs), projects, and procedures.

o. Any other primary documentation relating to the substantive aspects of the inceptions, development, operation, and evaluation of DEA programs.


a. Case files on violation cases identified in the Administrator's annual report to the Congress.

b. Any other case files on violations by interstate and international criminal organizations trafficking in narcotics.

c. Case files (if not included in 3(a) or 3(b)) of investigations illustrative of cooperation of other Federal agencies, State governments and foreign governments in detecting violations and in handling violators.

d. Legislative reference case files.
<table>
<thead>
<tr>
<th>Item in Retention Plan</th>
<th>DEA Organizational Unit (Office of Record)</th>
<th>Record Series (File No.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>e. Any opinions and interpretations of the Chief Counsel that are not maintained in 2(a), 2(g), or 3(d), or elsewhere in records series specified in this retention plan and that are of precedential significance in the performance of substantive and facilitative functions of DEA.</td>
<td>Office of Chief Counsel</td>
<td>301-01 Legal Opinion Precedent Files</td>
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<tr>
<td></td>
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<td>360-01 Legislation Files</td>
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<tr>
<td>f. Documentation of relations with States concerning narcotic control legislation in the State and arrangements for Federal-State cooperation in enforcement activities.</td>
<td>Office of Congressional Affairs</td>
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<tr>
<td>g. Correspondence with foreign governments concerning international cooperation in enforcement activities.</td>
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<td>360-01 Legislation Files</td>
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<tr>
<td>h. Documentation of methods used to control the manufacture and stockpiling of narcotics.</td>
<td>Office of Enforcement</td>
<td>601-11 Foreign Country Files</td>
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<tr>
<td>i. Documentation of methods used to control international trade in narcotics.</td>
<td>Office of Enforcement</td>
<td>601-04 Enforcement Program Files</td>
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<tr>
<td></td>
<td></td>
<td>630-08 Manufacture and Purchase Quota Files</td>
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<tr>
<td>j. Documentation of methods used to control domestic trade in narcotics.</td>
<td>Office of Enforcement</td>
<td>601-04 Enforcement Program Files</td>
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<td>601-11 Foreign Country Files</td>
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<tr>
<td>k. Annual summary statistics on the manufacture of domestic and international trade in narcotics.</td>
<td>Statistical and Data Services Division</td>
<td>370-14 Statistics Reporting Files</td>
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<td>Office of Compliance and Regulatory Affairs</td>
<td>630-08 Manufacture and Purchase Quota Files</td>
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<tr>
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<td>601-04 Enforcement Program Files</td>
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<tr>
<td>l. Documentation of methods used in handling seized narcotic drugs.</td>
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<td>830-02 Training Aids Files</td>
</tr>
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<tr>
<td>m. Documentation relating to the establishment, operation, and accomplishments of DEA Training School.</td>
<td>Office of Training</td>
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<tr>
<td>n. Summary statistical information on enforcement activities and narcotic addiction.</td>
<td>Statistical and Data Services Division</td>
<td>370-14 Statistics Reporting Files</td>
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<td>Office of Enforcement</td>
<td>601-06 Enforcement Activities Reporting Files</td>
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<td>Record Series (File No.)</td>
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<tr>
<td>o. Documentation concerning the establishment of enforcement offices in foreign countries.</td>
<td>Management Analysis Division</td>
<td>110-01 Organization Planning Files</td>
</tr>
<tr>
<td>4. Participation in International Meetings and Conferences.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Agenda, minutes, and reports of international meetings and conferences on narcotic control when the United States delegations are headed by the Department of Justice or when the responsibility for representing the interests of the United States Government rests with the Department of Justice, and related position papers.</td>
<td>Office of Enforcement</td>
<td>601-11 Foreign Country Files</td>
</tr>
<tr>
<td>b. Documentation of Department of Justice participation in negotiations concerning international narcotic control matters, including position papers, and any international agreements resulting from the negotiations and not filed with the Department of State.</td>
<td>Office of Enforcement</td>
<td>601-11 Foreign Country Files</td>
</tr>
<tr>
<td>c. Interagency agreements concerning responsibilities for maintaining the primary documentation of United States participation in international conferences.</td>
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<td>601-11 Foreign Country Files</td>
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<td>5. Preparation of reports required by international conventions or treaties.</td>
<td></td>
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</tr>
<tr>
<td>a. A record copy of each annual report.</td>
<td>Office of Enforcement</td>
<td>601-06 Enforcement Activities Reporting Files</td>
</tr>
<tr>
<td>b. Annual or other summary narrative reports prepared by overseas offices in compliance with reporting requirements.</td>
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<td>601-11 Foreign Country Files</td>
</tr>
</tbody>
</table>
## APPENDIX 07I

### ALPHABETICAL LISTING OF DEA FILES

<table>
<thead>
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<th>FILE TITLE</th>
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<th>OFFICE OF RECORD</th>
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<td>Accident Experience Files</td>
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<td>Accountable Form Authorization Files</td>
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<td>Accountable Form Receipt and Issue Files</td>
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<td>Accountable Mail Receipt Files</td>
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<td>Accounting Journal Files</td>
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<td>Active Employment Application Files</td>
<td>540-02</td>
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<tr>
<td>ADP Report Files</td>
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<td>ADP Test Files</td>
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<td>ADP Work Files</td>
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<td>Agreement Files</td>
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<td>Appeal and Grievance Case Files</td>
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<td>Appearance as Counsel in Civil Court Files</td>
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<td>Automated Records and Consumated Orders System/Diversion Analysis and Detection System (ARCOS/DADS)</td>
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<td>Badge Identification Accountability Files</td>
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<td>Badge Identification Issue Files</td>
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<td>Ballistics Intelligence Tables System</td>
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<tr>
<td>Bidder List Files</td>
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<td>Biweekly Accounting Station List Files</td>
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<td>Buy American Act Files</td>
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<td>Claim Journal and Index Files</td>
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<td>Claim Reporting Files</td>
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<td>Classified Material Access Files</td>
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<td>Committee Files</td>
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<td>CONSEC Approval Files</td>
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<td>CONSEC Daily Inventory Files</td>
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<td>CONSEC Inspection Files</td>
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<td>CONSEC Investigation Reporting Files</td>
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<td>CONSEC Item Register Files</td>
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<td>CONSEC Reporting Files</td>
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<td>Congressional Authorization Files</td>
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<td>Congressional Budget Justification Files</td>
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<td>Congressional Correspondence Files</td>
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*These are Housekeeping and General Program Files which may be maintained in all offices having a requirement for such files.
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<tr>
<th>FILE TITLE</th>
<th>FILE NO.</th>
<th>OFFICE OF RECORD</th>
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<tr>
<td>Congressional Investigation Files</td>
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<td>Congressional Visit Reporting Files</td>
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<td>Contract Adjustment and Claim Determination Files</td>
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<td>Contract Review Files</td>
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<td>Contract Standard Drawing and Specification Files</td>
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<td>Contract Statutory Restriction Files</td>
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<td>Contract Training Files</td>
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<td>Controlled Substances Act Registration Records (CSA)</td>
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<td>Controlled Substances Order Form Report Files</td>
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<td>Controlled Substances Theft/Loss Report Files</td>
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<td>Cost and Price Analysis Files</td>
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<td>DEA Scientific Advisory Committee Files</td>
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<td>Debarred Bidder List Files</td>
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*These are Housekeeping and General Program Files which may be maintained in all offices having a requirement for such files.
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REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
Drug Enforcement Administration

2. MAJOR SUBDIVISION
Management Analysis Division

3. MINOR SUBDIVISION
Records Management Section

4. NAME OF PERSON WITH WHOM TO CONFER
James L. Greene 633-1130

5. TEL. EXT. OCT 1 1979

6. CERTIFICATE OF AGENCY REPRESENTATIVE
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE Sep 20, 79

D. SIGNATURE OF AGENCY REPRESENTATIVE

E. TITLE Records Officer

7. ITEM NO

8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)

Currently, there are 2,000,000 hard copies of DEA Form 9. As of April 1979, additional hard copies of DEA Form 9 were not being replaced. The inclusive years for the records are 1915 through 1979.

The hard copy of DEA Form 9 will be microfilmed in alphabetical sequence by name. Microfilming of DEA Form 9 is a one-time project since additional copies of DEA Form 9 will not be created.

a. Disposition of hard copy: Destroy hard copy after microfilm has been verified for completeness and accuracy.

b. Disposition of Microfilm: Destroy in May 2034 (i.e., 55 years from April 1979).

This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.
Disposition: a. Offices performing DEA-wide staff responsibility: (1) Record copy of annual reports: Permanent. Transfer to Federal record center when 5 years old. Offer to NARS when 15 years old. (2) Consolidated data: Destroy 5 years after preparation of report. (3) Feeder reports and similar data: Destroy 1 year after preparation of report. b. Other offices: Destroy 3 years after preparation of report.

General Investigative Files. DEA reports of investigations that are limited in scope concerning a suspect or firm relative to violations of drug/narcotic laws. Included are numbered and unnumbered general investigative files. Name and program general file procedures are outlined in Chapter 62 of the DEA Agents Manual.

Disposition: a. Unnumbered files: Transfer to Federal records center in calendar year 1981. *Destroy in calendar 1996.* b. Numbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center 10 years from date the file was opened. *Destroy when 25 years old (i.e. 25 years from the date file was opened).*

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


b. Numbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center 10 years after date the file was opened, in one year groups. *Destroy when 55 years old (i.e., 55 years from the date the file was opened).* Note: The sensitivity of these files requires that they be stored in a vault or classified area of a Federal records center. These files will be sealed in records center boxes and delivered by the DEA activity to Federal records center or picked-up and receipted for by the records center. The boxes and SF-135 will be annotated to indicate a special handling marking of "NOT TO BE OPENED BY NARS, RESTRICTED TO DEA PERSONNEL"
TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
   Drug Enforcement Administration

2. MAJOR SUBDIVISION
   Management Analyst Division

3. MINOR SUBDIVISION
   Records Management Section

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

5. TEL. EXT
   633-1130

6. CERTIFICATE OF AGENCY REPRESENTATIVE
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☐ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE
   Oct 3, 80

D. SIGNATURE OF AGENCY REPRESENTATIVE
   James L. Greene

E. TITLE
   Records Officer

7. ITEM NO.
8. DESCRIPTION OF ITEM
   (With Inclusive Dates or Retention Periods)

   File No. Description
   201-01 Delete
   201-02 Delete
   201-03 Internal Security Investigative Case Files. Reports related to the conduct of unannounced inspections of DEA activities or investigations of internal affairs including criminal or civil violations of laws, departmental codes or DEA regulations and integrity and security matters. Included are DEA reports and supporting documents and correspondence relative to the investigation.

   DISPOSITION: Destroy 5 years from date case was opened if closed for at least 1 year. Cases not closed 1 full year will be retained for re-evaluation at 1 year intervals.

9. SAMPLE OR JOB NO.
10. ACTION TAKEN

4 items

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4
<table>
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<tr>
<td></td>
<td>that are limited in scope concerning an individual, a program or area of</td>
</tr>
<tr>
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<td>interest as defined in Chapter 84 of the Internal Security Manual.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy 5 years after report of investigation is approved</td>
</tr>
<tr>
<td></td>
<td>or all required actions are completed.</td>
</tr>
<tr>
<td>210-01</td>
<td><strong>Personnel Security Clearance Files.</strong> Documents containing information</td>
</tr>
<tr>
<td></td>
<td>concerning full-field investigation of an individual and the accreditation</td>
</tr>
<tr>
<td></td>
<td>of personnel for access to classified information requiring special access</td>
</tr>
<tr>
<td></td>
<td>authorizations. This does not include indices or clearance documents filed</td>
</tr>
<tr>
<td></td>
<td>in the Official Personnel Folder.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> The above described records relating to employees of DEA</td>
</tr>
<tr>
<td></td>
<td>are maintained by the Department of Justice which has the responsibility</td>
</tr>
<tr>
<td></td>
<td>for retention of the records. Remainning files concerning contract personnel</td>
</tr>
<tr>
<td></td>
<td>and temporary personnel are maintained by DEA and will be destroyed 2</td>
</tr>
<tr>
<td></td>
<td>years after separation of the employee.</td>
</tr>
<tr>
<td>220-12</td>
<td><strong>Physical Security Survey Files.</strong> Documents relating to surveys that are</td>
</tr>
<tr>
<td></td>
<td>concerned with examination of the physical measures designed to safeguard</td>
</tr>
<tr>
<td></td>
<td>personnel and prevent unauthorized access, sabotage, damage, or theft of</td>
</tr>
<tr>
<td></td>
<td>equipment and facilities. Included are survey reports, recommendations, and</td>
</tr>
<tr>
<td></td>
<td>related papers.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Destroy current file when a facility is retired or when</td>
</tr>
<tr>
<td></td>
<td>the current file is replaced with an updated survey report.</td>
</tr>
</tbody>
</table>
REQUEST FOR RECORD DISPOSITION AUTHORITY
(See instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
   Drug Enforcement Administration

2. MAJOR SUBDIVISION
   Management Analysis Division

3. MINOR SUBDIVISION
   Records Management Section

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

5. TEL. EXT
   633-1130

6. CERTIFICATE OF AGENCY REPRESENTATIVE
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☐ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE
   Feb 3, 1981

D. SIGNATURE OF AGENCY REPRESENTATIVE
   James L. Greene

E. TITLE
   Records Officer

7. ITEM NO.
   Appendix 07D
   Page 31

8. DESCRIPTION OF ITEM
   601-07 **Numbered Investigative Case Files. DEA reports of investigation concerning offenses related to violations of drug/narcotic laws and required inspections of registrant activities. Included are DEA reports of investigation (DEA Form 6) and supporting documents.

Disposition: a. Files created in 1968 and afterward: (1). Originating domestic offices and Investigative Records Section, Office of Enforcement, will transfer closed case files when 10 years old, in 1 year groups, to Federal Records Center. Case files opened longer than 10 years will be retained until closed and then transferred to Federal Records Center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later. (2). Originating foreign offices will transfer closed case files when 5 years old, in 1 year groups, to Federal Records Center. Case files opened longer than 5 years will be retained until closed and then transferred to Federal Records Center. ** Addition

9. SAMPLE OR JOB NO.
   13 Items

10. ACTION TAKEN
   ** Addit.
Appendix 07D
Page 82

File No. Disposition

601-07 Federal Records Center. Destroy when 25 years old (i.e., 25 years after date the file was opened) or 10 years from date of last correspondence, whichever date is later.

b. Files created prior to 1968: Originating District and Resident Offices and Investigative Records Section, Office of Enforcement, are authorized to destroy all closed FBN case files that were opened in 1955 or earlier. Transfer closed FBN and BDAC case files opened after 1955 to Federal Records Center in calendar year 1980. Open case files will be retained until closed and then transferred to Federal Records Center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

c. Field offices will dispose of case files originated by other District or Resident Offices in accordance with File No. 601-12 below.

601-08 General Investigative Files. DEA reports of investigation that are limited in scope concerning individuals, firms, ships or related subjects pertinent to violations of drug/narcotic laws or DEA registrant activities. Included are numbered and unnumbered general investigative files. Name and program general file procedures are outlined in Chapter 62 of the DEA Agents Manual.

b. Numbered files: (1). Originating domestic offices and Investigative Records Section, Office of Enforcement, will transfer inactive files (5 years after date of last correspondence) to Federal Records Center 10 years from date the file was opened. Files still active after 10 years will be retained until they become inactive and then transferred to Federal Records Center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later. (2). Foreign offices will transfer inactive files (3 years after date of last correspondence) to Federal Records Center 5 years from date the file was opened. Files still active after 5 years will be retained until they become inactive and then transferred to Federal Records Center. Destroy when 25 years old (i.e., 25 years from

**Change in disposition instructions authorized by James L. Greene, DEA records officer, per conversation of Feb 6/81. 

* Revision
File No. Description:
601-08 date the file was opened) or 22 years from date of last correspondence, whichever date is later.
(cont'd.)
c. Field offices will dispose of general investigative files prepared by other District or Resident Offices in accordance with File No. 601-12.

Note: Multiple years of files may be held at the field offices until one cubic foot (one box) of files accumulates.*

601-09 Cooperating Individual Files. Documents reflecting information concerning cooperating individuals relative to drug/narcotic offenses.

*Disposition: a. Unnumbered files: Transfer inactive files (5 years after date of last correspondence) to Federal Records Center in calendar year 1979. Active files will be retained until they become inactive and then transferred to Federal Records Center as indicated in paragraph b. below. Destroy in calendar year 1993 or 20 years from date of last correspondence, whichever date is later.

b. Numbered files with reporting (originating) office designator: (1). Domestic offices will transfer inactive files (i.e., 5 years after date of last correspondence) 10 years after date the files were opened, in 1 year groups, to Federal Records Center (CI files will not be sent to the center at Laguna Niguel, CA). See Appendix 07F for a list of the Federal Records Centers. Offices having files still active after 10 years, will retain the files until they become inactive and forward the files to Federal Records Center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later. (2). Foreign offices will transfer inactive files (i.e., 3 years after date of last correspondence), in 1 year groups, to Federal Records Center. Offices having files still active after 3 years will retain the files until they become inactive and transfer the files to Federal Records Center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.**

* Revision

** Clarification of disposition instruction authorized by James L. Greene, DFA records officer, per conversation of Mar 9/81.
File No.  Description:
601-09 (Cont'd)  

Note: The sensitivity of these files requires that they be stored in a vault or classified area of the Federal Records Center. These files will be sealed in records center boxes and delivered by the DEA activity to the Federal Records Center or picked up and receipted for by the records center. These boxes and SF-135 will be annotated with the special handling marking of "NOT TO BE OPENED BY NARS, RESTRICTED TO DEA PERSONNEL".

c. Numbered files with another office designator:
Files pertaining to cooperating individuals of another District or Resident Office may be destroyed when the last correspondence in the files is 2 years old. Prior to destruction, transfer the original copies of payment vouchers (DEA Form 103) to the office that established the cooperating individual. Also, forward copies of status reports or correspondence not previously sent to the establishing office (do not send cross file copies of debriefing reports).

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.*
**REQUEST FOR RECORD DISPOSITION AUTHORITY**
*(See Instructions on reverse)*

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

1. **FROM (AGENCY OR ESTABLISHMENT)**
   Drug Enforcement Administration

2. **MAJOR SUBDIVISION**
   Management Analysis Division

3. **MINOR SUBDIVISION**
   Records Management Section

4. **NAME OF PERSON WITH WHOM TO CONFER**
   James L. Greene
   S. **TEL EXT**
   633-1130

5. **DATE RECEIVED**
   May 5, 1981

**NOTIFICATION TO AGENCY**

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

---

6. **CERTIFICATE OF AGENCY REPRESENTATIVE**

   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

   - A Request for immediate disposal.
   - B Request for disposal after a specified period of time or request for permanent retention.

7. **DATE**
   4-29-81

8. **DESCRIPTION OF ITEM**
   (With Inclusive Dates or Retention Periods)

   **ITEM NO**
   Description

   501-03
   Equal Employment Opportunity Complaint Case Files.
   Documents reflecting complaints of personnel concerning equal employment opportunity. Included are complaints, transmittal letters, investigative data and summaries, finding of fact statements, final disposition reports, acceptance statements, withdrawal notices, and similar or related documents.

   **Disposition**
   - Case resolved by DEA: destroy 4 years after resolution of case.
   - Case resolved by the Office of Personnel Management or U.S. court.
   - Official case file is retained by OPM.

   **Sample**
   EEOC or U.S. Court
   GAS 1/6
   * Revision

---

**STANDARD FORM 115**
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

**Closed Out: 5-12-81: K-T-D.**
Copy to Agency, NAA & NAG

**Appendix 07D, DEA Administrative Manual**
## Appendix 07D

<table>
<thead>
<tr>
<th>File No.</th>
<th>Disposition</th>
</tr>
</thead>
</table>
| 590-03   | **Incentive Award Case Files.** Documents related to submitting, evaluating, and approving or disapproving each incentive awards case. Included are types of awards as suggestions, Sustained Superior Performance, Special Act or Service, or Certificate of Achievement.  
**Disposition:** Destroy *2* years after final action. |
| 1120-03  | **Vehicle Identification Plate Files.** Documents accumulated in connection with requesting, transferring, issuing, and disposing of United States or local identification plates or license plates.  
**Disposition:** Destroy *4* years after disposal of plates. |
| 1310-01  | **Reports Control Files.** Documents reflecting action taken in evaluating the requirement for approving and controlling specific reports. Included are applications for approval of reports; copies of pertinent forms or descriptions of format; copies of the requiring directive; preparation instructions; documents relating to continuation, revision, or other change to the report or output; memorandums reflecting results of periodic and special evaluations; documents identifying the relationship of the output to any controlled report to be prepared in whole or in part from the output; and similar or related papers.  
**Disposition:** Destroy *2* years after discontinuance or the report or output. |
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1 FROM (Agency or establishment)
Drug Enforcement Administration

2 MAJOR SUBDIVISION
Office of Administration

3 MINOR SUBDIVISION
Records Management Section

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

5 TELEPHONE EXT
633-1130

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

A GAO concurrence □ is attached, or □ is unnecessary

B DATE
5-6-86

C SIGNATURE OF AGENCY REPRESENTATIVE
Records Officer

D TITLE

<table>
<thead>
<tr>
<th>ITEM NO</th>
<th>DESCRIPTION OF ITEM</th>
<th>JOB NO</th>
<th>CIRITATION</th>
<th>ACTION TAKEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>File No. 160-01</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Manpower Authorization Files. Documents and supporting papers reflecting manpower spaces allocated to operating activities of DEA. Included are manning levels, or other instruments which limit, increase, or decrease the number of personnel allocated to specific organizational segments of DEA and related documents.

2. **File No. 180-1**


Disposition: Destroy when superseded or obsolete.

3. **File No. 180-02**

A-123 Tracking and Reporting System Files. Documents are the annual statements to the Attorney General, the President, and the Congress. This file also contains documents which establish internal reporting in accordance with published guidelines and scheduling, monitoring, and reporting documents relating to vulnerability assessments, internal control reviews, and corrective actions which are used to support the annual written assurances from the Administrator to the Attorney General.

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

4. **File No. 180-03**

A-123 Audits and Reviews. Documents relating to internal and external reports of audit on DEA's implementation of the Federal Managers' Financial Integrity Act of 1982. Included are notices of intent to audit, copies of documents furnished to auditors, reports of findings and recommendations, draft reports, final reports, follow-up progress reports, responses to reports, and any other related documents.
Disposition: Office performing DEA-wide A-123 management oversight: Destroy 10 years after final report, expect draft reports may be destroyed on receipt of final report. Other Offices: Destroy 6 years after final report.

5. **File No. 180-04**

A-123 Inventory of Assessable Units. Documents identifying the segmentation of all DEA programs and administrative functions in each organizational element for the purpose of evaluating systems of internal control. The inventory is a comprehensive coverage of each organization's activities.

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

6. **File No. 180-05**

A-123 Committee Files. Documents related to establishing, operating, and dissolving committees which consider, advise, take action, and report on A-123. They include DOJ and other inter-agency A-123 committees in which DEA participates.

Disposition. a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

7. **File No. 180-06**

A-123 Performing Work Plans. Documents related to incorporating Internal Control Systems as an element in program managers' Performance Work Plans; certifications that the A-123 element has been added and discussed with subordinates; and sample element statements. Does not include individual Performance Work Plans.

Disposition. a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 10 years old.

8. **File No. 180-07**

A-123 Training Files. Documents related to conducting A-123 training courses. Included are curricula, schedules, lesson plans, rosters of attendees, and critiques. Both in-house DEA and formal training course data is included.
Disposition: a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

File No. 180-08
Open.

File No. 180-09
Open.

File No 180-10 through 180-40

A-123 Process Files by Organizational Component. Documents related to the performance of vulnerability assessments, conducting internal control reviews, and implementing corrective actions for each assessable unit identified in the inventories of DEA components, programs, and administrative functions. Assessable unit files are in numerical order of the identifier log numbers assigned by the program office for A-123 management oversight; each assessable unit is to have a separate folder. The basic file number for each organizational component is listed below.

Disposition: a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

180-10  A-123/Reserved
180-11  A-123/Accounting
180-12  A-123/Administrative Law Judge
180-13  A-123/Budget
180-14  A-123/Chief Counsel
180-15  A-123/Congressional Affairs
180-16  A-123/Diversion Control
180-17  A-123/Equal Employment Opportunity
180-18  A-123/General Services
180-19  A-123/Information Systems (ADP)
180-20  A-123/Inspections
180-21  A-123/Intelligence
180-22  A-123/International Programs
180-23  A-123/Investigative Support
180-24  A-123/Management Analysis
180-25  A-123/Operations Drug Desks
180-26  A-123/Operations Management Staff
180-27  A-123/Personnel
180-28  A-123/Planning and Evaluation
180-29  A-123/Professional Conduct
10. **File No. 501-05**

*Equal Employment Opportunity Special Emphasis Program Files.*
Documents created in developing, coordinating, executing, and disseminating guidance relative to specific EEO programs that are designed to improve hiring, promotion, training, and assignment of DEA employees. Included are the Federal Women's Program and the Spanish-Speaking Program.

**Disposition:** *Destroy 5 years after termination of program.*

11. **File No. 570-04**

*Performance-Based Action Files.* Documents reflecting the results of performance-based actions such as appeals, grievances, removals, demotions, within grade increases, etc. Included are the employees rating documents, responses in mitigation, decisions delivered, review decisions, and similar or related documents.

**Disposition:** Destroy 3 years after final resolution.*

12. **File No. 570-05**

*Retirement Files.* Documents reflecting an employee's retirement application, accrued benefits, and associated papers related to the employee's retirement eligibility.

**Disposition:** Destroy 3 years after approval or disapproval for retirement.

13. **File No. 570-06**

*Fitness for Duty Files.* Documents related to determination of an employee's fitness for duty in DEA.

**Disposition:** Destroy 3 years after case is closed.
14. **File No. 570-07**

Health/Life Insurance Files. Documents used in determining health and/or life insurance benefits for which an employee is eligible.

Disposition: Destroy 3 years after final resolution.

15. **File No. 570-08**

Death Claim Files. Documents relating to determination of benefits to an employee's estate or to survivors.

Disposition: Destroy 3 years after final resolution.

16. **File No. 1170-07**

Mail Survey Files. Reports containing semi-annual mail survey data and other special mail counts and survey information.

Disposition: *Destroy when 6 years old.*
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1 FROM (Agency or establishment)
Drug Enforcement Administration

2 MAJOR SUBDIVISION
Office of Administration

3 MINOR SUBDIVISION
Records Management Section

4 NAME OF PERSON WITH WHOM TO CONFER
James L. Ereene

5 TELEPHONE EXT
633-1130

6 CERTIFICATE OF AGENCY REPRESENTATIVE
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency’s records, that the records proposed for disposal in this Request of 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence □ is attached, or ☒ is unnecessary

B DATE
FEB 687

C SIGNATURE OF AGENCY REPRESENTATIVE

D TITLE
Records Officer

7 ITEM NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 GRS OR SUPERSEDED JOB CITATION
GRS 1/30b and 30c

10 ACTION TAKEN (NARS USE ONLY)

1. File No. 860-05

Training Program Files. Documents relating to establishing, managing, and evaluating local training programs for DEA employees. Included are training plans, reviews of training requirements, apprentice training program registration with the Department of Labor, and similar or related documents.

Disposition: Destroy 15 years after the fiscal year in which the training was programmed.

Justification: Long term retention of documents is required to support adequacy of training given to agent and other specialized DEA employees who may sustain an injury or fatally during the actual performance of their job.
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

FROM (Agency or establishment)
Drug Enforcement Administration

MAJOR SUBDIVISION
Office of Administration

MINOR SUBDIVISION
Records Management Section

NAME OF PERSON WITH WHOM TO CONFER
James L. Ereene

TELEPHONE 
633-1130

DATE
2-20-87

ARCHIVIST OF THE UNITED STATES
Frank A. Brumley

1. File No. 860-05

Training Program Files. Documents relating to establishing, managing, and evaluating local training programs for DEA employees. Included are training plans, reviews of training requirements, apprentice training program registration with the Department of Labor, and similar or related documents.

Disposition: Destroy 15 years after the fiscal year in which the training was programmed.

Justification: Long term retention of documents is required to support adequacy of training given to agent and other specialized DEA employees who may sustain an injury or fatally during the actual performance of their job.

GRS 1/30b and 30c
REQUEST FOR RECORDS DISPOSITION AUTHORITY

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

FROM (Agency or establishment)
Drug Enforcement Administration

MAJOR SUBDIVISION
Records Management Section

MINOR SUBDIVISION
Records Management Unit

NAME OF PERSON WITH WHOM TO CONFER
James L. Greene

DATE RECEIVED
5/3/1988

NOTIFICATION TO AGENCY
In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

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

GAO concurrence [ ] is attached, or [X] is unnecessary

DATE
May 23, 1988

SIGNATURE OF AGENCY REPRESENTATIVE
James L. Greene

TITLE
Records Officer

DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

Appendix 0750A, Administrative Manual, Volume II

Special Agent Career Management Files

Documents reflecting offers or notices of assignment to posts of indicated preference. Also included are offices of preference by agents selecting the investigative career path or indicating the management career path, and computer-generated printouts derived from this information. Documents may include policy or position papers, correspondence, copies of SF-52's, and similar or related documents on the office or preference program.

Disposition: a. Assignment notices and policy documents or position papers: Destroy after 3 years. b. Agent-filled career and office of preference forms, and computer printouts of the associated database: Destroy after 1 year.
REQUEST FOR RECORDS DISPOSITION AUTHORITY  
(See Instructions on reverse)

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

LEAVE BLANK  

JOB NO  N1-170-89-1  

DATE RECEIVED  12/27/88

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a, the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

FROM (Agency or establishment)

Drug Enforcement Administration

Office of Administration

Records Management Section

NAME OF PERSON WITH WHOM TO CONFER  

James L. Greene  

TELEPHONE EXT.  633-1130

CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 169 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A  GAO concurrence [ ] is attached, or [x] is unnecessary

B DATE  

James L. Greene  

C SIGNATURE OF AGENCY REPRESENTATIVE  

D TITLE  

Records Officer

Attached for approval by NARA is the DEA's records schedule (Appendix 0750A). The current GRS numbers and previous job citations have been annotated beside the applicable items within the schedule.

All changes to this proposed schedule have been approved by:

NARA appraiser  5/18/90  

Agency representative  7/15/90

StANDARD FORM 115 (REV 8-83)  

Prescribed by GSA  

FPMR (41 CFR) 101-11.4
**FILES DISPOSITION STANDARDS**

<table>
<thead>
<tr>
<th>Major/Minor Files</th>
<th>Functional Files</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>000-Office</td>
<td>Housekeeping and General Program Files</td>
<td></td>
</tr>
<tr>
<td>010-Office</td>
<td>General Administrative Files</td>
<td></td>
</tr>
<tr>
<td>020-Office</td>
<td>Personnel Files</td>
<td></td>
</tr>
<tr>
<td>060-Office</td>
<td>General Program Files</td>
<td></td>
</tr>
<tr>
<td>100-Planning</td>
<td>Planning Files</td>
<td></td>
</tr>
<tr>
<td>101-Emergency</td>
<td>Planning Files</td>
<td></td>
</tr>
<tr>
<td>110-Organization</td>
<td>Planning Files</td>
<td></td>
</tr>
<tr>
<td>120-Operation</td>
<td>Planning Files</td>
<td></td>
</tr>
<tr>
<td>130-Programming</td>
<td>Planning Files</td>
<td></td>
</tr>
<tr>
<td>140-Management</td>
<td>Improvement Files</td>
<td></td>
</tr>
<tr>
<td>150-Management</td>
<td>Survey Files</td>
<td></td>
</tr>
<tr>
<td>160-Manpower</td>
<td>Utilization Files</td>
<td></td>
</tr>
<tr>
<td>170-Auditing</td>
<td>Services Files</td>
<td></td>
</tr>
<tr>
<td>180-Internal</td>
<td>Control Review Files</td>
<td></td>
</tr>
<tr>
<td>190-Strategic</td>
<td>Planning and Policy and Program Evaluation Files</td>
<td></td>
</tr>
<tr>
<td>200-Integrity</td>
<td>Integrity Files</td>
<td></td>
</tr>
<tr>
<td>201-Integrity</td>
<td>Files</td>
<td></td>
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<tr>
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<td>Opinion and Assistance Files</td>
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<td>Investigative and Processing Files</td>
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<td>Files</td>
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<td>360-Legislative</td>
<td>and Congressional Liaison Files</td>
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<td>Services Files</td>
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1. Office
2. Equal Employment Opportunity and Personnel Files
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560-Promotion, Placement, and Career Management Files
570-Personnel Welfare and Grievance Files
580-Personnel Reduction-In-Force Files
590-Incentive Awards Committee Files

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

8. Permanent files will be cut off at the end of each calendar or fiscal year, held for the period indicated in this appendix and retired to the records center.
9. Files to be retired after a specified retention period following an event or an administrative action will be withdrawn from the active file when the event occurs or the administrative action is accomplished and retired to the records center.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

b. Documents relating to office participation in charitable affairs, such as blood donations and contributions to philanthropic or charitable associations.
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c. Documents similar to the categories listed above that do not pertain to the performance of the mission functions of the office and are not described elsewhere in this schedule.

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

File No. 010-03 (NC1-170-77-1)
Duty Roster Files. Documents used for recording recurring and routine duties performed by personnel within an office, including special duties performed on a rotating basis.

Disposition: Destroy 3 months after last entry.

File No. 010-04 (NC1-170-77-1)
Duty Reporting Files. Documents prepared by duty officer or by personnel performing similar duty. Included are daily activity reports containing an account of the activities performed and similar or related documents.

Disposition: Destroy 6 months after performance of duty.

File No. 010-05
Office Staff Meeting Files. Notes, agenda, minutes, and memoranda of internal staff meetings. Functional activities or projects resulting from a meeting should be filed under the appropriate program file.

Disposition: Destroy after 2 years.

**File No. 010-06
Office Monthly Report Files. Copies of internal activity and workload reports (including work progress, statistical, and narrative reports) which are prepared in the office and forwarded to higher levels. These records generally serve as facilitative or informational purposes. They are not basic program records and are not part of official program files.

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

** Addition
OFFICE PERSONNEL FILES

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

File No. 020-01 (NC1-170-77-1)
Office General Personnel Files. Documents that relate to the day-to-day administration of DEA employees in individual offices. Included are papers that relate to attendance at work; copies of reports of attendance and overtime, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Government medical services, including X-rays and immunizations; notices and lists of individuals to receive training; and comparable or related papers.

Disposition: Destroy 1 year after notification of action.

File No. 020-02 (NC1-170-77-1)
Employee Record Card Files. Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.

Disposition: Destroy when information is obsolete or superseded.

File No. 020-03 (GRS No. 1-18a)
Supervisor's Personnel Files. Correspondence; memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions; copies of Performance Work Plans and Annual Performance Ratings, requests for personnel action and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

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

File No. 020-04 (GRS No. 1-28)
Standards of Conduct File. Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.
Disposition: Destroy when obsolete or superseded.

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

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

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

File No. 020-06

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

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

* Revision
GENERAL PROGRAM FILES

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

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

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

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

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

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

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

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

Agreement Files. Documents relating to agreements between elements of DEA, between DEA and other Federal agencies, or between DEA and other Federal agencies, or between DEA and other non-Federal organizations or agencies, but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations and DEA.
for the purpose of providing or obtaining various types of support services. Included are agreements, amendments, review comments, related correspondence, and similar documents.

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

File No. 060-04

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

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

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

Staff Visit Files. Documents relating to scheduled or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. This definition is not applicable to visits made in
connection with a specific process or case, which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

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

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

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

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

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

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

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

e. Copies of documents accumulated by supervisory offices, such as chiefs of offices, divisions, or sections. These documents duplicate the record copy filed elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.
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Disposition:  a. Documents described in subparagraph a: Cut off on completion of the communication, study, survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized. b. Documents described in subparagraph b: Destroy when no longer needed to facilitate or control work. c. Documents described in subparagraphs c, d, and e: Destroy after 1 year. Earlier destruction is authorized.

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

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

Disposition: Destroy when superseded or obsolete.

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

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

Disposition: Destroy when superseded or obsolete.
EMERGENCY PLANNING FILES

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

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

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

Disposition: Destroy when plans are superseded or obsolete.

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

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

Disposition: Destroy 2 years after submitting the report.
ORGANIZATION FILES

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

File No. 110-01

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

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

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

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

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

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

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

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

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

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

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

Disposition: Destroy documents when superseded or obsolete.
PROGRAMMING AND BUDGETING FILES

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

File No. 130-01

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

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

File No. 130-02 (NC-170-79-1)

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

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

File No. 130-03

OMB Submission Files. Documents created by the DEA Staff preparing, reviewing, and consolidating budget estimates and in their submission to the Department of Justice to incorporate in
the DOJ budget. Included are budget estimates prepared by DEA
staff activities for their functional areas of responsibility,
minutes of budget committee meetings; briefings, and presentations
on the budget estimates for review offices in the Department of
Justice and Office of Management and Budget; and related papers.

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

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

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

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

File No. 130-05

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

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

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

Program and Budget Input Files. Documents relating to furnishing
data for program and budget guidance, formulation, and execution.
They
reflect data for the various program elements, such as enforce-
ment, training, education, communications, material, construction,
maintenance, and transportation. Included are schedules, coordi-
nation papers, justifications, minutes of meetings, plans, and
related documents.

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

**File No. 130-07

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

Disposition. Destroy when 6 years old.**
MANAGEMENT IMPROVEMENT FILES

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

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

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

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

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

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

Disposition: Destroy 3 years after completion of related project.

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

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

Disposition: Destroy 5 years after completion of project.
A-76 Program Files. Documents relating to reviews of DEA functions that have commercial counterparts for the purpose of finding the most cost efficient method of performing the activity, including contracting the activity. Files include: performance work statements; performance requirements summaries; tables and charts of the processes; analyses and recommendations based on studies conducted; studies; lists of commercial activities; reports; and correspondence within DEA and with DOJ concerning the status of the program.

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

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

File No. 150-01

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

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

File No. 150-02

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

Disposition: Destroy 8 years after survey.
MANPOWER UTILIZATION FILES

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

File No. 160-01 \( (NCL-170-86-1) \)

Manpower Authorization Files. Documents and supporting papers reflecting manpower spaces allocated to operating activities of DEA. Included are manning levels, or other instruments which limit, increase, or decrease the number of personnel allocated to specific organizational segments of DEA and related documents.


File No. 160-02 \( (NCL-170-77-1) \)

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

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

File No. 160-03 \( (NCL-170-77-1) \)

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

Disposition: Destroy when superseded or obsolete.
File No. 160-04 (NCl-170-77-1)

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

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

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

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

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

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

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

File No. 170-02

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

Disposition: a. Office performing DEA-wide staff responsibility: 
(1) Record copy of final report of comprehensive review and replies thereto: Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 15 years old. (2) Destroy other documents 5 years after accomplishment of internal review. b. Other offices: Destroy 3 years after completion of internal review actions.
File No. 170-03

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

Disposition: Destroy 3 years after inspection or audit.
A-123/INTERNAL CONTROL SYSTEMS FILES

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

File No. 180-01


Disposition: Destroy when superseded or obsolete.

File No. 180-02

A-123 Tracking and Reporting System Files. Documents are the annual statements to the Attorney General, the President, and the Congress. This file also contains documents which establish internal reporting in accordance with published guidelines and scheduling, monitoring, and reporting documents relating to vulnerability assessments, internal control reviews, and corrective actions which are used to support the annual written assurances from the Administrator to the Attorney General. **Form DEA-462, Monthly Record and Report of Scheduled Actions, and quarterly computer printouts are included.**

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

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

A-123 Audits and Reviews. Documents relating to internal and external reports of audit on DEA's implementation of the Federal Managers' Financial Integrity Act of 1982. Included are notices of intent to audit, copies of documents furnished to auditors, reports of findings and recommendations, draft reports, final reports, follow-up progress reports, responses to reports, and any other related documents.

** Addition
Disposition: Office performing DEA-wide A-123 management oversight: Destroy 10 years after final report, except draft reports may be destroyed on receipt of final report. Other offices: Destroy 6 years after final report.

File No. 180-04

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

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

File No. 180-05 (N\-170-86-1)

A-123 Committee Files. Documents related to establishing, operating, and dissolving committees which consider, advise, take action, and report on A-123. They include DOJ and other inter-agency A-123 committees in which DEA participates.

Disposition. a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

File No. 180-06 (N\-170-86-1)

A-123 Performance Work Plan Files. Documents related to Incorporating Internal Control Systems as an element in program managers' Performance Work Plans; certifications that the A-123 element has been added and discussed with subordinates; and sample element statements. Does not include individual Performance Work Plans.

Disposition. a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 10 years old.

File No. 180-07 (N\-170-86-1)

A-123 Training Files. Documents related to conducting A-123 training courses. Included are curricula, schedules, lesson plans, rosters of attendees, and critiques. Both in-house DEA and formal training course data is included.

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Disposition:  a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

File No. 180-08
Reserved

File No. 180-09
Reserved

File No 180-10 through 180-40

A-123 Process Files by Organizational Component. Documents related to the performance of vulnerability assessments, conducting internal control reviews, and implementing corrective actions for each assessable unit identified in the inventory of DEA components, programs, and administrative functions. Assessable unit files are in numerical order of the identifier log numbers assigned by the program office for A-123 management oversight; each assessable unit is to have a separate folder. The basic file number for each organizational component is listed below.

Disposition:  a. Office performing DEA-wide A-123 management oversight: Destroy when 10 years old. b. Other offices: Destroy when 6 years old.

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

* Revision
STRATEGIC PLANNING AND POLICY
AND PROGRAM EVALUATION FILES

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

File No. 190-01

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

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

File Nos. 190-02 to 190-05

Reserved.

File No. 190-06

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

Disposition: Destroy 5 years after completion of required actions.

File No. 190-07

Policy and Program Evaluation Background Files. Documents used in the collection of data, and the data gathered for or during an
evaluation or study, or used for developing the scope of same, and accumulated in offices conducting or participating in the evaluation or study. Included are notes (interviews or other), statistical data, organizational and functional charts, analysis, personnel data, and similar material for act-finding purposes.

Disposition: Destroy 5 years after completion of required actions.

File No. 190-08

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

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

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

**File No. 201-01**
Unassigned.

**File No. 201-02**
Unassigned.

**File No. 201-03**

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

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

**File No. 201-04**

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

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

* Revision
** Addition
PERSONNEL SECURITY FILES

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

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


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

File No. 210-02

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

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

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

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

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

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

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

Disposition: Destroy when superseded or obsolete.

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

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

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

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

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

Disposition: Destroy when 50 years old.

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

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

Disposition: Destroy 2 years from date of correspondence receipt.

** Addition
File No. 210-08

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

Disposition: Destroy 5 years after date of correspondence or when information is superseded or obsolete.**
**File No. 210-09**

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

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

** Addition
INFORMATION SECURITY FILES

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

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

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

Disposition: Destroy 5 years after classification or downgrading action.

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

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

Disposition: Destroy 5 years after regrading action.

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

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

Disposition: Destroy 2 years after approval of review.

File No. 220-04

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

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

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

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

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

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

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

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

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

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

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

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

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

Disposition: Destroy 5 years after all items on individual pages have been destroyed, downgraded, dispatched, or when entries are transferred to a new page.
File No. 220-09

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

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

File No. 220-10

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

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

File No. 220-11


Disposition: Destroy when superseded.

File No. 220-12

Reserved.

File No. 220-13

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

Disposition: Destroy when replaced.

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File No. 220-14

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

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

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

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

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

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

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

Disposition: Destroy when 2 years old.

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

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

Disposition: Destroy when 2 years old.

File No. 220-18

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

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

** Addition
COMMUNICATIONS SECURITY FILES

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

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

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

Disposition: Destroy 5 years after completion of required action.

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

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

Disposition: Destroy 1 year after receipt of COMSEC material.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

COMSEC Inspection Files. Inspection reports and related correspondence, such as a crypto facility inspection.
Disposition: Inspecting offices: Destroy 1 year after receipt of related superseding inspection. Inspected office: Destroy on receipt of related superseding inspection.

File No. 230-09 (NC|170-77-1)

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

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

File No. 230-10 (NC|170-77-1)

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

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

File No. 230-11 (NC|170-77-1)

Encrypted Traffic Reporting Files. Copies of encrypted traffic reports.

Disposition: Destroy 1 year after dispatch receipt of report.

File No. 230-12 (NC|170-77-1)

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

Disposition: Destroy after a minimum retention of 5 days and before a maximum retention of 60 days.
**File No. 230-13**

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

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

** Addition
PROTECTIVE SERVICES FILES

These files relate to personnel identification and vehicle control.

File No. 240-01

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

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

File No. 240-02

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

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

File No. 240-03

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

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

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

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

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

File No. 240-05

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

Disposition: Destroy 1 year after preparation of report.
**File No. 240-06**

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

Disposition: Destroy 1 year after date of visit.

**File No. 240-07**

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

Disposition: Destroy when property returned to original assigned location.

**File No. 240-08**

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

Disposition: Destroy when information superseded or obsolete.**
**File No. 240-09**

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

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

**Addition**
LEGAL OPINION AND ASSISTANCE FILES

These files relate to legal opinions and assistance matters.

File No. 301-01

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

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

File No. 301-02

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

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

**File No. 301-03

Legal Topic Files

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

Disposition: Destroy 5 years after date of most recent document in folder.**
CLAIM INVESTIGATING AND PROCESSING FILES

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

**File No. 310-01**
Reserved.

**File No. 310-02**
Reserved.

**File No. 310-03**
Reserved.

**File No. 310-04 (NC-170-77-1)**
Claim Investigation Reporting Files. Documents reflecting the results of investigating accidents and incidents which could but do not result in filing a claim. Included are investigation reports, statements of witnesses, and related papers.

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

**File No. 310-05**
Personal Property Claim Files. Case files relating to claims against the Government by DEA employees for damage, loss, or destruction of personal property incident to their service.

Disposition: Destroy 10 years after final action on the case.
File No. 310-06

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

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

File No. 310-07

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

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

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

Disposition: Destroy 15 years after final determination or settlement.

File No. 310-08

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

Disposition: Destroy 10 years after final action on the case.
local Foreign Claim Files. Case files relating to claims arising in
foreign countries for death or personal injury; damage, loss,
or destruction of public or personal property; or in connection
with provisions of contracts, leases, or other instruments. They
are limited to those claims which must be settled under local
laws, regulations, or agreements.

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

File No. 310-10

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

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

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

File No. 330-01

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

Disposition: Destroy 15 years after completion of litigation.*

File No. 330-02

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

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

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

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

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

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

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

**File No. 330-04 (NC-170-77-1)**

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

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

**File No. 330-05 (NC-170-77-1)**

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

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

**File No. 330-06**

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

Disposition: Destroy 6 years after property disposition, transfer or return.

**File No. 330-07**

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

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

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

File No. 330-08

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

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

** Addition
LEGISLATIVE AND CONGRESSIONAL LIAISON FILES

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

File No. 360-01

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

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

File No. 360-02

Reserved.

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

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

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

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

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

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

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

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

**File No. 360-06

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

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

File No. 360-07

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

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

File No. 360-08

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

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

File No. 360-09

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

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

File No. 360-10

Congressional Committee and Subcommittee Files. Documents relating to various congressional committees' actions on pending legislation affecting or of interest to DEA. Included are memoranda, messages, copies of legislative bills, DEA Forms 112a, and similar or related documents.
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Disposition.  a. Offices performing staff responsibility
for overall DEA legislative program: PERMANENT. Retire to
WNRC when accumulation reaches one cubic foot. Transfer to
the National Archives when 15 years old.
b. Other offices: Destroy after three years.

File No. 360-11

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

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

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

**File No. 370-01**
Reserved.

**File No. 370-02**
Reserved.

**File No. 370-03**

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

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

**Disposition:**

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

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

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

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

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

f. Videotapes and scripts: PERMANENT. Transfer original, one copy and script annually to the National Archives when five years old.
File No. 370-04 (NCI-170-77-1)

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

Disposition: Destroy 5 years after release of feature story.

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

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

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

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

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

Disposition: Destroy 10 years after terminating the contract.

File No. 370-07

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

Disposition: Destroy 5 years after approved for publication.

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

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

Disposition: Destroy 2 years after release of information approved.

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

DEA Community Relations Files. Documents relating to DEA information programs with private and public agencies, and community groups on drug abuse prevention activities.
Disposition: Destroy 5 years after termination of program.

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

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

Disposition: Destroy 2 years after completing distribution.

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

Commercial Authorship Approval Files. Documents reflecting the authorization for DEA personnel to speak or write on a regularly scheduled basis for commercial publications or interests.

Disposition: Destroy on expiration or revocation of the approval.

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

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

Disposition: Destroy 2 years after termination of campaign.

File No. 370-13

Reserved.

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

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

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

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

DEA Publications Files. These files consist of pamphlets, reports, leaflets, or other published or processed documents, produced on a regular basis. These documents are primarily in narrative form (versus statistical), although they may contain statistical information. Files may consist of a record copy, coordination documents, and input document.
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Disposition. a. Office of Record:
1. DEA World, or its successor publication. Destroy when no longer needed for reference.
2. All other publications: PERMANENT Transfer annually to the WNRG Transfer to the National Archives when five years old.
b. Copies held by other offices: Destroy when three years old

File No. 370-16
Communication Services Program Management Files. Documents related to establishing and administering the Communication Services programs in DEA. Included are coordinating actions, instructions, authorizing directives, reports, interpretations, messages, correspondence, and similar or related documents.
Disposition: Destroy after 6 years.

File No. 370-17
Information Services Background Files. Documents used as background material in developing and finalizing responses, comments, speeches, remarks, testimony, or similar presentations by DEA officials. Included are memos, brochures, transcripts of testimony, DEA and non-DEA reports, Congressional reports, newspaper and magazine articles, computer generated printouts, and similar or related documents.
Disposition: Destroy when 3 years old, unless superseded sooner.

File No. 370-18
Executive Precis Files. Documents that summarize the education and experience of high level DEA officials (Administrator, Deputy Administrator, Assistant Administrators, Special Agents in Charge, etc.). Documents may be filed either alphabetically by name or organizationally by position held.
Disposition: Destroy 2 years after incumbent vacates position by transferring to another agency, resigning, or retiring. Earlier destruction authorized.

File No. 370-19 and 370-20
Unassigned.

**File No. 370-21
Statistical Services Programs Files. Documents relating to administering the Statistical Services function in DEA. Included are coordinating activities, studies, reports, interpretations, messages, correspondence, and similar or related documents.
Disposition: Destroy after 6 years.

** Addition
File No. 370-22

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

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

File No. 370-23 and 370-24:

Unassigned.

File No. 370-25

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

Disposition: Destroy after 6 years.

** Addition
FREEDOM OF INFORMATION AND PRIVACY ACT FILES

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

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

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

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

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

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

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

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

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

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

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

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

FOIA Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requestor.

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

File No. 380-04 (GRS No. 14-*14*-sub4km b)

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

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

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

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

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

File No. 380-06 through 380-19

Unassigned.

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

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

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

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

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

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

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

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

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

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

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

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

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

Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 USC 551a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

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

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

Privacy Act Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor.

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

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

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

b. Other reports: Destroy when 2 years old.

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

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

* Revision
DETAIL ACCOUNTING FILES

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Unpaid Purchase Order Files. Copies of Orders for Supplies or Services (OF-347), including contracts, which DEA has not paid. Maintain documents by purchase order number.
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Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-04).

File No. 401-06 (GRS 6-1a)
Paid Government Travel Request Card Files. Copies of Government Travel Requests (SF-1169) that reflect payment by DEA. Cards are maintained in serial number sequence.

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

File No. 401-07 (NCI-190-77-1)
Unpaid Government Travel Request Card Files. Copies of Government Travel Requests (SF-1169) which DEA has not paid. Cards are maintained in serial number sequence.

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

File No. 401-08 (GRS 6-1a)
Paid Transportation Schedules Files. Copies of Voucher and Schedule of Payments (SF-1166) that reflect payments by DEA to common carriers. Schedules are maintained in serial number sequence.

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

File No. 401-09 (GRS 6-1a)
Paid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) and Public Vouchers for Transportation Charges (SF-1113) that reflect payment to common carriers by DEA. Bills of Lading are maintained in vendor name sequence.

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

File No. 401-10 (NCI-170-77-1)
Unpaid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) for which the common carrier has not been paid by DEA. Bills of Lading are maintained in serial number sequence.

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

File No. 401-11 (GRS 6-1a)
Reimbursable Moving Expenses and Taxes Withheld Files. Reports of Federal and state taxes withheld from wages of DEA employees who had a permanent change of station.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.
Travel Advance Card Files. Copies of Application and Account for Advance of Funds (SF-1038) concerning payment to employees for official travel. Maintain cards in alphabetical sequence by traveler's name.

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

Imprest Fund Account Files. Documents accumulated by imprest fund cashiers/subcashiers which reflect the receipt and accounting for imprest funds. Included are copies of the Request for Change or Establishment of Imprest Funds (OF-211), Reimbursement Vouchers (OF-1029), Request for Permanent Change in Imprest Funds (SF-1191), Monthly/Quarterly Audit Fund Report (DEA-153), Designation of Subcashier or Alternate Subcashier/Change in Imprest Fund (DEA-358), and other related forms of reimbursement vouchers and receipts for imprest funds. Also included are various logs used to control the funds, such as the Flashroll Log and the Foreign Currency Log.

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

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

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

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

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

Monthly Disbursement and Collection Document Files. Copies of vouchers that reflect disbursements made by DEA and collections received by DEA. Included are Statement of Transactions (SF-224), Vouchers of Transfers Between Appropriations and/or Funds (SF-1080), Vouchers and Schedule of Withdrawals and Credits (SF-1081), Schedules of Cancelled Checks (SF-1098), Vouchers and Schedule of Payments (SF-1166), and Statement of Transactions (SF-1221).
Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

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

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

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

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

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

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

File No. 401-19

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

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

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

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

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

File No. 401-21

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

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-20).
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File No. 401-22
Reserved

File No. 401-23 (GRS 6-1a)
Accounts Receivable Files. Records of accounts receivable pertaining to travel advances paid to employees and bills submitted by DEA to vendors or other agencies, pending payment to DEA. Records are maintained in account number sequence.

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

File No. 401-24 (NI-170-86-2)
Delinquent Travel Advance Files. Records that reflect overdue or delinquent repayment of travel advance funds that were paid to an employee. Records are maintained in alphabetical sequence by employee name.

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

File No. 401-25 (NI-170-86-2)
Obligation Control (Log) Register Files. Used to record and control the assignment of fiscal accounting data, consisting of an entry in the register for each obligation.

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

**File No. 401-26
Detail Accounting Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the detail accounting program.

Disposition: Destroy when 6 years old.**

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

File No. 410-01

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

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

File No. 410-02

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

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

File No. 410-03

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

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

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

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

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

File No. 410-05

Subsidiary Monthly Payment Files. Documents relating to monthly payment schedules, allotment schedules, and transmittals.
Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

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

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

Disposition: Destroy 1 year after receipt of printout.

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

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

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

**File No. 410-08**

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

Disposition: Destroy after 6 years.**

** Addition
PROCUREMENT MANAGEMENT FILES

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

File No. 480-01

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

Disposition: Destroy when superseded or obsolete.

File No. 480-02

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

Disposition: Destroy 6 years after recession.

File No. 480-03

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

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

File No. 480-04

Procurement Reviews, Inspections, and Audit Files. Documents relating to the review, inspection, and audit of procurement matters and contracts for such aspects as legal sufficiency, appropriateness of award, reasonableness of cost and price, preparation of documents, etc. Included are copies or extracts of reports made by DEA inspectors, procurement staff personnel, and
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DOJ or GAO auditors. Also included are recommendations for corrective action, resolutions, and related followup correspondence. Replies to Freedom of Information requests for purchasing information are also included.

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

File No. 480-05

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

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

File No. 480-06

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

Disposition: Destroy when superseded or obsolete.

File No. 480-07

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

Disposition: Destroy when superseded or obsolete.

File No. 480-08

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

Disposition: Destroy unsuccessful unsolicited vendor proposals after 8 years, 6 years and 3 months.
INDIVIDUAL PROCUREMENT TRANSACTION FILES

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

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

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

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

- Open Market Small Purchases up to $25,000, Federal Supply Schedule Delivery Orders, Blanket Purchase Arrangements, Leases for Real Property
- GSA FEDSTRIP Requisitions
- Open Market Contracts Over $25,000

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

File No. 490-01

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

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

File No. 490-02

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

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

File No. 490-03

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

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

File No. 490-04

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

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

** Addition
EQUAL EMPLOYMENT OPPORTUNITY FILES

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

File No. 501-01

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

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

File No. 501-02

Reserved.

File No. 501-03

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

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

File No. 501-04

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

Disposition: Destroy 5 years after plan is approved.

File No. 501-05

Equal Employment Opportunity Special Emphasis Program Files. Documents created in developing, coordinating, executing, and disseminating guidance relative to specific EEO programs that are designed to improve hiring, promotion, training, and assignment of DEA employees. Included are the Federal Women's Program, *Hispanic Employment Program, Black Affairs Program, Asian/Pacific American Program and Selective Placement Program for Handicapped Persons.*

Disposition: Destroy 5 years after termination of program.

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**File No. 501-06**

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

Disposition: Destroy after 6 years.**
PERSONNEL PROGRAM FILES

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

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

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

Disposition: Destroy 3 years after submission of program data.

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

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

Disposition: Destroy 1 year after next comparable inspection.

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

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

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

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

JUNIPER Microfiche Files. Documents consisting of microfiche listings that are generated by the Justice Uniform Personnel System (JUNIPER).
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Disposition:  a. Personnel listings in alphabetical sequence by name and numerical sequence by social security number: Destroy 6 months after receipt.  b. Master file display: Destroy 5 years after receipt.

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

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

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

File No. 510-06

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

Disposition: Destroy when 3 years old.
PERSONNEL POSITION AND PAY FILES

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

File No. 520-01

Reserved.

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

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

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

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

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

Disposition: Destroy when superseded or obsolete.

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

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

Disposition: Destroy when standard is superseded or obsolete.
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File No. 520-05 (NC1-170-77-1)

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

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

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

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

Disposition: Destroy on separation of employee from the agency.

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

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

Disposition: Destroy when superseded or obsolete.

File No. 520-08

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

Disposition: Destroy when 3 years old.
**File No. 520-09**

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

Disposition: Destroy when 5 years old.

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

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

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

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

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

Disposition: Destroy when obsolete or superseded.

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

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

Disposition: Destroy 3 years after case is closed.

**File No. 520-13**

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

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

** Addition
EMPLOYMENT SERVICES FILES

These files relate to selecting and retaining employees for DEA.

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

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

Disposition: Destroy 2 years after date of certification.

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

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

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

File No. 530-03

*Delete.*

**File No. 530-04

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

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

* Revision
** Addition
EMPLOYMENT APPLICATION FILES

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

File No. 540-01 (NCL-170-77-1)
Qualification Standard Files. Documents used in rating applications for appointments and approving noncompetitive actions. Included are index to standards; OPM Handbook X-118, OPM Departmental Circular 588; examination announcements; special standards, such as promotion and training agreements; and similar or related documents.

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

File No. 540-02 (NCL-170-77-1)
Active Employment Application Files. Documents pertaining to individuals who can be considered for appointment. Included are applications and related documents.

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

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

File No. 540-03 (NCL-170-77-1)
Inactive Employment Application Files. Documents pertaining to applicants for Federal employment rated as not qualified for consideration for appointment, applicants who decline or will not be available for appointment for an indefinite period of time, and applicants for who employment determinations preclude selection. Included are applications and related documents.

Disposition: Destroy after 2 years (with prior approval of OPM), or on receipt of OPM inspection report.
**File No. 540-04**

Announcement, Notification, and Publicity Files. Included are position announcements, notices of scheduled examinations, public notices of opportunity to compete, and material reflecting all efforts made to reach the best sources of quality candidates (e.g., paid advertising).

Disposition: Destroy 5 years after terminating related register, announcement, or advertisement.

**File No. 540-05**

Requests for Information Files. Documents consist of requests for information on announced position vacancies and DEA employment in general, plus the response to the request. Included are unsolicited resumes and SF-171's.

Disposition: Destroy after 2 years.**
INDIVIDUAL EMPLOYEE FILES

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

File No. 550-01

Official Personnel Folder Files. Documents which reflect qualifications, efficiency, promotions, awards, and similar information on a DEA employee. Included are individual personnel folders, Notification of Personnel Action (SF-50), and allied forms and related documents.

Disposition: a. Transfer of employee: Transfer folder to new employing office. b. Separation of employee: Retire to National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, MO 63118. NOTE: Maintain and dispose of temporary records on left side of OPF in accordance with FPM Chapter 293 and Supplement 293-31.

File No. 550-02 (NC1-170-77-1)

Expert and Consultant Data Files. Documents reflecting the names, designations, rates of compensation, duties, and number of days service of experts and consultants. Included are extra copies of personnel actions, descriptions of services to be performed, and similar or related documents.

Disposition: Destroy 2 years after separation of employee.

File No. 550-03

Employment and Financial Interest Statement Files. Documents reflecting Government employment, private employment, and financial interest of DEA employees required to file such statements as required by the DEA Personnel Manual. Included are statements of employment and financial interests, supplementary statements, reports of change, review comments, and related papers.

Disposition: Destroy 2 years after separation, retirement, reassignment, or death of the individual.
File No. 550-04

Notification of Personnel Action Files. Documents which consist of copy No. 6 (utility copy) of SF-50, which is filed by nature of action in chronological sequence.

Disposition: a. Accessions and separations: Destroy 10 years after the effective date of the nature of action. b. Other documents: Destroy 2 years after the effective date of the nature of action.
PROMOTION, PLACEMENT, AND CAREER MANAGEMENT FILES

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

File No. 560-01 (NCl-170-77-1)

Referral and Selection Files. Documents reflecting placement and promotion actions under the Merit Placement and Promotion Program. Maintain in chronological order by date of certification.

Disposition: Destroy after 2 years or after regularly scheduled OPM inspection.

File No. 560-02 (NCl-170-77-1)

Placement Consideration Files. Documents pertaining to employees considered to fill a vacancy but not selected and held for future consideration of employee. Included are requests for consideration, vouchers, results of interviews, qualification summaries, copies of notices of eligibility, and similar or related documents.

Disposition: Destroy after 2 years or after regularly scheduled OPM inspection.

File No. 560-03

*Delete*

File No. 560-04 (NCl-170-77-1)

Career Management Files. Documents related to formulating and directing a planned system for the progressive development of employees and to provide a source of input to meet continuing staffing requirements within designated career occupational fields. Included are coordinating actions, studies, interpretations, and published record copies of instructions; DEA wide letters; messages; newsletters; and similar or related documents.

Disposition: Destroy 5 years after system is superseded or obsolete.

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File No. 560-05 (NC1-170-77-1)

Occupational Inventory Files. Documents reflecting qualifications, availability, appraisals, and other data on persons registered in specific career fields. Included are forms, printouts, and similar or related documents.

Disposition: Destroy 2 years after individual is no longer eligible for consideration.

File No. 560-06

*Delete.*

File No. 560-07 (NC1-170-77-1)

Career Trainee Input Requirement Files. Documents reflecting trainee input requirements in occupational fields. Included are letters, forms, printouts, and similar or related documents.

Disposition: Destroy 2 years after the end of the fiscal year for training input requirements.

**File No. 560-08 (NC1-170-88-1)**

Special Agent Career Management Files. Documents reflecting offers or notices of assignment to posts of indicated preference. Also included are offices of preference by agents selecting the investigative career path or indicating the management career path, and computer-generated printouts derived from this information. Documents may include policy or position papers, correspondence, copies of SF-52's, and similar or related documents on the office of preference program.

Disposition: a. Assignment notices and policy documents or position papers: Destroy after 3 years. b. Agent-filed career and office of preference forms, and computer printouts of the associated database: Destroy after 1 year.

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** Addition
**File No. 560-09**

Non-1811 Career Management Files. Documents reflecting offers or notices of assignment to positions applied for. Included are acceptance letters; welcoming letters, and other correspondence related to the assignment. Documents may include policy or position papers, copies of SF-52's, travel orders, and similar or related documents.

Disposition: Destroy after 3 years.

**File No. 560-10**

Home Leave Files. These files consist of requests by employees in foreign offices for home leave upon completing 2 years overseas, in conjunction with renewing their tour for an additional 2 years. Included are coordinating actions and approvals at designated levels.

Disposition: Destroy when 5 years old.

**File No. 560-11**

Student Assistance and Employment Files. Documents consist of policy or position papers concerning the stay-in-school, summer hire, and cooperative education programs. Included are written agreements with the students and the schools; applications, transcripts, work plans and schedules, recommendations by DEA and school staff members, copies of position descriptions, required reports, correspondence, and similar or related papers.

Disposition: a. Files pertaining to individual students: Destroy 3 years after the student has been either dropped from the program or hired by DEA. b. Other Files: Destroy when 3 years old.

**File No. 560-12**

Orientation Files. Documents consist of program policy and procedural memoranda, brochures, handouts, notifications of orientations, listings, agendas, coordinating actions, and similar or related documents.

Disposition: Destroy after 3 years.**

** Addition
PERSONNEL WELFARE AND GRIEVANCE FILES

These files pertain to employee work schedules, services and facilities, and grievances.

**File No. 570-01 (NC1-170-77-1)**

Hours of Work Files. Documents relating to the establishment of working hours, staggered shifts, holiday staffing, and similar matters affecting the work schedule of civilian employees. Included are coordinating actions, studies, interpretations, and published record copies of instructions; letters; messages; and similar or related documents.

Disposition: Destroy 1 year after no longer effective.

**File No. 570-02 (NC1-170-77-1)**

Employee Service Case Files. Documents related to considering, approving or disapproving, establishing or discontinuing specific employee services or facilities such as medical and health services; recreation; and published record copies of instructions; letters; orders, and similar or related documents.

Disposition: Destroy 5 years after disapproval or discontinuance of the service or facility.

**File No. 570-03**

*Misconduct Appeal and Grievance Case Files. Documents reflecting actions taken on appeals and grievances submitted by DEA employees. Included in each case are employee grievance record; decisions delivered, including records of grievance committee; review decisions; and similar or related documents.

Disposition: Destroy 3 years after case is closed.

**File No. 570-04 (NI-170-86-1)**

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

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the employees rating documents, responses in mitigation, decisions delivered, review decisions, and similar or related documents.

Disposition: Destroy 3 years after final resolution.*

File No. 570-05 (N1-170-86-1)
Retirement Files. Documents reflecting an employee's retirement application, accrued benefits, and associated papers related to the employee's retirement eligibility.

Disposition: Destroy 3 years after approval or disapproval for retirement.

File No. 570-06 (N1-170-86-1)
Fitness for Duty Files. Documents related to determination of an employee's fitness for duty in DEA.

Disposition: Destroy 3 years after case is closed.

File No. 570-07 (N1-170-86-1)
Health/Life Insurance Files. Documents used in determining health and/or life insurance benefits for which an employee is eligible.

Disposition: Destroy 3 years after final resolution.

File No. 570-08 (N1-170-86-1)
Death Claim Files. Documents relating to determination of benefits to an employee's estate or to survivors.

Disposition: Destroy 3 years after final resolution.

File No. 570-09 (GRS No.1-3)
Personal Injury Files. Documents and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, excluding copies filed in the Official Personnel Folder.

* Revision
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Disposition: *Cut-off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut-off.*

File No. 570-10
Disciplinary/Adverse Action Files. Case files and related records in reviewing an Adverse Action (Disciplinary or Non-Disciplinary Removal, Suspension, Leave Without Pay, Reduction-in-Force) against an employee. Included in each case is a copy of the proposed action with supporting papers; statements of witnesses; employee's reply; hearing notices; reports and decision; reversal of action; and appeal records.

Disposition: Destroy 4 years after case is closed.

File No. 570-11 (GRS No. 1-26a)
Personnel Counseling Records. Documents relating to interviews, analyses, and related records of assistance provided to employees.

Disposition: Destroy 3 years after termination of counseling.

File No. 570-12
Personnel Welfare and Grievance Program Management Files. Documents related to establishing and administering the programs in this area. Included are coordinating actions, studies, instructions, authorizing directives, interpretations, messages, and similar or related documents.

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

File No. 570-13 (GRS 1-23a)
Performance Appraisal Program Files. Records consist of letters of instructions, interpretations of regulations, memoranda, other correspondence, and documents used in administering the performance appraisal process and program. Excludes performance ratings (DEA Form 460) which are filed in 020-03 and 550-01.

Disposition: Destroy when 3 years old, or when no longer needed, whichever is sooner.

File No. 570-14
SAC/CA Rating Input Files. Consist of letters of instructions, work sheets, meeting notes and other documents accumulated to provide input for determining mid-year performance reviews and annual performance ratings for Special Agents in Charge and Country Attaches.

Disposition. Destroy when 3 years old or when no longer needed, whichever comes first.

* Revision
PERSONNEL REDUCTION-IN-FORCE FILES

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

File No. 580-01 (NC1-170-77-1)

Reduction-In-Force Data Files. Documents reflecting name of employee, date, position, grade, last performance rating, competitive level code, and similar information. Included are punched cards, card forms, listings, and similar or related documents.

Disposition: Destroy when no longer required for reference.

File No. 580-02 (NC1-170-77-1)

Competitive Level Files. Documents reflecting competitive levels within areas serviced by the DEA personnel officer which are used as a basis for preparing retention registers. Included are cards, listings, and similar or related documents.

Disposition: Destroy when no longer required for reference.

File No. 580-03 (NC1-170-77-1)

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

Disposition: Destroy when 2 years old, unless appeals are pending.
INCENTIVE AWARDS COMMITTEE FILES

These files relate to approving, disapproving, and reporting awards by incentive award committees.

File No. 590-01

Incentive Awards Program Management Files. Documents related to program/policy guidance in the daily operation of this program. Included are coordinating actions/studies, instructions, authorizing directives, interpretations, messages, and similar or related documents.

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

File No. 590-02

Incentive Awards Reporting Files. Documents used to provide statistical information on participation, approvals, savings, or other aspects of the incentive awards program. Included are retained copies of reports, report corrections, and similar or related documents.

Disposition: Destroy 3 years after data were reported.

File No. 590-03

Incentive Award Case Files. Documents related to submitting, evaluating, and approving or disapproving each incentive awards case. Included are types of awards as suggestions, Sustained Superior Performance, Special Act or Service, or Certificate of Achievement.

Disposition: Destroy 2 years after final action.

File No. 590-04 (NCl-170-77-1)

Employee Suggestion Control and Subject Index Files. Documents used as a suspense control of employee suggestions on which action is not completed, and as a subject index to completed suggestions.

Disposition: Transfer from control file to subject index file upon final disposition of suggestion. Destroy 2 years after final disposition of suggestion.
ENFORCEMENT FILES

These files relate to those activities of drug/narcotic enforcement pertaining to criminal/regulatory investigations, drug abuse prevention, and other enforcement-related operations.

File No. 601-01

Jurisdictional Responsibility Files. Documents relating to determining and establishing the scope and responsibility of DEA for drug abuse prevention; detection and investigation of drug/narcotic crimes and offenses; and apprehension, restraint, and custody of offenders or suspected offenders. Included are agreements with other Federal agencies or civil authorities, and similar papers.

Disposition: a. Offices performing DEA-wide staff responsibility: (1) Record copy of agreement and implementing instructions: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 8 years after termination of agreement or functional responsibility. b. Other offices: Destroy 5 years after termination of agreement or functional responsibility.

File No. 601-02 (NC1-170-77-1)

Investigative Technique Files. Documents related to determining and disseminating the techniques, methods, and procedures to be used in investigating and reporting drug/narcotic criminal and regulatory activities and offenses. Included are written guidelines pertaining to using specialized equipment in support of investigations.

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

File No. 601-03 (NC1-170-77-1)

Enforcement Confidential Fund Files. Documents which relate to expenditures of special funds to cover expenses incurred in discharging assigned duties of criminal investigators not otherwise payable from other DEA funds. Funds are used for purchase of evidence and purchase of information.
Disposition: a. Offices performing DEA-wide staff responsibility: Destroy 8 years after vouchered expenditure. b. Other offices: Destroy 5 years after vouchered expenditure.

File No. 601-04

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

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

File No. 601-05

Criminal Investigator Cross-Designation Files. Documents relating to the assignment, termination, or withdrawal of cross-designation of criminal investigators as Customs Officers (Excepted) **and deputization of law enforcement officials to make arrests under the authority of DEA criminal investigators. Included are applications, recommendations, approvals, disapprovals, and related papers.**

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

File No. 601-06

Enforcement Activities Reporting Files. Reports containing statistical and narrative data relating to drug/narcotic cases, compliance violations, drug seizures, intelligence operations, and other enforcement activities. Included are the weekly, biweekly, and monthly activity reports, monthly work hour and project summaries, feeder reports, and consolidated reports and analyses. Does not include reports pertaining to enforcement programs, as such reports are included with the program files. ** Addition
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Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of annual reports: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Consolidated data: Destroy 5 years after preparing report. (3) Feeder reports and similar data: Destroy 1 year after preparing report. b. Other offices: Destroy 3 years after preparing report.

File No. 601-07

Numbered Investigative Case Files. DEA reports of investigation concerning offenses related to violations of drug/narcotic laws and required inspections of registrant activities. Included are DEA reports of investigation (DEA Form 6) and supporting documents.

Disposition: a. Files created in 1968 and afterward:

(1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer closed case files when 10 years old, in 1 year groups, to Federal records center. Case files opened longer than 10 years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

(2) Originating foreign offices will transfer closed case files when 3 years old, in 1 year groups, to Federal records center. Case files opened longer than 3 years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years after date the file was opened) or 22 years from date of last correspondence, whichever date is later.

b. Files created prior to 1968: Originating District and Resident Offices and Investigative Records Unit, Records Management Section, are authorized to destroy all closed FBN case files that were opened in 1955 or earlier. Transfer closed FBN and BDAC case files opened after 1955 to Federal records center in calendar year 1980. Open case files will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

c. Field offices will dispose of case files originated by other District or Resident Offices according to File No. 601-12.
d. Index cards may be destroyed currently when the corresponding files are destroyed; or they may be retained and destroyed in year 2004. Offices having a NADDIS terminal may destroy index cards for investigative reports dated from July 1, 1975 to present date.

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

File No. 601-08

General Investigative Files. DEA reports of investigation that are limited in scope concerning individuals, firms, ships or related subjects pertinent to violations of drug narcotic laws or DEA registrant activities. Included are numbered and unnumbered general investigative files. Name and program general files procedures are outlined in Chapter 62 of the DEA Agents Manual.


b. Numbered files: (1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer inactive files (i.e., 5 years after date of last correspondence) to Federal records center 10 years from the date the file was opened. Files still active after 10 years will be retained until they become inactive and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files 2 years after date of last correspondence) to Federal records center 3 years from date the file was opened. Files still active after 3 years will be retained until they become inactive and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 23 years from date of last correspondence, whichever date is later.

c. *Field offices will dispose of general investigative files prepared by other District or Resident Offices in accordance with File No. 601-12.*

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

File No. 601-09

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

* Revision
Disposition: a. Unnumbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center in calendar year 1979. Active files will be retained until they become inactive and then transferred to Federal records center as indicated in paragraph b. below. Destroy in calendar year 1993 or 20 years from date of last correspondence, whichever date is later.

b. Numbered files with reporting (originating) office designator:

(1) Domestic offices will transfer inactive files (i.e., 5 years after date of last correspondence) 10 years after date the files were opened, in 1 year groups, to Federal records center (CI files will not be sent to the center at Laguna Niguel, CA). See Appendix 0755A for a list of the Federal records centers. Offices having files still active after 10 years, will retain the files until they become inactive and forward the files to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files (i.e., 2 years after date of last correspondence), 3 years from date the file was opened, in 1 year groups, to Federal records center. Offices having files still active after 3 years will retain the files until they become inactive and transfer the files to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 23 years from date of last correspondence, whichever date is later.

Note: The sensitivity of these files requires that they be stored in a vault or classified area of the Federal records center. These files will be sealed in records center boxes and delivered by the DEA activity to the Federal records center, picked up and receipted for by the records center, double wrapped and sent by registered mail return receipt through USPS or forwarded by diplomatic pouch. These boxes and SF-135 will be annotated with the special handling marking "NOT TO BE OPENED BY NARA; RESTRICTED TO DEA PERSONNEL".

c. Numbered files with another office designator: Files pertaining to cooperating individuals of another District or Resident Office may be destroyed when the last correspondence in the files is 2 years old. Prior to destruction, transfer the original copies of payment vouchers (DEA Form 103) to the office that established the cooperating individual. Also, forward copies of status reports or correspondence not previously sent to the establishing office (do not send cross-file copies of debriefing reports).

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.
File No. 601-10 (NC1-190-77-1)

Enforcement Journal Files. Documents containing a chronological record of agent activity developed from reports, complaints, incidents, or information received, and action taken.

Disposition: Destroy 3 years after journal entry date.

File No. 601-11

Foreign Country Files. Documents relating to drug/narcotic enforcement activities in a foreign country. These files include:

a. Correspondence with foreign governments concerning international cooperation in enforcement activities and documents concerning methods used to control international trafficking in narcotics; agenda, minutes, and reports of meetings and conferences on narcotic control; and documents concerning DEA participation in negotiations concerning internal narcotic control matters, including position papers.

b. Studies of drug/narcotic production and distribution, assessments of anti-narcotics efforts within a country, delineation of areas of responsibility for drug/narcotic enforcement, position papers, and status reports of drug/narcotic enforcement.

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

File No. 601-12

Other Field Office Investigative Files. Files received from subordinate offices (District and Resident) of field Divisions and Country Offices are included in this category. Copies of DEA Reports of Investigation (DEA Form 6) and other investigative documents received from or prepared for other field Divisions, Country Offices, District Offices, Resident Offices, and Headquarters offices. These files are established and maintained separately from the numbered files originated by field offices.

Disposition: Destroy 10 years after date of report. Earlier destruction is authorized when the files are no longer needed for investigative purposes. Do not transfer files to Federal records center.
ENFORCEMENT GRANT PROGRAMS FILES

File No. 610-01
Reserved.

File No. 610-02
Reserved.
**620 DRUG ABUSE PREVENTION FILES**

These files relate to those activities performed by DEA in cooperation with: other U.S. Government agencies; state, local, and foreign governments; plus civic, professional, and business groups. These goals of these activities are to publicize the effects and dangers of drug abuse through: personal appearance speaking engagements of top DEA officials, sports figures, and civic/business professionals knowledgeable in this area; training seminars for athletic coaches; drug abuse prevention publications in several languages; and other programs as may be advised.

**File No. 620-01**

Demand Reduction Program Management Files. Documents relating to establishing and administering the daily operation of the functions of this program area through the program/policy guidance issued. Included are coordinating actions, studies, memoranda, messages, reports, instructions, authorizing directives, and similar or related documents.

Disposition:  a. Office of Record: Destroy after 6 years.  b. Other offices: Destroy after 3 years.

**File No. 620-02**

Demand Reduction Project Files. Documents received or created in planning, coordinating, executing, and reviewing courses of action for reducing the demand for narcotics. Included are: documents on seminars, public appearances and displays, publications, and foundations; promotions by national/state/local/professional groups, parents, private industry, civic groups, and sports figures; agreements with medical groups and law enforcement groups; and training programs.

Disposition:  
  a. Headquarters Project Files: PERMANENT. Retire to the WNRC when 5 years old. Transfer to the National Archives when 15 years old.
  b. Quarterly Reports from field divisions: PERMANENT. Disposition instructions as above.
  c. All other records: Destroy five years after end of functional requirement.
  d. Other offices: Destroy three years after end of functional requirement.

** Addition
DRUG CONTROL FILES

These files relate to the control of legally manufactured drugs.

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

Drug Evaluation Files. Documents pertaining to studies and technical reviews of abuse, production, and distribution of drugs for the development of drug control requirements. Included are surveys of rehabilitation facilities, staff position papers, copies of state and Federal programs, statistics on drug diversion, agenda of meetings with government and nongovernment officials, and related papers.

Disposition: Destroy when superseded or obsolete.

File No. 630-02 (NCI-170-77-1)

Controlled Substances Theft/Loss Report. Documents relating to reports of theft or loss of controlled substances, theft or loss of order forms, and reports of investigation.

Disposition: Destroy 5 years after resolving theft or loss.

File No. 630-03

Product Exemption Files. Documents relating to establishing criteria for categorizing drugs in various schedules; coordination with other government agencies for drug reviews; applications for exclusion of nonnarcotic substances from a schedule; applications for exception of a stimulant or depressant compound from a schedule; approval or denial of exclusion or exception; drug scheduling petitions, transcriptions of drug hearings, and review decisions.

Disposition: Destroy when superseded or obsolete.

File No. 630-04 (NCI-170-77-1)

Controlled Substances Reporting Files. Reports accounting for stocks of narcotic controlled substances, excluding theft/loss reports. Included are reports from manufacturers and importers; reports of distributors and exporters; reports from manufacturers
importing opium; reports of manufacturers importing medicinal coca leaves; reports from manufacturers importing special coca leaves; reports from manufacturers of bulk materials or dosage units; reports from packagers and labelers; reports from importers and exporters; reports from distributors; reports from manufacturers importing concentrate of poppy straw; reports of disposal and destruction of controlled substances; feeder reports; consolidated reports; and analyses.

Disposition: Destroy 5 years after receipt of report.

File No. 630-05

Registration Application Files. Documents pertaining to applications by individuals who currently do or propose to manufacture, distribute, or dispense controlled substances. Included are application forms for registration and reregistration; approval, denial, revocation, or suspension of registration; and delinquency notice of registration.

Disposition: a. Approved registration applications: Destroy 8 years after approval of application. b. Administrative coded registration applications (denial, revocation, suspension, etc): Transfer files to Federal records center 10 years after administrative coded action. Destroy *55* years after administrative coded action.

File No. 630-06 (NCl-170-77-1)

Import/Export Permit Files. Documents pertaining to applications to import or export controlled substances. Included are copies of applications for permit to import opium or coca leaves; permit to export controlled substances; and controlled import/export declaration.

Disposition: Destroy 8 years after approval to issue the permit.

File No. 630-07

Controlled Substances Order Form Files. Documents relating to issuing order forms to transfer controlled substances; non-acceptance of order forms; returning unused order forms; cancelling or voiding order forms; and altering order forms.

* Revision
Disposition: Destroy 3 years after issuing the order form.

File No. 630-08 (NC[170-77-1])

Manufacture and Procurement Quota Files. Documents relating to estimates of controlled substances required for procurement, manufacture, stockpiling, and medical/scientific use. Included are reports furnished to the United Nations, and statistical returns on drug production, use, consumption, import, export, and seizure. NOTE: The annual report noted in sub-item a. (1) is the public use version of the cumulative fourth quarter report of the Diversion Analysis and Detection System (DADS), based on data from item 1220-10.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of annual reports required by international conventions or treaties; annual statistical summary of the manufacture and domestic and international trade in narcotics: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 8 years after fiscal year in which quota was established. b. Other offices: Destroy 3 years after fiscal year in which quota was established.

File No. 630-09 (NC[170-77-1])

Registration Journal Voucher Files. Documents relating to receipt of fees from applicants for registration or reregistration of controlled substances, and refunds to applicants.

Disposition: Destroy 3 years after approval to issuance permit.

File No. 630-10 (NC[170-77-1])

Drug Identification Label Files. Drug labels and brochures which list the medical ingredients of drug/narcotic preparations that are manufactured or distributed by a specific company.

Disposition: Destroy when superseded or obsolete.
INTELLIGENCE PROGRAM FILES

These are intelligence files documenting the daily activities, reports, and programs of the DEA intelligence function. Included are studies, reports, correspondence, analytical assessments, briefings, speeches, planning documents, and similar and related materials.

**File No. 701-01

Intelligence Case Support Files. Copies of field requests, responses by the Office of Intelligence, and finished products created from intelligence file reviews, telephone toll analyses, informant briefings and defendant questionings, document analyses, link analysis charts, case analyses, and financial intelligence assessments. The original documents are filed in investigative files (601-07, 601-08, and 601-09).

Disposition: Destroy when 90 days old or when no longer needed for reference, whichever is sooner.

File No. 701-02

Country Narcotic Profile Files. Documents reflecting analyses of narcotics activities within a country with information ranging from cultivation to distribution of narcotics. Included are assessments of the quality, quantity, and dollar value of narcotics; shipment routes; modus operandi of known drug dealers; and descriptions of ethnic and political groups involved in narcotics trafficking.

Disposition: Destroy 2 years after issuance of profile or when profile is superseded or obsolete.

File No. 701-03

Narcotic Trafficking Group Files. Documents reflecting overviews of the activities and methods of narcotic trafficking used by illegal organizations and descriptions of members of the organizations.

Disposition: Destroy 2 years after issuance of the report or when report is superseded or obsolete.

File No. 701-04

Strategic Intelligence Product Files. Finished intelligence documents that are produced by DEA including the monthly digest of drugs intelligence, quarterly intelligence trends, narcotics intelligence estimate (NIE), DEA monitor program report and similar related documents.

** Addition
Disposition: Office performing DEA-Wide staff responsibility: Record copy: Permanent. Transfer to federal records center when 5 years old, offer to NARA when 30 years old. (b) Reference copies: Destroy when no longer needed for reference.

File No. 701-05

Drug Situation Report Files. Strategic reports regarding drug trafficking and smuggling routes, and drug related street gang activities.

Disposition: Destroy 2 years after issuance of report or when report is superceded or obsolete.

File No. 701-06

Intelligence Presentation Files. Narcotic information presentations (including briefings and speeches) to Congress, high level officials, and public interest groups.

Disposition: Destroy 2 years after presentation. Earlier destruction is authorized.

File No. 701-07

Special Field Intelligence Program Files. Documents created in planning and developing a systematic intelligence collection effort to fulfill DEA operational requirements. Included are operational plans, SFIP review committee options, incoming/outgoing cables, DEA Form 6's, funding logs, quarterly status reports and termination reports.

Disposition: Destroy 2 years after termination of functional requirement.

File No. 701-08

Financial and Special Intelligence Program Activities Files.

Documents created in planning and developing systematic intelligence programs designed to provide guidance and support and operational oversight in the implementation of Asset Removal Program, Anti-Money Laundering Programs and Other Financial Intelligence Programs targetted at drug traffickers. Include are documents regarding asset removal teams and asset removal statistics, memorandums of agreement with other Federal, state and local agencies, the establishment of cash tracking networks, documents regarding the Bank Secrecy Act and its application in relation to money laundering investigations and agreements with foreign countries regarding money laundering legislation and activity.

Disposition: Destroy 3 years after program is completed, terminated or replaced.**

** Addition
701-09. Audiovisual Records. Videotapes, maps, and photographic slides prepared respectively for briefings and program documentation.

a. Videotapes: Destroy when superseded or obsolete.
b. Maps: PERMANENT. Transfer to the National Archives in five-year blocks when the most recent record is five years old.
c. Slides: PERMANENT. Transfer when no longer needed to the central collection maintained by the agency photographer, item 370-03. Transfer to the National Archives under the disposition instructions provided for that item.
EL PASO INTELLIGENCE CENTER FILES

These files accumulate from the support effort provided by EPIC relative to the interdiction of domestic and international movement of drugs, aliens, and weapons.

File No. 790-01

EPIC Lookout Files. Documents pertain to investigative information provided by EPIC to agencies which requested lookout action on suspected violators, aircraft, vessels, etc., involved in narcotic trafficking. Included are handwritten message worksheets, EPIC Form 10's (when a lookout is requested via telephone), messages received requesting lookout, DEA Form 6's, lookout messages sent by EPIC to applicable agencies (in response to a lookout request), EPIC generated printouts, and result messages of findings. Documents are maintained by fiscal year, agency or topic category.

Disposition: Destroy 5 years after date of last correspondence on action item.

File No. 790-02

EPIC Watch Inquiry Sheet Files. Documents consist of EPIC Form 10's which are utilized for recording data received by telephone from agencies authorized to request investigative information. Documents are filed by requesting agency, fiscal year, and month. Note: If a telephonic request is received from an agency requesting lookout action, file EPIC Form 10 in a lookout folder under File No. 790-01.

Disposition: Destroy 2 years after month the inquiry was received.

File No. 790-03

EPIC Teletype Files. Copies of teletype replies to various agencies which requested investigative information/lookout actions. Teletypes are filed by agency and/or program series (8000, 9000, 9117 or 9999).

Disposition: Destroy 2 years after month of teletype.

File No. 790-04

Satellite Communications Program Files. Monthly statistical reports reflecting the volume and location of SATCOM units.

Disposition: Destroy 5 years after month of report.
File No. 790-05

Satellite Tracking Program Files. Monthly reports reflecting the number and status of installed transmitters.

Disposition: Destroy 5 years after month of report.

File No. 790-06

Special Operations Files. Documents consist of general and unclassified Operation COCHINO teletypes and reports related to maritime activities and SOFOCAR/TRAMPA daily status reports concerning available resources and seizures.

Disposition: Destroy 2 years after termination of functional requirement.

File No. 790-07

Operation TIGRE Files. Documents include reports resulting from monitoring the activity of suspect aircraft moving through the Western Hemisphere.

Disposition: Destroy 5 years after date of last correspondence related to suspect aircraft.

File No. 790-08

Operation COCHINO Files. Documents consist of classified reports concerning sea smuggling of narcotics.

Disposition: Destroy 5 years after date of last correspondence.

File No. 790-09

Lookout Notice Worksheet Files. Documents consist of copy number 3 of INS Form G-143 which is used by EPIC as an index check of possible suspects.

Disposition: a. Destroy copy no. 3 used for USMS lookout 3 years after date of report. b. Destroy copy no. 3 used for INS lookout 1 year after date of report.
790-10. **Photographs.** Records created or accumulated by the intelligence units of EPIC to document suspect vessels, and interdiction efforts such as methods of concealment, types of vehicles used for smuggling, and so forth.

a. **Maritime Unit.** Destroy five years after date of last action on suspect vessel.

b. **General Unit.** Disposition not authorized (schedule to be provided by agency in near future).

**NOTE:** The Air Unit does not maintain a separate photograph file.

790-11. **EPIC Publications:** Printed reports documenting EPIC program goals and efforts. Topics covered include vessel identification and registration; land, sea, and air narcotics smuggling; assessment of various criminal activities; and evaluation of interdiction methods. The reports date back to the early 1980s.

**Disposition:** PERMANENT. Transfer one copy of each original and revised title to the Records Management Unit of DEA, which will retire the documents to the WNRC. Future titles will be retired to the WNRC when accumulation reaches one cubic foot. Transfer to the National Archives when most recent record is 30 years old.
ENFORCEMENT PROGRAM TRAINING FILES

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

File No. 801-01 (NC1-170-77-1)

Training Facility Requirement Files. Documents related to determining requirements for training facility acquisition, activation, retention, use, expansion, consolidation, inactivation, or disposition. Included are studies, justifications, and similar or related documents.

Disposition: Destroy 5 years after approval of training facility requirements.

File No. 801-02 (NC1-170-77-1)

Training Operation Files. Documents related to planning and conducting agent, police, intelligence, chemist, special field exercises, and other actual training operations. Included are exercise plans, observation and inspection reports, scenarios, critiques, map exercises, general training programs, technical training programs, final reports and comments on them, and similar or related documents.

Disposition: Destroy 3 years after discontinuing training exercise or operation, or when plans are superseded or become obsolete.

File No. 801-03 (NC1-170-77-1)

Training Evaluation Files. Documents relating to inspections of the status and quality of individual training. Included are training inspection reports, reports of corrective action, and similar or related documents.

Disposition: Destroy 2 years after the evaluation.

File No. 801-04 (NC1-170-77-1)

School Planned Input Files. Documents related to the planning, execution and revision of personnel inputs for school courses. Included are comprehensive statements of the training needs of
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each activity authorized to send students to DEA schools, schedules of schools and classes to accommodate planned inputs, allocation of school quotas to input activities, coordinating documents, and similar or related documents.

Disposition: Destroy 3 years after receipt of input data.

File No. 801-05 *(NC1-170-77-1)*

School Reporting Files. Documents reflecting such information as the number of school enrollments, turnbacks, graduates, and failures; and number of personnel enrolled from other Federal agencies. Included are forms, printouts, correspondence, and similar or related documents.

Disposition: Destroy 2 years after date of report.

File No. 801-06

Target Practice Files. Documents indicating the time of firing with live ammunition, the area involved, firing safety measures, and similar matters. Included are forms, cards, correspondence, and similar or related documents.

Disposition: Destroy 1 year after firing.

File No. 801-07 *(NC1-170-77-1)*

Training Media Files. Documents accumulated by activities engaged in training operations, particularly in the conduct of training. Included are training schedules, programs, lesson plans, and similar or related documents.

Disposition: Destroy 1 year after conducting training operation, except that lesson plans will be destroyed when superseded or obsolete.

File No. 801-08 *(NC1-170-77-1)*

Instructor Information Files. Documents accumulated to provide a locally available record of qualifications, experience, effectiveness, and comparable information on potential instructors, assigned instructors, and guest speakers. They are used in requesting assignment or employment of instructors, utilizing instructors, and determining their need for additional training. Included are instructor evaluation forms, qualification data, biographical sketches and similar or related documents.

Disposition: Destroy 2 years after transfer or separation of the instructor.
ENFORCEMENT INDIVIDUAL TRAINING FILES

These files relate to the attendance and proficiency of individuals participating in various types of the DEA drug/narcotic training.

**File No. 810-01 (NC1-170-77-1)**

*Individual Training Record Files.* Documents indicating attendance at various phases of training, evaluation of individual students, mandatory training progress, educational records and activities, test scores on training activities, and similar information concerning the progress and attendance of each individual participating in the DEA drug/narcotic training. Included are cards, card forms, and similar or related documents.

Disposition: Forward evaluation reports with the transfer of the individual. Destroy remaining records 5 years after completing schooling or withdrawal of the student.

**File No. 810-02 (NC1-170-77-1)**

*Proficiency Test Files.* Documents reflecting degree of proficiency in enforcement training such as weapons qualification. Included are proficiency tests and similar or related documents.

Disposition: Destroy after appropriate entry has been made on the qualification card or on the individual's training record.
ENFORCEMENT INDIVIDUAL TRAINING FILES

These files relate to the attendance and proficiency of individuals participating in various types of the DEA drug/narcotic training.

File No. 810-01 (NC1-170-77-1)

Individual Training Record Files. Documents indicating attendance at various phases of training, evaluation of individual students, mandatory training progress, educational records and activities, test scores on training activities, and similar information concerning the progress and attendance of each individual participating in the DEA drug/narcotic training. Included are cards, card forms, and similar or related documents.

Disposition: Forward evaluation reports with the transfer of the individual. Destroy remaining records 5 years after completing schooling or withdrawal of the student.

File No. 810-02 (NC1-170-77-1)

Proficiency Test Files. Documents reflecting degree of proficiency in enforcement training such as weapons qualification. Included are proficiency tests and similar or related documents.

Disposition: Destroy after appropriate entry has been made on the qualification card or on the individual's training record.
FOREIGN NATIONAL TRAINING FILES

These files relate to the DEA drug/narcotic enforcement training of personnel of friendly foreign nations.

File No. 820-01 (NCI-170-77-1)

Foreign Training Program Files. Documents relating to the development of programs for the training of foreign nationals by DEA. Included are communications on training requirements with the foreign nation concerned, acceptances, cancellations, program guidance, and similar or related documents.

Disposition: Destroy 3 years after terminating the program training requirement.

File No. 820-02 (NCI-170-77-1)

Foreign Training Program Control Files. Documents reflecting the category of training, number of spaces programmed, number and cost of training spaces allocated, and similar data for each country supported.

Disposition: Destroy 2 years after fiscal year in which training was programmed.

File No. 820-03

Training Assistance Files. Documents related to training furnished foreign nations by DEA mobile training teams. Included are requests for training teams, comments of DEA Country Attaches, acceptances, cancellations, foreign training effectiveness reports, and similar or related documents.

Disposition: Destroy 3 years after fiscal year in which training was programmed.

File No. 820-04 (NCI-170-77-1)

Foreign National Personnel Files. Documents related to selecting and processing foreign nationals for training in DEA facilities. Included are biographical data on the student, other foreign student data, copies of academic reports, and similar or related documents.
Disposition: Destroy 5 years after fiscal year in which training was conducted.

File No. 820-05 (NCI-170-77-1)

Foreign Training Reporting Files. Documents reflecting the status and progress of foreign nationals being trained by DEA personnel. Included are training reports and similar or related documents.

Disposition: Destroy 3 years after fiscal year in which training was conducted.
TRAINING AIDS FILES

These files relate to constructing training devices, preparing graphic training aids, the status of training publications, accomplishing training film projects, and controls over the production and issuance of such materials.

File No. 830-01

Training Aids Program Files. Documents relating to the formulation of annual programs for developing, producing, and procuring training aids. Included are graphic aids development programs, lists of film projects recommended for production, lists of approved film projects, and similar or related documents.

Disposition: Destroy 5 years after training program is implemented. Note: Dispose of audiovisual records in accordance with instruction covering related audiovisual records described under 830-02.

File No. 830-02

Training Aids Files. Training aids developed or produced for local use or distribution. Included are graphic training aids, such as charts, diagrams, maps, and illustrations; locally produced training films; training devices specifications, photographs, transparencies, and other reproductions of the aforementioned material; instructional material such as instructional notes, illustrative problems, practical exercises, and checklists; and related correspondence and comparable material used in presentation of the subject and completion of training by students; and audiovisual records (as described under General Records Schedule 21) that depict specialized or unique training techniques/methods, and training of foreign law enforcement personnel in overseas areas.

Note that these records may be subject to restriction under subsection (b)(7)(E) and (F) of the Freedom of Information Act.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Training aids illustrating unique enforcement methods: (a) Audiovisual material: PERMANENT. Transfer annually when records are five years old. (b) Lesson plans and other textual documentation: PERMANENT. Retire to WNRC when five years old. Transfer to the National Archives when 30 years old. (2) Other training aids: Destroy when superseded or obsolete.

b. Other offices: Destroy when superseded or obsolete.
File No. 830-03 (NC1-170- 77-1)

Training Aid Work Order Files. Documents reflecting requests for construction or manufacture of training aids. Included are work orders, cost estimates and data, sample illustrations, photographs, clippings, correspondence, and similar or related documents.

Disposition: Destroy 1 year after completing or discontinuing related work.
DEA EMPLOYEE TRAINING FILES

These files relate to educating and training DEA personnel in other Federal agency schools, educational institutions and commercial organizations, including on-the-job and off-the-job training, to meet special requirements essential to performing the mission of the activity to which they are assigned.

File No. 860-01 (NCI-170-77-1)

Training and Promotion Agreement Files. Documents related to negotiating master training and promotion agreements with the Office of Personnel Management in professional fields in which there is a current and continuing DEA-wide shortage of available personnel. Included are requests to establish training programs not currently authorized by regulations, agreements, program approvals, and similar or related documents.

Disposition:  a. Office responsible for negotiating the agreement: Destroy when agreement is superseded or obsolete.  b. Other offices: Destroy 2 years after fiscal year in which training was programmed.

File No. 860-02 (NCI-170-77-1)

School Planning Files. Documents pertaining to planned requirements for training, selection of schools and courses, arrangements for special noncatalog courses, program revisions, and related matters.

Disposition: Destroy 5 years after fiscal year in which training was programmed.

File No. 860-03 (NCI-170-77-1)

School Admission Files. Documents relating to the admission of DEA personnel to schools and courses. Included are requests for admission, statements of acceptance, notifications of acceptance, completion statements, costs, and similar or related documents.

Disposition: Destroy 2 years after completion of schooling, rejection of the individual or withdrawal of the student.
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File No. 860-04 (NC1-170-77-1)

Training Reporting Files. Documents reflecting the status of employee training in government and nongovernment facilities. Included are reports and related documents.

Disposition: Destroy 3 years after submitting report.

File No. 860-05 (NC1-170-77-1)

Training Program Files. Documents relating to establishing, managing, and evaluating local training programs for DEA employees. Included are training plans, reviews of training requirements, apprentice training program registration with the Department of Labor, and similar or related documents.

Disposition: *Destroy 15 years after the fiscal year in which the training was programmed.*

File No. 860-06 (NC1-170-77-1)

Contract Training Files. Documents reflecting contract training of DEA employees in nongovernment facilities. Included are requests for approval of the training; justification; obligated service agreements; recommendations for waivers, approvals; and similar or related documents.

Disposition: Destroy 3 years after completion of training or upon expiration of obligated service agreement.

File No. 860-07 (NC1-170-77-1)

Record of Training Files. Documents reflecting information pertinent to individual trainee participation in off-the-job training courses, completed record of training forms, and similar or related documents.

Disposition: Review annually and destroy that portion pertaining to individuals who are no longer employed by DEA.

File No. 860-08 (NC1-170-77-1)

Training Material Files. Documents used in training DEA personnel through short on-site training courses and instructional confer-

* Revision
ences. Included are minutes and agenda of instructional conferences, course outlines, handouts, instruction sheets, and similar or related documents.

Disposition: Destroy 2 years after superseded or obsolete.

File No. 860-09

Physical Fitness Program Files: Documents relating to the establishment, management, and evaluation of the Physical Fitness Program for DEA employees. Included, but not limited to, are issues relating to Program Development, GYM Facilities, Training, Coordinator Training, Personnel Matters, Travel, Budget, Printing, and General Reference Information.

Disposition: (a) Office performing DEA-wide responsibility: (1) Destroy 10 years after fiscal year in which the program was established. (2) Feeder reports and other data: Destroy 5 years after fiscal year in which program was established. (b) Other offices: Destroy 5 years after submission of required reports to principal Headquarters office.

File No. 860-10

Course Announcement Files. Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by Government or nongovernment organizations.

Disposition: Destroy when superseded or obsolete.
LABORATORY FILES

These files are accumulated from laboratory analysis and examining drug and nondrug evidence.

File No. 901-01

Laboratory Case Files. Documents related to the analysis of drug and nondrug evidence. Included are evidence accountability and disposition records, chemists worksheets, ballistics reports, and related analytical documents.

Disposition: Transfer case files to Federal records center 2 years after closing investigative case. Destroy 10 years after close of investigative case.

File No. 901-02

Index Book Files. Ledgers maintained to record evidence received in the laboratory.

Disposition: Transfer ledgers to Federal records center 2 years after the last recorded investigative case is closed. Destroy 10 years after the close of the last recorded investigative case.

File No. 901-03 (NCI-170-77-1)

Evidence Accountability Files. This is a temporary file and consists of the original copies of the Evidence Accountability Record, DEA Form 307.

Disposition: Upon final disposal of the evidence, transfer the original copy of the Evidence Accountability Record to the Laboratory Case Files (901-01).

File No. 901-04 (NCI-170-77-1)

Laboratory Reporting Files. Retained copies of recurring reports, and related correspondence, required by the DEA Laboratory Operations Manual.

Disposition: Destroy 3 years after date of report.
HAZARDOUS WASTE DISPOSAL FILES

These files relate to DEA's efforts to protect public health through a program for the clean-up and disposal of hazardous waste produced by illegal drug laboratories.

**File No. 920-01**

**Hazardous Waste Program Files.** Documents relating to establishing and administering the hazardous waste disposal program in DEA. Included are coordinating actions, studies, instructions, reports, interpretations, messages and similar related documents. Policies and procedures are documented in the DEA Directive System.

**Disposition:** Destroy when 10 years old.

**File No. 920-02**

**Hazardous Waste Compliance Investigation Files.** Documents consist of reports of investigations to determine compliance of contractors with applicable regulations regarding clean-up of sites. Includes reports of analysis, correspondence, and related documents.

**Disposition.** Destroy when 5 years old.

**File No. 920-03**

**Hazardous Waste Site Files.** Documents relating to plans and decisions by DEA and the contractors concerning the clean-up of hazardous waste sites for which DEA assumes responsibility. Included are correspondence between DEA Headquarters and field offices and other Federal agencies; instructions to the contractors, lists of hazardous waste sites, reports, letters of approval, and supporting papers; contractor notebooks of site observations, calculations, maps, drawings, supporting documentation; and preliminary/interim/final reports reflecting accomplishment of required remedial clean-up action.

**Disposition:** a. Office performing DEA-wide staff responsibility: (1) Record copy: Permanent. Transfer to federal records center when 5 years old. Offer to NARA after 20 years. (2) Other material: Destroy when 8 years old. b. Other offices: Destroy when 5 years old.
File No. 920-04

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

Disposition: Destroy when 5 years old.

File No. 920-05

Hazardous Waste Liaison Files. Documents reflecting coordination and focal point of contact with the Environmental Protection Agency, other federal agencies, staff and local environmental agencies, and private industry regarding hazardous waste disposal.

Disposition: Destroy when 5 years old.

File No. 920-06

Hazardous Waste Grant Program Files. Documentation relating to the formulation, award, and changes to grants for hazardous waste studies, demonstrations, and services. Included are evaluations, award notices, task orders, contractor or grantee proposal, and reports.

Disposition: Destroy 6 years after completion of project.

File No. 920-07

Hazardous Waste Reporting Files. Documents include periodic, annual and final reports and evaluations submitted by contractors, grantees, and DEA activities. Excludes reporting documents covered elsewhere in 920 category.

Disposition: Destroy when 10 years old.
These records are accumulated from developing long range guidance for research and technology based on the DEA drug/narcotic requirements.

**File No. 930-01**

R&D Planning Files. Documents that accumulate from developing long range plans or forecasts in research and technology. They involve the establishment of schedules to achieve the DEA's long range research and technological objectives, the formulation of new concepts and requirements in research and technology for planning purposes, and similar matters. Included are research and technological long range plans or forecasts and documents contributing to the development of the plans or forecasts.

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

**File No. 930-02**

DEA Scientific Advisory Committee Files. Documents accumulated by the chairman of the DEA Scientific Advisory Committee concerning review and evaluation, appraisal of facilities, and study and recommendations on special problems of research and technology in DEA. Included are documents reflecting actions taken and matters considered by the panel, such as agenda of meetings, minutes of meetings, reports and recommendations distributed to panel members, and similar documents.

Disposition: a. Office of DEA committee chairman or senior DEA representative: (1) Record Copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 10 years old. (2) Other documents (extra copies): Destroy 5 years after meeting of the committee. b. Offices of committee members: Destroy 2 years after meeting of the committee.

**File No. 930-03 (NCI-170-77-1)**

Scientific Research Schedule Files. Documents relating to cost projections for research projects, including information about
program objectives in terms of projects, tasks, status and time phasing for research, and funds required.

Disposition: Destroy 2 years after completing or cancelling the project.

File No. 930-04 (NC1-170-77-1)

Unfunded Study Files. Documents accumulated in providing information for use in, and in exchange for, copies of studies conducted and funded by civilian concerns as part of their drug/narcotic-oriented research programs. Included are study assistance requests for applications, coordinating actions, policy agreements governing the release of information, copies of studies and evaluations thereto, and related papers.

Disposition: Destroy 5 years after receipt of study.

File No. 930-05 (NC1-170-77-1)

Problem Statement Files. Documents accumulated in providing information on individual research and technological problems and needs to industrial, academic, and nonprofit research concerns. The information enables the concerns to determine how they can most effectively seek participation in DEA Narcotic Research Program, to prepare and submit unsolicited proposals directed toward solving the stated needs, and to orient their research and technological programs toward maintaining the capability for response to definite requirements for research or hardware technology. Included are problem statements, coordinating actions, communications from qualified concerns indicating whether or not they can assist in fulfilling the stated needs, and related papers, but not unsolicited proposals, or reports equivalent thereto resulting from the problem statement.

Disposition: Destroy 2 years after revision, cancellation, or expiration of the problem statement.

File No. 930-06 (NC1-170-77-1)

Information-to-Industry Briefing Files. Documents created in briefing representatives of industrial, academic, and non-profit research concerns, on current drug/narcotic research problems and anticipated requirements. Included are briefing invitations and
announcements, registration documents, listings of attendees, agendas, minutes of briefings or copies of presentations given, and related papers.

Disposition: Destroy 5 years after the briefing.

**File No. 930-07**

Unsolicited Proposal Files. Documents relating to receiving and administering the evaluation of unsolicited disclosures, data, suggestions, ideas, plans, sketches, drawings, information, discoveries, models, samples, or comparable inventive proposals. Not included are proposals responding to requests for quotation or request for bids for basic research or submitted by scientific personnel in line of duty or under the incentive awards program. Included are proposals from private individuals, memoranda of understanding, communications with submitters, evaluations, and related papers.

Disposition: Destroy 5 years after receipt of proposal.

**File No. 930-08**

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

Disposition: a. Office of Record. Destroy after 5 years. b. Other Offices. Destroy after 3 years.**
RESEARCH AND DEVELOPMENT CONTROL FILES

These records relate to administering and controlling drug/narcotic research projects, and collecting, disseminating, and exchanging scientific information.

File No. 940-01 (NC-170-77-1)

Foreign Scientific Information Files. Documents relating to relationships with foreign nations requesting the exchange and collection of scientific information. Included are papers relating to plans for cooperation, discussions, visits with foreign government officials, and comparable relationships.

Disposition: Destroy 5 years after approval of exchange of information.

File No. 940-02

Project Control Files. Documents accumulating from supervising, managing, and administering drug/narcotic research, development, test, and evaluation of projects. Included are documents relating to project appraisals; recommendations for project initiation, termination, or cancellation; review and analysis of specific research projects; and other papers relating to the projects. Arrange files by project serial number and nomenclature, or title.

Disposition: Destroy 5 years after completion, termination, or cancellation of the project.

File No. 940-03 (NC-170-77-1)

Project Register Files. Registers, listings, index cards, and related documents used to record information on projects and tasks, such as project or task number and title, project or task office, and contract number.

Disposition: Destroy 5 years after projects listed in register are completed.
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**File No. 940-04**

Project Reporting Files. Reports prepared by DEA containing information about individual research, development, test, and evaluation projects and project tasks, including the identification, time phasing, requirements and objectives, and other information about the project or task. Included are research and technology resumes, development plans, or similar reports.

Disposition: Destroy when the project is completed or cancelled, or when no longer needed for reference.

**File No. 940-05 (NC1-170-77-1)**

Project Case Files. These consist of one copy of each preliminary, progress, or final technical report or publication; contract or grant agreement, with changes, modifications, or addendums thereto; test reports and comparable test data; feasibility, cost effectiveness, and state-of-the-art study reports from scientific journals which pertain to research projects supported by DEA.

Disposition: a. Final project or phase report, or analogous documentation such as final test data or evaluation reports: PERMANENT. Retire to the WNRC when 20 years old. Transfer to the National Archives when 30 years old.

b. Other documentation: Destroy 15 years after completion, termination, or cancellation of the project.

**File No. 940-06 (NC1-170-77-1)**

Technical Report Reference Files. Documents maintained in organized library-type collections to provide reference for DEA in-house research activity. They include one copy of each technical report or publication issued by the organization or received from its contractors and one copy of those reports of interest which are received from other sources.

Disposition: Destroy when superseded or obsolete.

**File No. 940-07**

Scientific and Raw Data Files. Documents maintained and used by scientific personnel for research, development, and test of an item, a group of items, or within a field of scientific inquiry. Included are scientific notes; drafts of technical reports and articles; telemetering, oscilloscopes, and time and motion films and recordings; tapes; sound recordings; and similar rough or raw data which is not made a part of the official project case file.

Disposition: Destroy when the data is incorporated or summarized in a technical report or paper; on completion of the project, or when no longer needed for research within the field of inquiry.
COMMUNICATIONS REQUIREMENTS FILES

These files accumulate from developing and reporting requirements for communications-electronic facilities and equipment, including COMSEC equipment.

File No. 970-01
Communication Representation Files. Documents relating to representation on and recommendations to other Federal agencies, including implementing decisions on communications, electronic policies, radio frequency allocation, call signs, radio interference, and radio propagation matters.

Disposition: Destroy 5 years after approval action on communication requirement.

File No. 970-02
Telecommunication Facility Project Files. Documents relating to preparing, validating, and developing projects to design, construct, and install telecommunications services, equipment, facilities, networks, and systems. Included are project letters, bills of material, maps, drawings, specifications, installation data, completion reports, installed communication equipment property cards, and related papers.

Disposition: a. Office performing DEA-wide responsibility: Destroy 2 years after disapproval of the requirement or termination of the project. b. Other offices: Destroy 1 year after disapproval of the requirement or 1 year after discontinuation of the installation or facility.

File No. 970-03 (NC1-170-77-1)
Communication Facility Lease Request Files. Documents relating to requests for providing, rearranging, and removing communication circuits, equipment, and services leased from commercial companies to meet DEA communications requirements. Included are requests for leased facility forms, justification data, and related papers.

Disposition: a. Office responsible for final approval: Destroy 10 years after termination of the lease. b. Other offices: Destroy 2 years after termination of the lease.
Radio Frequency Files. Documents relating to authorizing, allocating, assigning, correlating, and using radio frequencies and call signs.

Disposition:  
- a. Correspondence relating to concurrence of the Federal Communications Commission: Destroy after 1 year.  
- b. Other documents: Destroy on supersession, cancellation or discontinuance of the assignment of use.

Communication Operation Instruction Files. Documents containing information and data on codes, radio frequency assignments, call signs, and lists of holders of code systems.

Disposition: Destroy when superseded or obsolete.
These files accumulate from administering, using, and maintaining communications facilities and equipment.

**File No. 980-01 (NC1-170-77-1)**

**Telephone Service Work Order Files.** Documents used to request and authorize telephone service on Government-owned systems. Included are requests for telephone service, work orders, and related papers.

**Disposition:** Destroy 1 year after completion of work.

**File No. 980-02 (NC1-170-77-1)**

**Telephone Toll Call Reporting Files.** Reports of all authorized official prepaid outgoing, incoming collect, and toll credit card calls.

**Disposition:** Destroy after 3 months, except when discrepancies between these records and toll tickets are found, in which case the files will be held until corrective action has been completed.

**File No. 980-03 (NC1-170-77-1)**

**Communications Equipment Record Files.** Documents relating to modifying, testing, and comparable action pertaining to individual items of equipment used in communications systems.

**Disposition:** Destroy on disposal of the related equipment.

**File No. 980-04**

**Telephone Toll Tickets.** Originals and copies of toll tickets filed in support of telephone toll call payments.

**Disposition:** Destroy after GAO audit or when 3 years old, whichever is sooner.
COMMUNICATIONS CENTER OPERATIONS FILES

These files accumulate in the communications center from operating teletypewriter, facsimile, data transmission services, and similar communications services.

File No. 990-01

Communications Center Operation Files. Documents relating to operating communications centers and concerning the transmission and receipt of electrically transmitted messages. Included are message registers, supervisory logs, performance reports, interference reports, maintenance work orders, frequency logs, and similar documents, but exclusive of other files described in this schedule.

Disposition: Destroy 1 year after transmission or receipt of message.

File No. 990-02 (NCI-170-77-1)

Communications Center Message Files. Copies of incoming and original authenticated copies of outgoing messages maintained in communications centers.

Disposition: Destroy 1 year after transmission or receipt of message. Earlier disposal is authorized.

File No. 990-03 (NCI-170-77-1)

Monitor Reel Tape Files. Tapes providing a temporary record of transmissions for the purpose of accomplishing tracer actions and making retransmissions.

Disposition: Withdraw and destroy 30 days after transmission of message.

File No. 990-04 (NCI-170-77-1)

Service Message Files. Copies of incoming and outgoing service messages relating to traffic handling or operational irregularities. Service messages correcting transmissions are filed with the related message (File no. 990-02).
Disposition: Withdraw and destroy 30 days after receipt of service message.

File No. 990-05 \( (NCl-170-77-1) \)

Operator's Number Sheet Files. Documents indicating the numbers of messages handled on a circuit/channel or piece of communications equipment.

Disposition: Withdraw and destroy 30 days after assignment of number.

File No. 990-06 \( (NCl-170-77-1) \)

Multiple Address and Book Message Processing Files. Documents relating to processing multiple and book messages.

Disposition: Withdraw and destroy 30 days after message is processed.
MEDICAL PROGRAM FILES

These files relate to physical profiling for DEA personnel and the administration of the DEA Medical Program.

**File No. 1001-01 (NC1-170-77-1)**

Medical Review Files. Documents relating to medical fitness for appointment, retention in service, promotion, special assignment, and separation. Included are extracts of medical examinations and similar or related documents.

Disposition: Destroy 3 years after review.

**File No. 1001-02 (GRS 1-21)**

*Employee Medical Folder (EMF) Files.* Long-term medical records as defined in the Federal Personnel Manual (FPM) Chapter 293.

Disposition: a. Transferred employee. See FPM for instructions. b. Separated employees: Transfer to National Personnel Records (NPRC), St. Louis, MO. 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder. If the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later. c. Temporary or short-term records as defined in the FPM: Destroy 1 year after separation or transfer of employee.*

**File No. 1001-03 (GRS 1-20a)**

Health Unit Control Files. Logs or registers reflecting daily number of visits to health unit.

Disposition: a. Destroy 3 months after last entry, if information is summarized on a statistical report. b. Destroy 2 years after last entry if the information is not summarized.

**File No. 1001-04**

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

*Revision*
are coordinating actions, studies, instructions, interpretations, messages, and similar or related documents.

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

File No. 1001-05

Employee Assistance Program Files. Documents related to administering this program. Included are coordinating actions, instructions, authorizing directives, interpretations, messages, and similar or related documents.

Disposition:  a. Office of Record: Destroy after 5 years.  b. Other offices: Destroy after 3 years.
SAFETY PROGRAM FILES

These files result from a program to prevent or reduce personal injury, occupational diseases, and property damage from accidental causes.

File No. 1030-01 (NC1-170-77-1)

Safety Program Files. Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures; survey reports, safety inspection reports, minutes of safety meetings, and notification of safe and unsafe practices. Included are changes made as a result of the findings of the surveys or inspections, and similar or related documents.

Disposition: Destroy 5 years after survey.

File No. 1030-02 (NC1-170-77-1)

Safety Hazard Files. Documents relating to technical review, advice, and guidance for identifying and eliminating or controlling safety hazards. Included are hazard reports and similar or related documents.

Disposition: Destroy 2 years after eliminating safety hazards or completing measures to control them.

**File No. 1030-03

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

Disposition: Destroy 3 years after submission of program data.**

File No. 1030-04

Reserved.

** Addition
ACCIDENT FILES

These files relate to aircraft accidents and incidents, motor vehicle accidents, and marine accidents; fire and explosions; harmful chemical exposures; and other accidents arising from equipment and personnel failures.

File No. 1040-01

Accident Case Files. Documents relating to individual accidents. Included are reports of accidents, and investigations thereof, involving aircraft, motor vehicles, fires, damage to DEA property, injury to or death of personnel, and similar or related documents.

Disposition: Destroy 6 years after close of accident case.

File No. 1040-02

Accident Experience Files. Documents related to the statistical reporting of accidents and summarizing and analyzing accident experience and trends involving aircraft, motor vehicles, fires, personal injury, damage to property and other accidents.

Disposition: Destroy 5 years after completion of data.
PROPERTY MANAGEMENT FILES

These files accumulate as a result of controlling and accounting for supplies and equipment by property officers and other responsible individuals.

File No. 1101-01 (NC 1-170-77-1)

Property Receipt Files. Cards, lists, hand receipts (DEA Form 16), or comparable documents showing accountable property charged to a DEA activity.

Disposition: Destroy or turn in on complete accounting for property, or when superseded by a new receipt or listing.

File No. 1101-02 (NC 1-170-77-1)

Equipment Record Files. Documents used, when required to record individual and cumulative repairs (DEA Form 16B), adjustments, and use of equipment items.

Disposition: Destroy 2 years after equipment leaves custody of DEA.

File No. 1101-03 (NC 1-170-77-1)

Property Accountability Transfer Files. Documents attesting the transfer of property accountability from one accountable officer to another. Included are certificates of transfer, inventory lists, and related documents.

Disposition: Destroy 2 years after satisfactory transfer of property.

File No. 1101-04 (NC 1-170-77-1)

Equipment Loan Files. Documents reflecting loan of equipment to or from other Government agencies.

Disposition: Destroy 2 years after turn-in, or other satisfactory accounting for items involved.
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File No. 1101-05 (NC1-170-77-1)

Report of Survey Files. Reports that describe the circumstances, and recommended action, concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.

Disposition: a. Office performing final review authority: (1) Reports involving pecuniary liability: Destroy 10 years after completing final action. (2) Other reports: Destroy 3 years after completing final action. b. Other offices: Destroy 3 years after completing final action.

File No. 1101-06 (NC1-170-77-1)

Reports of Survey Register Files. Registers and related documents maintained to control reports of survey.

Disposition: Destroy 10 years after last recorded survey.

File No. 1101-07 (NC1-170-77-1)

Property Officer Designation Files. Documents reflecting the designation of property officers. Included are letters of appointment and revocation.

Disposition: Destroy 2 years after terminating appointment.

File No. 1101-08 (NC1-170-77-1)

Packaging and Handling Deficiency Reporting Files. Reports submitted by receiving activities concerning deficiencies in preserving, packing, marking, or handling of supplies, equipment, or materials. Included are reports of packing and handling deficiencies, reports of corrective action, and related papers.

Disposition: Destroy 1 year after submitting report.

File No. 1101-09 (NC1-170-77-1)

Excess Property Reporting Files. Reports used to disseminate information concerning availability of excess property. Included are reports of excess personal property, listings, cards forms, and similar documents.

Disposition: Destroy 1 year after date of report.

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File No. 1101-10 (N21-170-77-1)

Equipment and Supply Requisition Files. Documents relating to requests for supplies and equipment (expendable and nonexpendable), rentals of equipment with supporting correspondence, and copies of requisitions.


**File No. 1101-11

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

Disposition: Destroy when 6 years old.**

** Addition
FACILITIES MANAGEMENT FILES

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

File No. 1110-01

Facilities Utilization Files. Documents relating to the control and allocation of office space. Included are space allocations, space reports, requests for additional space or changes in space locations, space release, surveys of space requirements, office layouts, and similar documents.

Disposition: Facilities office: Destroy 5 years after approval of allocation or space requirement. Other offices: Destroy 3 years after completion of action. Earlier disposal is authorized.

File No. 1110-02

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

Disposition: Facilities office: Destroy when superseded or obsolete.

File No. 1110-03

Facilities Services Files. Documents related to custodial services required by an activity; installation of telephones; changes to telephone directories; issuance of keys and locks; modification, repair, or change of heating, lighting, ventilation, cooling, electrical, and plumbing systems; painting, partitioning, repairing, or other aspects of office landscaping; and similar documents.

Disposition: Destroy 2 years after completion of work or cancellation of request.

**File No. 1110-04

Building Lease Management Files. Documents include copies of building lease, Contracting Officer Representative (COR) and Assistant Contracting Officer Representative (ACOR) delegations, leased building inspector worksheets, contract cleaning inspection reports, complaint registers, written notifications to lessor concerning complaints and resolutions of complaints.

Disposition. Destroy 2 years after termination of lease.**

** Addition
MOTOR VEHICLE MANAGEMENT FILES

These files relate to controlling and managing DEA motor vehicles.

**File No. 1120-01**

Vehicle Authorization Files. Requests for procurement or distribution of vehicles indicating requirements, justifications, and approvals or disapprovals thereof.

**Disposition:** Destroy 2 years after procuring or distributing vehicles.

**File No. 1120-02**

Vehicle Control Files. Documents used to control the location, custody, assignment, seizure status and other data relative to vehicles.

**Disposition:** Destroy 2 years after vehicle leaves DEA custody.

**File No. 1120-03**

Vehicle Identification Plate Files. Documents connected with requesting, transferring, issuing, and disposing of United States or local identification plates or license plates.

**Disposition:** Destroy 5 years after disposal of plates.

**File No. 1120-04**

Vehicle Operating Cost and Performance Reporting Files. Feeder and summary reports prepared therefrom reflecting cost and performance data relative to vehicle data, vehicle deficiency reports, requests for mileage expense and vehicle status, etc.

**Disposition:** a. Summary reports: Destroy 5 years after compiling data. b. Other reports: Destroy 3 years after compiling data.
File No. 1120-05

Vehicle Disposition Files. Requests submitted to Department of Justice or General Services Administration for transfer of excess vehicles or disposal of vehicles that meet or exceed the vehicle replacement standards.

Disposition: Destroy 5 years after the vehicle leaves custody of DEA.
LIBRARY FILES

These files relate to the operation of the DEA library.

File No. 1130-01
Reserved.

File No. 1130-02 (NCI-170-77-1)
Shelf List Card Files. Cards indicating all books in the library arranged in the order in which the books stand on the shelves, and reflecting item identification by classification, title, author, voucher number (additions or reductions), and other information necessary to facilitate the accountability process.

Disposition: Destroy after all items indicated thereon have been dropped from accountability records.

File No. 1130-03 (NCI-170-77-1)
Library Catalog Files. Cards enumerating authors, titles, cross-references, and subjects arranged in alphabetical order and indicating descriptive details including location of books on the shelves. Upon transfer of the books to another library, the current library card catalog files will be included in the transfer, if possible.

Disposition: Destroy when related books have been permanently removed from the library collection.
PERSONNEL MOVEMENT AND TRAVEL FILES

These files relate to the control, administration, and operations involved in moving DEA employees and their dependents.

File No. 1140-01 (NCI-170-77-1)

Travel Request Files. Documents pertaining to requests for orders placing DEA employees on temporary duty, notices of arrival and departure, approval of issuance of temporary duty orders, placement of personnel on temporary duty, and similar matters.

Disposition: Destroy 3 years after fiscal year in which travel was performed.

File No. 1140-02 (NCI-170-77-1)

Conference Travel Files. Documents maintained for the purpose of planning, reviewing, and furnishing information in connection with travel of authorized personnel to attend meetings of technical, scientific, professional, and similar organizations.

Disposition: Destroy 3 years after fiscal year in which travel was performed.

File No. 1140-03 (NCI-170-77-1)

Passport Files. Documents relating to passports and visas for DEA employees including their dependents. Included are requests for passports, transmittal letters, receipts for passports, control cards, and related documents.

Disposition: Destroy 3 years after issuance of passport or visa.

File No. 1140-04

International Shipment Files. Documents international shipments of household goods.

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

**File No. 1140-05

Tour Renewal, and Rest and Recuperation Travel Files. Documents consist of copies of tour renewal agreements, transportation agreements, and requests for travel, with coordinations and approvals at appropriate levels. Documents include approved travel orders, vouchers, itineraries, and similar or related documents.

Disposition: Destroy after 3 years.**

** Addition
REPRODUCTION SERVICES FILES

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

File No. 1150-01 (NCI-170-77-1)

Printed Equipment Control Files. Documents related to granting authority to issue, purchase, rent, exchange, transfer, or dispose of printing, binding, and related auxiliary equipment. Included are requests for approval of and justification for printing and reproduction equipment. Department of Justice and Government Printing Office approvals; and related papers. Disposition: Destroy 3 years after disposal of equipment or disapproval of acquisition request.

File No. 1150-02 (NCI-170-77-1)

Printing Report Files. Documents reflecting information on printing operations and equipment, such as individual and cumulative printing jobs, inventory of printing equipment, contract printing costs, and similar data required by the Joint Congressional Committee on Printing. Included are inventory reports of printing and stored equipment, contract printing reports and expenditure statements, comparable reports, and related papers. Disposition: Destroy 5 years after submitting the report.

File No. 1150-03

Reserved.

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

Printing Job Jacket File. Work orders, production and cost records, related processing data and samples of each printing job produced.
Disposition: Destroy 3 years after fiscal year in which printing work was completed.

**File No. 1150-05**

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

Disposition: Destroy when the publication is printed, except for artwork which has continuing usefulness will be retained until no longer needed.

**File No. 1150-06**

**Photographic Negative Files.** Original basic photographic negatives of material used in preparing illustrations of publications and duplicates of photographic negatives of artwork used for illustrating publications.

Disposition: Maintain and dispose of audio-visual records in accordance with the standards of General Records Schedule 21.
PUBLICATIONS SUPPLY FILES

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

File No. 1160-01 (NC1-170-77-1)

Publication Requisition Files. Documents used in requisitioning nonreimbursable publications, and accountable and nonaccountable blank forms. Included are requisitions, shipping orders, transfer requests, and similar papers.

Disposition: Destroy 3 months after completion of action; earlier disposal is authorized.

File No. 1160-02 (NC1-170-77-1)

Status of Publication Files. Forms reflecting the status of publications and blank forms that provide information which is used to determine required supply action.

Disposition: Destroy 1 year after last entry on form status.

File No. 1160-03 (NC1-170-77-1)

Initial Distribution Files. Distribution sheets, delivery instructions, correspondence, and related papers pertaining to the distribution of DEA publications. Included are forms reflecting the quantity and type of publications and blank forms required for automatic distribution.

Disposition: Documents pertaining to classified publications: a. Destroy 2 years after distribution of publication. b. Destroy superseded forms when replaced by current forms. c. Other documents: Destroy 3 months after distribution of publication. Earlier disposal is authorized.

File No. 1160-04 (NC1-170-77-1)

Accountable Form Receipt and Issue Files. Documents reflecting the receipt or issue of accountable blank forms. Included are receipt forms, listings, and registers.
Disposition: Destroy 2 years after receipt or issuance of form.

File No. 1160-05 (NC1-170-77-1)

Accountable Form Authorization Files. Signature cards identifying individuals authorized to receive accountable forms.

Disposition: Destroy upon withdrawal of the authorization.

File No. 1160-06 (NC1-170-77-1)

Publication Stock Record Card Files. Cards reflecting the supply status of publications and blank forms, including data as to stock levels, quantities on hand, and quantities received or issued.

Disposition: Destroy when card is filled or on supersession, rescission, or obsolescence of form or publication.

File No. 1160-07 (NC1-170-77-1)

Publication History and Stock Usage Files. Forms reflecting the history and usage for each item of stock.

Disposition: Destroy when form or publication is superseded or obsolete.
MAIL SERVICES FILES

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

File No. 1170-01 (NC1-170-77-1)

Mail Loss and Shortages Files. Documents relating to recording, reporting, and investigating losses or destruction of mail including delay, accident, occurrence, or deprecation (theft or rifling) involving mail. Included are reports containing facts surrounding the loss or shortage, investigation progress reports, final investigation reports, records or postal claims, records of lost or rifled mail, and related papers.

Disposition: Destroy 3 years after completion of the investigation.

File No. 1170-02 (NC1-170-77-1)

Mail Routing Guide File. Documents prepared to facilitate mail delivery, reduce routine errors, and to aid in training new routing clerks. Included are cards, manuals, indexes, and similar papers used as mail routing guides.

Disposition: Destroy when superseded or obsolete, except that background papers relating to the guide will be destroyed 2 years after publication of guide.

File No. 1170-03 (NC1-170-77-1)

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

Disposition: Destroy 2 years after receipt or dispatch of mail.

File No. 1170-04 (NC1-170-77-1)

Mail Control Files. Documents relating to the control of incoming and outgoing mail. Included are routing and suspense slips, delivery receipts, logs of incoming and outgoing mail, records of messenger trips, and similar papers. The records of delivery of accountable mail, when filed with mail control files, will be disposed of as accountable mail receipt files. Receipts for classified documents, when filed with mail control files, will be disposed of as classified document receipt files. Return receipt requested postal forms accumulated by DEA purchasing activities as the result of the transmittal of either contractual documents or correspondence directing specific procurement actions by registered mail, will be considered as record segments of the contract to which they relate. Such receipt forms will be filed with related contracts and retained in accordance with disposition instructions for contract files.

Disposition: Destroy 1 year after receipt or dispatch of mail.
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**File No. 1170-05 (NCI-170-77-1)**
Mail Hours of Collecting Files. Documents indicating pick-up and delivery of mail to offices.
Disposition: Destroy when superseded or obsolete.

**File No. 1170-06 (NCI-170-77-1)**
Mail Production Files. Production reports of mail handled and work performed.
Disposition: Destroy 2 years after compilation of data.

**File No. 1170-07 (NJ-170-88-1)**
Mail Survey Files. Reports containing semi-annual mail survey data and other special mail counts and survey information.
Disposition: Destroy when 6 years old.

**File No. 1170-8**
Mail Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the mail management program.
Disposition: Destroy when 6 years old.

** Addition
ADP DOCUMENTATION FILES

These files consist of those records required to service machine-readable records and to convert them from encoded data to usable information. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. The disposition of documentation files is linked to disposition of the machine-readable files serviced.

File No. 1201-01 (NCI-170-77-1)

Data Systems Specifications Files. Documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications request for the system, and authorizing directives.

Disposition: a. Disapproved proposed system: Destroy one year after final action. b. Approved system for which all related magnetic data files are authorized for disposal: Destroy one year after termination of the system. c. An approved system for which any related magnetic data file is not authorized for disposal: Retain with related magnetic data file.

File No. 1201-02 (NCI-170-77-1)

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

Disposition: a. Approved system: Destroy 1 year after discontinuing the system. b. Disapproved proposed system: Destroy one year after final action.

File No. 1201-03 (NCI-170-77-1)

File Specifications Files. Documents consisting of definitions of the logical and physical characteristics of each record element or item of data in the file, including names and tags or labels; relative position, form, format, and size of data elements (record layout); specification of all codes used, cross reference code manual; security and privacy restrictions; integrity and validity characteristics; update and access conditions; and recording media and volume.

Disposition: a. A system for which all related magnetic data files are authorized for disposal: Destroy with final related magnetic data file. b. A system for which any related magnetic data file is not authorized for disposal: Retain with related magnetic data files.
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File No. 1201-04 (NCI-170-77-1)

User Guide Files. Documents consisting of information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability of when and how to use it; and serves for the preparation of input data and the interpretation of results.

Disposition: Handbooks, guides to data availability, and procedures for querying files: Retain with data systems specifications.

File No. 1201-05 (NCI-170-77-1)

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

Disposition: Listings of each type of output by title and tag, format specifications, selection criteria volume and frequency, media, graphic displays and symbols, security and privacy conditions and disposition of output: Destroy 3 years after related report is discontinued.

File No. 1201-06 (NCI-170-77-1)

ADP Report Files. Documents printed in final report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed.

Disposition: Systems which require retention of related data: Retain one copy with related file specifications.

File No. 1201-07 (NCI-170-77-1)

Information Retrieval Routine Files. Documents related to a series of machine instructions designed to retrieve information from specific data systems.

Disposition: a. General purpose programs: Destroy when no longer needed. b. Special purpose programs for data files for which disposal is authorized: Destroy with related data files. c. Special purpose programs for data files for which disposal is not authorized: Retain with related data file.
**File No. 1201-08**

ADP/Telecommunication Service Files. Documents, DEA Form 195, used to initiate service to ADP/Telecommunications systems, equipment and support service excluding those systems identified in the ADP master files (1220 series) in Volume II of the Administrative Manual e.g., NADDIS, STRIDE, CSA etc.

Disposition: Destroy 1 year after project is completed.**
ADP PROCESSING FILES

These are machine-readable files, aside from master files, which comprise most of the life cycle of computerized records. Processing files, from work files and raw data input files to publication files and security backup files, are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they are generally not intended for long term retention.

File No. 1210-01 (NJ1-170-77-1)

ADP Work Files. Temporary computer sensible media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges.

Disposition: New media, or media not included in a library control system, or files whose retention dates have expired: Available for immediate use or reuse.

File No. 1210-02 (NJ1-170-77-1)

ADP Test Files. Computer sensible media used in testing a proposed program.

Disposition: a. Media used by programmers for individual run testing and not under library control: Destroy after system has been accepted or discontinued. b. System debugging test data: Destroy when related program is discontinued. c. System acceptance test data: Destroy when related program is discontinued.

File No. 1210-03

Initial Data Abstract Files. Computer sensible media containing data abstracted from source documents or other media and entered into the system for the first time.

Disposition: a. Data used for updating and required to support reconstruction of master file: Destroy after third update cycle. b. Data not required to support reconstruction of master file and/or used as input for a one-time study, survey or experiment: Destroy in accordance with DEA computer systems documentation. c. Media officially designated to replace or
serve as the basic source data in lieu of the hard copy or other input source document: Destroy in accordance with instructions documenting the same process, transaction, or case.

File No. 1210-04 (NC1-170-77-1)

Initial Data Reference Files. Computer sensible\(^1\) media files created by another agency.

Disposition: Media not a record of the receiving agency:\(^3\) Destroy as reference material.

File No. 1210-05 (NC1-170-77-1)

Initial Data Card/Tape Abstract Files. Punched cards or paper tape containing data abstracted from source documents and used for conversion to magnetic media or processing on electric accounting machine equipment created after January 1, 1970.

Disposition: a. Data retained by ADP operational elements as backup to magnetic media: Destroy after third update of related magnetic file. b. Electric accounting machine output listings and reports: Destroy after 180 days if used in processing without being converted to magnetic media. c. Data converted to magnetic media: Destroy after verification of data on related magnetic media.

File No. 1210-06 (NC1-170-77-1)

Initial Data Source Files. Punched cards that contain original entry data with film or written inserts.

Disposition: Source documents: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transactions, or case.

File No. 1210-07 (NC1-170-77-1)

Intermediate Data Input/Output Files. Computer sensible\(^1\) media containing output within or from one run to a subsequent run that manipulates, sorts, and or moves data through the system, includes checkpoint, edit, correction, reject list, unmatched data eliminating error, and rerun files.
Disposition:  
a. Media used in an updated system: Destroy after subsequent data files that contain the accepted detail data have been created and proven satisfactory.  
b. Media used in a one-time study or survey: Destroy after master data file has been proven satisfactory.

File No. 1210-08

Valid Transaction Files. Computer sensible\(^1\) media containing valid file of items used with a master data input file for creation of a master data output file.

Disposition:  
a. Media consisting of valid transactions after all outstanding items are liquidated from current status files: Destroy after third update cycle.\(^2\)  
b. Media consisting of valid transactions after the cumulative final master file is prepared and determined to be successful, and there is no necessity for statistical analysis: Destroy after third update cycle.\(^2\)

File No. 1210-09

Information Retrieval System Master Reference Files. Computer sensible\(^1\) media containing data created by the merging of prior master file with valid transactions data to create a new master file.

Disposition:  
Cumulative index to scientific and technical publications, and bibliographic and other nonrecord material: Destroy after third update cycle.\(^2\)

File No. 1210-10 (\(\text{NC1-70-77-1}\))

Security Backup Files. Computer sensible\(^1\) media that is identical in format to the master file and retained as security in case the master file is damaged or inadvertently erased.

Disposition:  
a. Update media: Destroy after third update cycle.\(^2\)  
b. A one-time study or survey: Destroy in accordance with standards for disposal of corresponding master file.
ADP MASTER FILES

These files constitute the definitive state of a data file in a system at a given time. Such files are partly categorized on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and the frequency with which its machine-readable output should be subject to archival appraisal.

File No. 1220-01 (NC1-170-77-1)

Housekeeping System Master Files. Computer sensible media containing data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration.

Disposition: a. Media not required for GAO site audit: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case. b. Media required for GAO site audit: Destroy in accordance with functional guidelines provided by GAO.

File No. 1220-02 (NC1-170-77-1)

Statistical Master Files. Computer sensible media containing data created by the merging of a prior master file with valid transaction data to create a new master file.

Disposition: Media used to prepare reports covering a limited period of time; recurring periodic surveys and censuses: Destroy one year after no longer required.

File No. 1220-03

Re-Formatted Files. Computer sensible media containing essentially duplicate data from the master data file but, which is created for use with other computer hardware.

Disposition: a. Media created for the specific purpose of information interchange: Destroy as provided for related master data file. b. Data of specific application for agency computer hardware systems: Destroy when determination is made that such format is unnecessary.

File No. 1220-04

Reserved.

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

Samples, Subsamples, and Special Studies Files. Computer sensible media containing data selected from a larger census or survey files.
Disposition: Media which is disclosure free or useful in statistical analysis or policy formulation models and simulation studies: Destroy one year after no longer required.

File No. 1220-06

*Defendant Data (Statistics) System Files. The defendants statistical system is part of the M204 DBMS System and provides information on all persons arrested and prosecuted on drug related charges. Information extracted from the defendants statistical system is used:

1. As source data for the generation of statistical reports (arrest and prosecution oriented); and
2. As input to the Offender Based Transaction System (OBTS), which with additional input from the Bureau of Prisons tracks the persons arrested and prosecuted through their years in prison.

Disposition: Data sets and related documentation: PERMANENT. Transfer annually to the National Archives, in accordance with 36 CFR 1228.

File No. 1220-07 (NC1-170-77-1)

Drug Abusers Reporting System Files. Machine-readable records used to provide a data base for furnishing information for research into drug abuse and for law enforcement purposes. Contains data relating to persons arrested for any crime whom the arresting officer suspects as being addicted to narcotics or chronically abusing narcotics. Covers 1970 to the present.

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-08 (NC1-170-77-1)

Ballistics Intelligence Tables System Files. Machine-readable records which provide drug intelligence for law enforcement purposes. Contains records of tool mark and chemical analysis of licitly and illicitly made drug tablets. Covers 1970 to the present.

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-09 (NC1-170-77-1)

Controlled Substances Act Registration Records (CSA) Files. Machine-readable records containing data on individuals by name; physicians and related practitioners, dentists, veterinarians, persons conducting research with controlled substances; distributors, manufacturers, exporters, and importers of

* Revision
** Addition

Disposition: Destroy 10 years after system is discontinued.

**File No. 1220-10**

*Automated Reports of Consumated Orders System (ARCOS) Files.*

ARCOS provides an audit of drug inventory transaction by manufacturers and distributors of controlled substances, maintains a current inventory of controlled substances, provides an inventory history of narcotic transactions that assists in estimating the medical and scientific needs of the US, legal narcotic exports, and maintenance of narcotic reserves, and provides annual statistics to the International Narcotic Control Board.

Disposition: Data will be deleted 2 years following the date it was added to the file and placed in a historical file from which it will be deleted 4 years from the date added.*

**File No. 1220-11**

Narcotics and Dangerous Drugs Information System (NADDIS) Files.

*NADDIS is designed to provide information to Special Agents and other DEA personnel on people, business, ships, vessels and selected aircraft identified through the DEA investigative reporting system. DEA Headquarters, all field divisions and most district and resident offices are linked by the telecommunications network.*

Disposition: Destroy 10 years after system is discontinued.

**File No. 1220-12**

System to Retrieve Information from Drug Evidence (STRIDE) Files.

*STRIDE consists of four subsystems that provide information on time utilization by laboratory professionals to laboratory managers, (laboratory manpower), provides indicators of drugs currently being abused (STRIDE Analytical), characteristic information on tablets and capsules (Ballistics Subsystem), and provides tracking information on the present location of the drugs, (Evidence Inventory Subsystem).

Disposition: Data will be deleted from the active file 15 years from date the case is closed and added to a historical file from which it will be deleted 15 years from date added.*
**File No. 1220-13**

Data Base Management System Files. Documents relating to the selection, acquisition, management and utilization of data base management systems utilized by DEA. These documents do not relate to the content of the individual computer application such as NADDIS or CSA, but to the development and operation of the system in terms of policy, problems, solutions, etc.

Disposition: Destroy documents 5 years after a data base management system has been completely removed from service by DEA.

**File No. 1220-14**

Computerized Asset Program (CAP) Files. CAP is part of the M204 Data Base Management System and is used to report removal of all non-drug, forfeitable property seized as a result of drug investigation and arrests.

Disposition: Data records will be deleted 2 years following the date of disposition of the asset and added to a historical file from which it will be deleted 5 years from the date added.

**File No. 1220-15**

DEA Accounting System (DEAAS) Files. DEAAS provides a financial management information system for accounting procedures and the management of funds. The system includes on-line/edit update capabilities, on-line review of current status of allowances, obligations, expenditures and travel advances, budgetary controls by allowance and report creation capabilities.

Disposition: Data will be deleted 4 years following the year accumulated, and placed in a historical file from which it will be deleted 3 years from the date added.

**File No. 1220-16**

Training Information Management System Files (TIMS). TIMS operates under the M204 Data Base Management System and is an on-line system that records information on each training course attended by Special Agents.

Disposition: Data will be deleted 10 years after date of termination of service of employee and placed in a historical file from which it will be deleted 5 years from date added.

**File No. 1220-17**

Property Management System (PMS) Files. PMS is an on-line system that operates under the M204 Data Base Management System and retains the capability to track capitalized personal property.

** Addition
all DEA-owned technical and investigative equipment, radio
communications equipment, motor vehicles, boats, aircraft, badges,
credentials and firearms.

Disposition: Data will be deleted 1 year after the date of final
disposition of an item of equipment. Deleted records will not be
placed in a historical file.

File No. 1220-18

File Room Automation System (FRAS) Files. Machine readable
records used to validate investigative file access authorizations,
determine the circulation status of a specific file, identify the
borrower of a file which has been checked out, and maintain
circulation status. A FRAS record is created on an investigative
file when establishing a Headquarters file on investigative
activities.

Disposition: Data will be deleted 10 years following the year
created. Deleted records will not be placed in a historical file.

File No. 1220-19

Enforcement Management and Information System (EMIS I) Files.
EMIS I is composed of a money list Subsystem and Case Status
(CAST) Subsystem. The money list is designed to provide an audit
trail of expenditures for purchase of information and evidence.
CAST is designed to track activities of an individual case under
investigation.

Disposition: a. Data contained in the money list file will be
deleted 2 years following the year the record was added and will
be retained in a DOJ historical file 1 additional year. b. Data
records in the CAST file will destroyed 10 years after the system
is discounted.

File No. 1220-20

Career Development Program Files. The Career Development Program
is an on-line system that contains records of the career histories
of all DEA agents, intelligence analysts and chemists.

Disposition: Data will be deleted 10 years after year of
termination of employee and added to a historical file from which
the records will be deleted 5 years from date added.

File No. 1220-21

Enforcement Management Information System (EMIS II) Files. EMIS
II is an on-line computerized information system that operates
under the CCA 204 DBMS and is composed of two subsystems.
A. Manpower Utilization Subsystem. Provides statistical information on expenditure of time by Special Agents, Intelligence Analysts and Diversion Investigators from DEA bi-weekly activity reports, DEA forms 351, 352 and 421.

Disposition: Data in the manpower utilization file will be deleted 3 years following the year in which it was created and placed in a historical file from which it will be deleted 2 years from the date added.

B. Confidential Informant Subsystem. Supports management information requirements in a DEA Headquarters and field office. Information is maintained on the utilization of DEA's confidential informants.

Disposition: CI data will be deleted 3 years following the date on which it was last updated and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-22

Ceiling Control System Files. Machine readable records that provide DEA with a current account of all personnel actions including promotions, vacancies and transfers.

Disposition: Data will be deleted 6 months after the month in which the data was collected. Deleted records will not be placed in a historical file.

File No. 1220-23

Agents Application System Files. Machine readable records designed to maintain information on agent applicants.

Disposition: Data will be deleted 3 years after the date created and placed in a historical file from which it will be deleted 3 years after the date added.

File No. 1220-24

Disciplinary Records System Files. Machine readable records designed to provide a profile regarding precedent disciplinary/adverse actions relative to type(s) of charge(s) and type of action proposed and subsequently taken in order to decide appropriate penalty for current cases.

Disposition: Data will be maintained for a period of 4 years from the date of last update. Data on agents only will then be placed in a historical file for a period of 5 years following the conclusion of the Segar-Bell Court Case.

File No. 1220-25

Personnel Locator System (PLS) Files. Machine readable records designed to maintain representative data on all DEA employees pertaining to special skills, geographic work locations and functional work areas.
Disposition: Data will be deleted 2 months following the date the employee leaves DEA. Deleted records will not be placed in a historical file.

**File No. 1220-26**

Workmen's Compensation System Files. Machine readable records designed to provide information on the nature of personnel injuries, cause of injuries, days lost, deaths and monetary compensation for medical disability and death.

Disposition: Data will be deleted 2 years following the year in which data was collected and placed in a historical file for 5 additional years.

**File No. 1220-27**

Freedom of Information (F01) Files. The Freedom of Information/Privacy Act System is designed to provide information on the current status and types of requests to DEA for information under the Freedom of Information and Privacy Acts.

Disposition: Data will be deleted 6 years following the date of last update. Deleted records will not be placed in a historical file.

**File No. 1220-28**

Vehicle Management System (PVS) Files. Machine readable records designed to track maintenance of all Government owned and Government rented vehicles in DEA.

Disposition: Data will be deleted 1 year following year of date of maintenance. Deleted records will not be placed in a historical file.

**File No. 1220-29**

Activity Files. As part of the M204 Data Base Management System, the activity file is designed to store information concerning a particular activity or event with information about the people involved, names of organizations/establishments known or suspected of involvement with the illegal activity, and intelligence summary information. An activity or event may involve drugs, aliens, weapons, counterfeit documents/currency, aircraft vessels or vehicles such as a pharmacist selling scheduled drugs without a prescription or a corporation suspected of illegal drug activity.

Disposition: Data will be deleted 8 years following the date of last update and placed in a historical file from which it will be deleted 10 years from the date added.

**File No. 1220-30**

Aircraft Files. As part of the M204 Data Base Management System, the aircraft file is designed to store information concerning general use of
International aircraft suspected of illegal activity and contains information about aircraft owners, users, registration data, and home airfield of the aircraft.

Disposition: Data will be deleted 8 years following the date of the last update and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-31
Airdrop System Files. Machine readable records that collect, correlate and analyze data related to aircraft drops of illicit contraband into the United States and other areas.

Disposition: Data will be deleted 5 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-32
Alien Smugglers Enforcement System (ASSET) Files. The EPIC ASSET is an Immigration and Naturalization Service (INS) system that collects and correlates information provided on the INS Smuggler Index Form.

Disposition: Data will be deleted 5 years following the date of last update. Data then will be placed in a historical file and deleted 8 years from the date added.

File No. 1220-33
Commercial Air (CAF) System Files. CAF collects data on the use of commercial airlines in transporting contraband into the U.S. CAF is comprised of three subsystems: 1) the CAF Entry System, 2) the CAF Seizures System, and 3) the CAF Lookout System.

Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 5 years from the date added.

File No. 1220-34
Computer Inventory Systems Files. Machine readable records used to collect and store all pertinent data related to computer and communications equipment at EPIC.

Disposition: Data will be deleted 6 months following the date of last payment or item is disposed of. Deleted records will not be placed in a historical file.

File No. 1220-35
General Aviation Smuggling Indicator (CAS) Files. GAS collects and correlates data relating to the use of private aircraft in the transport of illicit merchandise into and within the U.S.
Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 5 years from the date added.

File No. 1220-36

Maritime Intelligence Seizure and Intelligence Lookout Systems (MIS/MIL) Files. MIS and MIL systems collect and correlate statistical information regarding seizures and lookouts relevant to maritime smuggling into the U.S.

Disposition: Data will be deleted 5 years following the date of last update. The data will then be placed in a historical file from which it will be deleted 8 years from the date added.

File No. 1220-37

Private Aircraft Reporting System (PAIRS) Files. The PAIRS System provides on-line retrieval of information on private aircraft suspected of illegal drug trafficking entering the U.S. from foreign airports. Information input will be via INS Form 192A and U.S. Customs Form CF-178.

Disposition: Data will be deleted 4 years following date of last update.

File No. 1220-38

Vessels Files. As part of the M204 DBMS, the vessel file stores information concerning general international marine vessels. This file also provides a source for evaluating smuggling threats involving private vessels. It contains names of vessel owners, users, registration and home port information, and intelligence summary data.

Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 10 years after the date added.

File No. 1220-39

Vessel Crew Members Files. The crew members system collects and correlates data related to commercial ships and their foreign crew members transporting illicit merchandise into the U.S.

Disposition: Data will be deleted 8 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-40

Vessels Electronic (ELECTRO) Files. The ELECTRO System collects and correlates information regarding electronic equipment discovered aboard vessels carrying illicit merchandise into the U.S.
Disposition: Data will be deleted 8 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-41

Vessel U.S. Coast Guard 408 File. The USCC 408 file provides descriptions, documentation data and owner information on vessels registered with the U.S. Coast Guard.

Disposition: Data will be replaced as required.

File No. 1220-42

Watch Access System (WATCH) Files. The WATCH System maintains the names, passwords and identifying information on all personnel currently qualified to access the El Paso Intelligence Center.

Disposition: Data will be deleted following notification by a state official and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-43

Workload Extraction and Evaluation System (WEEP) Files. The WEEP System measures workloads within the Air Analysis Unit of EPIC and provides information on sources requesting information from EPIC.

Disposition: Data will be deleted 3 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-44

Controlled Substances Act System (CSA) Files. Machine readable records containing data on the registration of all individuals and organizations who manufacture, distribute, prescribe or dispense controlled substances.

Disposition: Data will be deleted 6 months following the date registration expires and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-45

Diversion Analysis and Detection System (DADS) Files. DADS is a subsystem of the ARCOS system and contains statistics on only those drugs purchased from or sold to associate registrants i.e., doctors, clinics, hospitals, pharmacies.

Disposition: Data will be deleted 2 years following the date added to the file and placed in a historical file from which it will be deleted 4 years from date added.
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Page 160.6

File No. 1220-46

Project Label Files. Project label system maintains a memory bank of information as contained on labels on packages of controlled substances.

Disposition: Data will be deleted 1 year following the date on which the National Drug Code is rescinded and placed in a historical file. The data will be deleted from the historical file 2 years from the date added.

File No. 1220-47

Drug Theft System Files. Machine readable records that provide information on the theft or loss of drugs from Control Substances Act (CSA) registrants.

Disposition: Data will be deleted 3 years following the year in which the record was created and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-48

Internal Security System Files. The Internal Security System functions under the M204 Data Base Management System and consists of these separate files: 1) Subject File, 2) Assault File, and 3) Case File of Internal Security Information.

Disposition: Data will be deleted 5 years following the date the employee is terminated with DEA and placed in a historical file from which it will be deleted 30 years from the date added.

File No. 1220-49

Offender Based Transaction System (OBTS) Files. OBTS is designed to track persons who have been incarcerated on a drug related charge. It provides batch queries and report capabilities from which statistical reports may be generated.

Disposition: Data to be deleted 1 year after year of last update and added to a historical file from which records will be deleted 10 years from the date added.

File No. 1220-50

Trafficker Files. Trafficker file operates under the M204 DBMS and records information concerning seizures and traffickers worldwide. Trafficker file creates statistical reports depicting trends in trafficking. NOTE: This file is currently inactive.

Disposition: Data will be deleted 1 year after last update and added to a historical file from which it will be deleted 20 years from the date added.
**File No. 1220-51**

**Toll/Pen Register Files.** The Toll/Pen Register files under the M204 DBMS contain information on the telephone numbers used by suspects in an active drug investigation.

**Disposition:** Data will be deleted 5 years after case is closed and placed in a historical file from which it will be deleted 10 years from the date added.

**File No. 1220-52**

**Precursor Chemical Information System (PCIS) Files.** PCIS is an on-line computerized information system on the sale of precursor chemicals used for the illicit production of dangerous drugs and other controlled substances.

**Disposition:** Data will be deleted 3 years following the date the record was added to the file and placed in a historical file from which the record will be deleted 2 years from the date added.

**File No. 1220-53**

**Event Files.** The Events file in the M204 DBMS contains information related to drug investigations in the form of events or overt acts of suspects within the investigations, for example names, addresses, telephone numbers, businesses, banks, aircraft and vessels. Intelligence analysts and Special Agents primarily input data into the system.

**Disposition:** Data will be deleted 5 years from year information was added to the investigative file and placed in a historical file from which it will be deleted 4 years from the date added.

**File No. 1220-54**

**Telephone Subscriber System (BINGO).** The Telephone Subscriber System (BINGO) is a vehicle for the collection and the correlation of telephone numbers and telephone subscribers contained in information received by EPIC.

**Disposition:** Data records will be automatically deleted 5 years following the date year the record was added to the file. Deleted records will not be placed in a historical file.**

**Addition**
NOTES

1. The term "computer sensible" is used to include media which are not magnet storage devices. Computer cards, for instance, are still widely used. Technological advances forecast computer sensible nonmagnetic storage devices likely not be be erasable and reusable.

2. "Dispose of after third update cycle" indicates that the first generation data may be disposed of after the fourth successful update.

3. Records received from another agency become the records of the receiving agency under either of two conditions:

   a) when the data are merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; or
   b) when the data are provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.
FORMS MANAGEMENT FILES

These files relate to planning and executing procedures to standardize, design, construct, and control the use, numbering, and distribution of forms.

File No. 1301-01 (NCI-170-77-1)

Forms Management Reporting Files. Documents relating to reports on progress in forms management. Included are reports, worksheets, and correspondence directly related to the reports.

Disposition: Destroy 5 years after completion of requirement.

File No. 1301-02 (NCI-170-77-1)

Forms Numerical Files (Internal). Documents accumulating in offices having authority to approve forms and resulting from the consideration, approval, control during existence, and revision or rescission of specific forms. Included are requests for approval of forms, justifications, coordination papers, instructions governing use of the form, and a copy of each edition of the form.

Disposition: Destroy 5 years after discontinuing the form.

File No. 1301-03 (NCI-170-77-1)

Forms Numerical Files (External). Documents relating to forms used within the jurisdictional area of the forms management office but approved by other agencies or offices. Included are copies of forms, instructions for use, and coordination papers.

Disposition: Destroy 1 year after discontinuing the form.

File No. 1301-04 (NCI-170-77-1)

Forms Functional Files. A collection of forms arranged by functional classification, used to assist in taking forms management actions, such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the Forms Management Officer.
Disposition: Destroy when form is discontinued, superseded, or obsolete.

File No. 1301-05

Form Number Register Files. Documents used to record and control the assignment of a form number, consisting of an entry in the register for each assigned form number.

Disposition: Destroy when all forms entered in the register are discontinued or obsolete.
REPORTS MANAGEMENT AND CONTROL FILES

These files result from the direction and operation of DEA reports control system which is designed to control reports; assure that reports are adequate, accurate, and timely; eliminate unnecessary reports; and standardize materials and procedures.

File No. 1310-01

Reports Control Files. Documents reflecting action taken in evaluating the requirement for approving and controlling specific reports, including public use reports. Included are applications for approving reports; copies of pertinent forms or descriptions of format; copies of the requiring directive; preparation instructions; documents relating to continuation, revision, or other change to the report or output; memorandums reflecting results of periodic and special evaluations; documents identifying the relationship of the output to any controlled report to be prepared in whole or in part from the output; and similar or related papers.

Disposition: Destroy 10 years after discontinuing the report or output.

File No. 1310-02 (NC1-170-77-1)

Reports Control and Output Register Files. Documents used to control the assignment of reports control symbols and ADP outputs. Included are registers, ledgers, or comparable documents.

Disposition: Destroy when no longer needed for control purposes.

**File No. 1310-03

Reports Program Management Files. Documents relating to policy and procedures in administering the reports management program. Included are memoranda, implementing directives, Headquarters and field office reports, followup reports, coordinating actions, annual summaries of reports, statistical data bases, and related documents.

Disposition: Destroy 7 years after close out of the report or documentation.**

** Addition
RECORDS MANAGEMENT FILES

These files result from planning, promulgating, and executing concepts and procedures for managing the creation, transmission, maintenance, use and disposition of DEA records.

File No. 1320-01

Records Management Survey Files. Documents relating to staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.

Disposition: Destroy 5 years after survey; **or 3 years after next comparable NARA or GSA survey.**

File No. 1320-02

Records Management Survey Background Files. Documents used in preparing for records management surveys. Included are organizational charts, statements of function, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes, drafts, and similar or related documents.

Disposition: Destroy 3 years after next comparable survey. Earlier destruction is authorized.

File No. 1320-03 (NCI-170-77-1)

Congressional Authorization Files. Documents relating to congressional authorization to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, approvals or disapprovals.

Disposition: Destroy previous schedule when succeeding schedule is approved by NARA.

File No. 1320-04 (NCI-170-77-1)

Records Disposition Standard Files. Communications with the National Archives and Records Administration (NARA)* concerning authority for disposition of specific files, including special studies of specific files to establish or revise disposition standards.

* Revision
  ** Addition
Disposition: Destroy 2 years after publication of disposition of standard or on disposition of all files covered in the standard.

**File No. 1320-05**

Records Locator and Disposition Files. Documents reflecting files that have been transferred or retired. Included are records shipment lists, records transfer lists, and copies of Records Transmittal and Receipt (SF-135).

Disposition: Destroy 2 years after all records listed thereon have been destroyed.

**File No. 1320-06**

*Microform Job Files. Documents relating to appraisal of proposed microform projects and control of approved projects. Included are records analysis sheets for proposed microform projects, cost summary sheets, studies, justifications, and related material.*

Disposition: Destroy 5 years after completion of project, except that disapproved project files will be destroyed 1 year after disapproval.

**File No. 1320-07**

Records Holdings Files. Statistical reports of Annual Summary of Records Holdings (DEA-454).

Disposition: Destroy 3 years after submission of report.

**File No. 1320-08**

Correspondence Management Files. Instructions relative to preparation, format, control, and clearance of correspondence.

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

**File No. 1320-09**

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

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

File No. 1320-10

**Microform Program Management Files.** Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the microform reduction program.

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

**File No. 1320-11**

IRM Triennial Review Files. Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, feeder reports, and monitoring surveys and reports.

Disposition: Destroy when 7 years old.

File No. 1320-12

Information Collection Budget Files. Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, and statistical compilations.

Disposition: Destroy when 7 years old. **
These files relate to preparing, reviewing, and issuing publications and to maintaining record and reference sets of publications. Record copies of all publications with related background papers should be filed in appropriate functional files. (Record copy is defined as that copy of publication maintained by the office of record, usually the preparing office, for record purposes as distinguished from the copies of the same publication distributed and maintained for reference purposes.) Record sets of selected publications are required for permanent or long term retention since they are used extensively for future administrative actions and historical or other research. Files also relate to management of the publications function(s).

File No. 1330-01

Publication Record Set Files. These will consist of one copy of each publication or change issued, within the categories specified below. Publications within this set will be filed numerically. Each folder or binder of the record set will be distinctly marked "Record Set."

a. The DEA Records Management Section will maintain a record set of DEA manual issuances (Agents, Administrative, Personnel, Planning and Inspection, Laboratory Operations, Training, Diversion Investigator, and Scientific Support Manuals; Headquarters Notices; and Laboratory and field Division Orders and Notices).

b. Functional procedures manuals, legal guidelines, program bulletins, and other official procedural documents will be maintained by originating office.

Disposition: Office performing DEA-wide staff responsibility: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old.

File No. 1330-02 (NCI-170-77-1)

Publication Reference Set Files. Offices responsible for issuing publications will maintain one set for reference purposes when needed or when required by other directives. This set will include a copy of those publications included in the "Record Set."

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and copies of other publications issued by them for which a "Record Set" is not required. Each folder or binder in this set will be distinctly marked "Reference Set" and will be currently posted.

Disposition: Destroy when superseded or obsolete.

**File No. 1330-03 (NC1-170-77-1)**

Publication Manuscript Files. Manuscript copies of publications, printer copies of galley or page proofs or publications, drafts of publications, and other working or control data used in preparing publications.

Disposition: Destroy on printing of publication.

**File No. 1330-04 (NC1-170-77-1)**

Publication Deviation Files. Documents related to approved deviations or exceptions to standard publication procedures. Included are requests and approvals to distribute local publications outside the jurisdiction of the DEA, authorizations to print in more than one color, authorizations to include emblems on envelopes, and similar deviations or special authorizations.

Disposition: Destroy 2 years after expiration or supersession of the authorization.

**File No. 1330-05 (NC1-170-77-1)**

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

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

**File No. 1330-06**

Directives Development and Editing Files. Documents relating to the improvement and development of DEA directives through editing, changing, and rewriting of first drafts. Included are copies of...
first and final draft manuscripts; notes and memorandums pertaining to conferences with the author, coordination, and research, copies of related correspondence; and a printed copy of the basic directive and each change thereto.

Disposition: a. Office responsible for editing, development, and improvement: Destroy on revision or obsolescence of the directive. **b. Other offices: Destroy when no longer needed for control purposes.**

File No. 1330-07

Directives Management Program Files. Documents related to establishing and administering the directives program in DEA. Included are coordinating actions, studies, instructions, authorizing directives, reports, interpretations, messages, and similar or related documents.

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

**File No. 1330-08

DOJ Order Review Files. Documents relating to reviewing draft DOJ orders. Included are routing slips, memorandas, responses, proposed changes, the draft order, the coordination sheet, the Summary Sheet, and any other related papers.

Disposition: Destroy when 6 years old.**

** Addition
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408

1 FROM (Agency or establishment)
   Department of Justice

2 MAJOR SUBDIVISION
   Drug Enforcement Administration

3 MINOR SUBDIVISION
   Records Management Unit

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

5 TELEPHONE
   202-307-7712

6 AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,
   [ ] is not required; [ ] is attached; or [ ] has been requested.

   DATE Sep 9, 1992
   SIGNATURE OF AGENCY REPRESENTATIVE James L. Greene
   TITLE Records Officer

7 ITEM NO

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9 GRS OR SUPERSEDED JOB CITATION

10 ACTION TAKEN (NARA USE ONLY)

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1. PREDECESSOR FILES OF THE DRUG ENFORCEMENT ADMINISTRATION

Files of the Narcotics Division and the Federal Bureau of Narcotics, 1915-46, including export and import reports, clippings, manufacturers' reports, correspondence and memoranda from the Permanent Central Opium Board (a League of Nations entity), and activity reports from Federal regional prohibition agents.

Disposition: PERMANENT. Transfer to the National Archives upon approval of this schedule.
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
   JAMES L. GREENE
5. TELEPHONE
   202-307-7712

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

   ☑️ is not required; ☐️ is attached; or ☐️ has been requested.

DATE
SEP 14, 1994

SIGNATURE OF AGENCY REPRESENTATIVE
James L. Greene
TITLE
RECORDS OFFICER

7. 9. GHS OR SUPERSEDED JOB CITATION
    116 PAGES OF REVISIONS
    1 PAGE OF ADDENDUM

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

   REVISIONS TO DEA RECORDS SCHEDULE, ADMINISTRATIVE MANUAL, VOLUME II.
   116 PAGES OF REVISIONS
   1 PAGE OF ADDENDUM

   SEE ATTACHED PAGES FOR DESCRIPTION AND DISPOSITION INSTRUCTION OF EACH FILE SERIES.

   RECORDS ARE CREATED BY THE DRUG ENFORCEMENT ADMINISTRATION.

9. ACTION TAKEN (NARA USE ONLY)
   FILE NO.
   390-03 AND
   390-05 ARE
   SUPERSEDED

10. LEAVE BLANK (NARA use only)
    JOB NUMBER
    NI 170 94 1
    DATE RECEIVED
    9-15-94

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
ARCHIVIST OF THE UNITED STATES
9-11-96

STANDARD FORM 115 (REV. 3-91)
PREVIOUS EDITION NOT USABLE

Prescribed by NARA
36 CFR 1228
INSTRUCTIONS TO UPDATE
ADMINISTRATIVE MANUAL VOLUME II, APPENDIX 0750A,
DEA FUNCTIONAL, FILE SYSTEM

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OFFICE PERSONNEL FILES

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

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

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

Disposition: Destroy 1 year after notification of action.

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

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

Disposition: Destroy when information is obsolete or superseded.

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

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

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

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

Standards of Conduct File. Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.
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Page 8

Disposition: Destroy when obsolete or superseded.

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

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

Disposition: Destroy after GAO audit or when *6* years old, whichever is sooner.

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

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

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

* Revision
GENERAL PROGRAM FILES

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

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

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

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

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

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

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

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

Agreement Files. Documents relating to agreements between elements of DEA, between DEA and other Federal agencies, or between DEA and other Federal agencies, or between DEA and other non-Federal organizations or agencies, but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations and DEA for the purpose of providing or obtaining various types of support services. Included are agreements, amendments, review comments, related correspondence, and similar documents.

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

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

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

Disposition:  a. International committees: (1) Records of
office of senior DEA representative: Permanent. Transfer to
Federal records center when 5 years old. Offer to NARA when 15
years old. (2) Records of offices of other committee members:
Destroy when 10 years old. (3) All other copies: (GRS No. 16-
8b(1)). Destroy when 3 years old or when no longer needed for
reference.  b. Inter-agency and intra-agency committees: (1)
Records of office of committee secretary: Permanent. Transfer
to Federal records center when 5 years old. Offer to NARA when
15 years old. (2) Records of offices of committee members:
Destroy when 10 years old. (3) All other copies: (GRS No.
16-8b(1)). Destroy when 3 years old or when no longer needed for
reference.

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

Staff Visit Files. Documents relating to scheduled or special
visits (but not inspections, surveys, or audits) for the purpose
of performing staff or technical supervision or for conducting
studies. This definition is not applicable to visits made in
connection with a specific process or case, which should be filed

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with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

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

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

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

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

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

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

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

e. Copies of documents accumulated by supervisory offices, such as chiefs of offices, divisions, or sections. These documents duplicate the record copy filed elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.
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Disposition: a. Documents described in subparagraph a: Cut off on completion of the communication, study, survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.
b. Documents described in subparagraph b: Destroy when no longer needed to facilitate or control work. c. Documents described in subparagraphs c, d, and e: Destroy after 1 year. Earlier destruction is authorized.

File No. 060-07 (NCI-170-77-1)
Reference Publication Files: Copies of publications issued by any element of SSA, other Government agencies, and nongovernmental organizations maintained for reference within an office.
Disposition: Destroy when superseded or obsolete.

File No. 060-08 (NCI-170-77-1)
Technical Material Reference Files. Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, and charts retained for reference purposes only.
Disposition: Destroy when superseded or obsolete.

**File No. 060-09
Program Liaison Files. Documents resulting from staff coordination of specific actions with other agencies as a routine matter of occurrence, which are not described in programmatic files elsewhere in this appendix. Includes activities of personnel designated as liaison officers. Specialized events such as official conferences or committees are reported under FFS: 060-04.
Disposition: Destroy when no longer needed for current operations.

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

Disposition:  

a. Office charged with responsibility for programmatic action that significantly impacts on the agency: Permanent. Transfer to Federal records center after 5 years. Offer to NARA when 15 years old. 

b. Office conducting information briefing: Destroy when no longer needed for current references.**

** Addition
MANAGEMENT IMPROVEMENT FILES

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

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

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

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

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

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

Disposition: Destroy 3 years after completion of related project.

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

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

Disposition: Destroy 5 years after completion of project.

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

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

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

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

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

** File No. 140-04

** File No. 140-05

** File No. 140-06

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

File No. 140-07

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

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

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

File No. 150-01 (NCI-170-77-1)

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

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

File No. 150-02 (NCI-170-77-1)

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

Disposition: Destroy 8 years after survey.
AUDIT SERVICES FILES

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

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

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

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

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

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

Inspection and Audit Files. Documents relating to reviewing and examining DEA operations to ensure proper protection of assets; compliance with policies, procedures, and objectives; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. These files accumulate as a result of DEA field offices making review of their own operations and DOJ and DEA Headquarters staff offices making review of DEA activities. Included are reports and directly-related correspondence.
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Disposition: a. Office performing DEA-wide staff responsibility. (1) Record copy of final report of comprehensive review and replies thereto: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) (GRS No. 22-2). Destroy other documents *8* years after accomplishment of internal review. b. (GRS No. 22-2). Other *Headquarters and field* offices: Destroy 8 years after completion of internal review actions.

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

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

Disposition: Destroy *10* years after inspection or audit.

**File No. 170-04

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

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

** File No. 170-05

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

Disposition: a. Office of Inspections: (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Remaining documents: * Revision * TEMPORARY: Destroy when no longer needed for administrative purposes. ** Addition
Destroy when obsolete or superseded.  b. Other Headquarters and field offices: Destroy when obsolete or superseded.  Note: Reports resulting from the inspection-by-function process are filed under FFS: No. 170-06.

File No. 170-06

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

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

File No. 170-07

Integrity Assurance Program Review Support Files. Documents used to collect information for an IAP review of a DEA activity. Included are interview sheets, interrogatories, checklists, notes, statistical data, copies of SOP's, organizational charts, functional charts, personnel data, workload data, and similar material.

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

** Addition
INTEGRITY FILES

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

File No. 201-01
Unassigned.

File No. 201-02
Unassigned.

File No. 201-03 (N1-170-89-1)

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

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

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

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

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

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**File No. 201-05**

**Integrity Investigation Program Management Files.** Correspondence, instructions, studies, messages, interpretations, and coordinating actions, etc., related to the administration and operation of the integrity investigative program.

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

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

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

Disposition: Destroy 2 years after completion of final corrective or disciplinary action.

File No. 220-10

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

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

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


Disposition: Destroy when superseded.

File No. 220-12

Reserved.
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File No. 220-13 (NCI-170-77-1)

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

Disposition: Destroy when replaced.

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

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

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

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

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

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

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

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

Disposition: Destroy when 2 years old.

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

Document Receipt Files. Records documenting the receipt of classified documents.
Disposition: Destroy 2 years after document is destroyed or accountability is transferred to another office.*

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

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

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

* Revision
LEGAL OPINION FILES

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

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

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

Disposition: a. *Headquarters Office of Chief Counsel: Permanent. Transfer to Federal records center 10 years after date of most recent document in folder. Offer to NARA when 20 years old.* b. *Other Headquarters and field offices: Destroy when obsolete or superseded.*

**File No. 301-02 (N1-170-77-1)**

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

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

**File No. 301-03**

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

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

* Revision a. DEA legal opinions - see item 301-01.

b. Working papers and reference materials: Disposition - Temporary. Destroy when no longer needed for reference, or when obsolete or superseded.
CLAIM INVESTIGATIVE AND PROCESSING FILES

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

File No. 310-01
Reserved.

File No. 310-02
Reserved.

File No. 310-03
Reserved.

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

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

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

File No. 310-05, NCI-170-77-1

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

Disposition: Destroy 10 years after final action on the case.
File No. 310-06 (NCI-170-77-1)

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

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

File No. 310-07 (NCI-170-77-1)

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

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

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

Disposition: Destroy 15 years after final determination or settlement.

File No. 310-08

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

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

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

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

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

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

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

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

** Addition
LITIGATION FILES

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

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

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

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

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

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

Disposition: Destroy 2 years after resolution of demand.*

File No. 330-03

Deleted.

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

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

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

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

File No. 330-05
Deleted.

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

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

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

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

Show Cause Case Files. Documents relating to legal proceedings initiated by DEA under the provisions of the Controlled Substances Act (1970), PL 91-513, and its subsequent amendments; and the Comprehensive Crime Control Act (1984), PL 98-473. Included are Reports of Investigation (DEA-6) and other supporting documents initiated by DEA field offices, show cause orders, hearing statements, opinions and recommended rulings, transcripts of testimony, registrant applications, findings of act and conclusions of law, appeals, affidavits, witness statements, memoranda of agreement between DEA and the registrant or applicant, conclusions of law and decisions by the Administrative Law Judge, final orders by the Administrator, and similar related documents.

b. Other Headquarters and field offices: Destroy when no longer needed.*

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

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

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

**File No. 330-09**

**Asset Civil Seizure and Forfeiture Program Files.**
Correspondence, instructions, studies, messages, interpretations and coordinating actions related to the administration and operation of the civil seizure and forfeiture program.

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

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

File No. 370-01
Reserved.

File No. 370-02
Reserved.

File No. 370-03 (NI-170-89-1)

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

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

Disposition:
a. Press releases and official speeches of the Administrator and other high-level officials: PERMANENT. Cut off at the close of an Administrator's tenure. Transfer to the WNRC 2 years after cut off. Transfer to the National Archives 15 years after cut off. b. Other textual documentation: Destroy 5 years after public release.

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c. Other textual documentation held by other offices: Destroy 5 years after public release.
d. Posters, slides and transparencies: PERMANENT. Transfer to the National Archives in 5-year blocks when the most recent record is 10 years old.
e. Photographic prints: PERMANENT. Transfer to the National Archives in 1999. Earlier transfer authorized.
f. Videotapes and scripts: PERMANENT. Transfer original, one copy and script annually to the National Archives when 5 years old.

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

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

Disposition: Destroy 5 years after release of feature story.

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

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

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

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

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

Disposition: Destroy 10 years after terminating the contract.

File No. 370-07 (NCI-170-77-1)

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

Disposition: Destroy 5 years after approved for publication.

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

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

Disposition: Destroy 2 years after release of information approved.

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

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

Disposition: Destroy 5 years after termination of program.

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

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

Disposition: Destroy 2 years after completing distribution.
File No. 370-11 (NCI-170-77-1)

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

Disposition: Destroy on expiration or revocation of the approval.

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

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

Disposition: Destroy 2 years after termination of campaign.

File No. 370-13

Reserved.

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

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

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

File No. 370-15 (CRS-16-2)- NC1-170-77-1

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

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

Communications Services Program Management Files. Documents related to administering the communication services program in DEA. Included are coordinating actions, instructions, reports, interpretations, messages, correspondence, and similar or related documents.

Disposition: Destroy after 6 years. *Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.*

File No. 370-17 (NI-170-89-1)

Information Services Background Files. Documents used as background material in developing and finalizing responses, comments, speeches, remarks, testimony, or similar presentations by DEA officials. Included are memos, brochures, transcripts of testimony, DEA and non-DEA reports, Congressional reports, newspaper and magazine articles, computer generated printouts, and similar or related documents.

Disposition: Destroy when 3 years old, unless superseded sooner.

File No. 370-18 (NI-170-89-1)

Executive Precis Files. Documents that summarize the education and experience of high-level DEA officials (Administrator, Deputy Administrator, Assistant Administrators, Special Agents in Charge, etc.). Documents may be filed either alphabetically by name or organizationally by position held.

Disposition: Destroy 2 years after incumbent vacates position by transferring to another agency, resigning, or retiring. Earlier destruction authorized.

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**File No. 370-19 and 370-20**

Unassigned.

**File No. 370-21 (NI-170-89-1)**

Statistical Services Program Management Files. Documents related to administering the statistical services function in DEA. Included are coordinating activities, studies, reports, interpretations, messages, correspondence, and similar or related documents.

Disposition: Destroy after 6 years. *Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.*

**File No. 370-22 (NI-170-89-1)**

Statistical Product Files. Finished statistical documents that DEA produces, including periodic recurring reports, printouts or extracts from automated systems, and similar data furnished on request.

Disposition: (a). Office performing DEA-wide staff responsibility: Permanent (Record Copy). Transfer to Federal records center when 5 years old. Offer to NARA when 20 years old.
(b). Reference copies: Destroy when no longer needed for reference.

**File No. 370-23 and 370-24**

Unassigned.

**File No. 370-25 (NI-170-89-1)**

Public Affairs Program Management Files. Documents related to administering the public affairs function in DEA. Included are coordinating actions, instructions, reports, interpretations, messages, correspondence, and similar or related documents.

Disposition: Destroy after 6 years. *Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.*

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**File No. 370-26**

Voting Information Files. Documents received or prepared by an office pertaining to voter information, including absentee ballots, election schedules, items for bulletins, correspondence, and related matters.

Disposition: Destroy 1 year after election to which files relate.**

** Addition
DETAIL ACCOUNTING FILES

These files pertain to invoices, vouchers, purchase orders, and other related documents that show detail accounting of receipts and disbursements of DEA funds.

File No. 401-01 (GRS 6-1a)

Paid Vendor Invoice Files. Copies of paid invoices are maintained alphabetically by vendor.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-02 (GRS 6-1a)

Paid Government Obligations Files. Copies of Vouchers of Transfers between Appropriations and/or Funds (SF-1080) and Vouchers and Schedule of Withdrawals and Credits (SF-1081) that reflect payments made to other Government agencies by DEA. Documents are maintained alphabetically by agency, except those pertaining to the General Services Administration which are maintained by GSA region.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-03 (GRS 6-1a)

Paid Travel Voucher Files. Copies of Travel Voucher (SF-1012) that reflect payments for travel performed by DEA employees. Vouchers are maintained alphabetically by traveler's name.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-04 (GRS 6-1a)

Paid Purchase Order Files. Copies of Orders for Supplies or Services (OF-347) that reflect payments by DEA. Paid purchase orders are attached to the appropriate invoice with the receiving report and filed as an integral part of the Paid Vendor Invoice Files (401-01).
Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-05 (NCI-170-77-1)

Unpaid Purchase Order Files. Copies of Orders for Supplies or Services (OF-347), including contracts, which DEA has not paid. Maintain documents by purchase order number.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-04).

File No. 401-06 (GRS 6-1a)

Paid Government Travel Request Card Files. Copies of Government Travel Request (SF-1169) that reflect payment by DEA. Cards are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-07 (NCI-170-77-1)

Unpaid Government Travel Request Card Files. Copies of Government Travel Requests (SF-1169) which DEA has not paid. Cards are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-06).

File No. 401-08 (GRS 6-1a)

Paid Transportation Schedules Files. Copies of Voucher and Schedule of Payments (SF-1166) that reflect payments by DEA to common carriers. Schedules are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.
File No. 401-09 (GRS 6-1a)

Paid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) and Public Vouchers for Transportation Charges (SF-1113) that reflect payment to common carriers by DEA. Bills of Lading are maintained in vendor name sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-10 (NCI-170-77-1)

Unpaid Government Bill of Lading Files. Copies of Government Bill of Lading (SF-1103) for which the common carrier has not been paid by DEA. Bills of Lading are maintained in serial number sequence.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-09).

File No. 401-11 (GRS 6-1a)

Reimbursable Moving Expenses and Taxes Withheld Files. Reports of Federal and state taxes withheld from wages of DEA employees who had a permanent change of station.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-12 (GRS 6-1a)

Travel Advance Card Files. Copies of Application and Account for Advance of Funds (SF-1038) concerning payment to employees for official travel. Maintain cards in alphabetical sequence by traveler's name.

Disposition: Destroy 6 years, 3 months after period of the account.

File No. 401-13 (GRS 6-1a)

Imprest Fund Account Files. Documents accumulated by imprest fund cashiers/subcashiers which reflect the receipt and accounting for imprest funds. Included are copies of the Request for
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Change or Establishment of Imprest Funds (OF-211), Cashier Reimbursement Voucher and/or Accountability Report (OF-1129), Monthly/Quarterly Audit Fund Report (DEA-153), Designation of Subcashier or Alternate Subcashier/Change in Imprest Fund (DEA-358), and other related forms of reimbursement vouchers and receipts for imprest funds. Also included are various logs used to control the funds, such as the Flashroll Log and the Foreign Currency Log.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-14 (GRS 6-1a)

Im prest Fund Shortage Files. Documents accumulated by the accounting officers which reflect imprest fund shortages, such as reports with supporting and related documents.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-15 (NCI-170-77-1)

Travel Accountability Files. Log registers and related devices that are used to record the receipt and issuance of accountable transportation forms such as, Government Bill of Lading (SF-1103), Government Transportation Request (SF-1169), and Government Tax Exempted Certificate (SF-1094).

Disposition: Destroy 1 year after all entries on the log registers are cleared.

File No. 401-16 (GRS 6-1a)

Monthly Disbursement and Collection Document Files. Copies of vouchers that reflect disbursements made by DEA and collections received by DEA. Included are Statement of Transactions (SF-224), Vouchers of Transfers Between Appropriations and/or Funds (SF-1080), Vouchers and Schedule of Withdrawals and Credits (SF-1081), Schedules of Cancelled Checks (SF-1098), Vouchers and Schedule of Payments (SF-1166), and Statement of Transactions (SF-1221).

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.
File No. 401-17 (GRS 6-1a)

Certificate of Deposit Files. Copies of Deposit Ticket (SF-215) and supporting vouchers reflecting payments made by DEA to the U.S. Treasury.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-18 (GRS 6-1a)

Mechanized Accounting Document Files. Copies of documents posted to the DEA computerized accounting system. Included are allowance documents, obligation documents, duplicate copies of disbursement vouchers, liquidated and posted schedules, and correction notices.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 401-19 (NCI-170-77-1)

Mechanized Accounting Transaction Reports Files. Weekly and monthly reports that are generated by the DEA computerized accounting system. These include obligation I.D. master, expenditure and allowance report, monthly transaction register, notice of payments, travel advance statement, listing of travel advance balance, project summary report on obligations, report on obligations and expenditures, listing of valid batches by month, and related reports.

Disposition: a. Destroy weekly reports 3 months after the period of account. b. Destroy monthly transaction registers and other documents 3 years after the period of account. C. Destroy year-end reports 6 years, 3 months after period of the account.

File No. 401-20 (GRS 6-1a)

Paid (Closed) Obligation Account Files. Copies of obligation documents and supporting papers that reflect payments made from DEA accounts during the course of operation of the agency. Documents are maintained in cost center number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.
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**File No. 401-21 (NCI-170-77-1)**

Unpaid (Open) Obligation Account Files. Copies of obligation documents and supporting papers for which payment has not been made by DEA. Documents are maintained in obligation number sequence.

Disposition: Cut off at the end of the fiscal year. Maintain until obligation by DEA is paid. Transfer to paid file (401-20).

**File No. 401-22**

Reserved.

**File No. 401-23 (GRS 6-1a)**

Accounts Receivable Files. Records of accounts receivable pertaining to travel advances paid to employees and bills submitted by DEA to vendors or other agencies, pending payment to DEA. Records are maintained in account number sequence.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

**File No. 401-24 (NI-170-86-1)**

Delinquent Travel Advance Files. Records that reflect overdue or delinquent repayment of travel advance funds that were paid to an employee. Records are maintained in alphabetical sequence by employee name.

Disposition: Cut off at the end of the fiscal year. Destroy one year after payment of funds to DEA.

**File No. 401-25 (NI-170-86-2)**

Obligation Control (Log) Register Files. Used to record and control the assignment of fiscal accounting data, consisting of an entry in the register for each obligation.

Disposition: Destroy at the end of the fiscal year in which the account is closed.
**File No. 401-26 (NI-170-89-1)**

Detail Accounting Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the detail accounting program.

Disposition: Destroy *after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.*

**File No. 401-27**

Credit Card Files. Documents relating to applications for issuance of credit cards including approvals of applications, monthly reports of card usage, the amount of funds obligated per card and verifications of expenditures.

Disposition: a. Destroy copies of credit card applications and monthly reports 6 years, 3 months after period of account.
   b. Destroy instructional manuals when superseded or obsolete.**

* Revision
** Addition
SUMMARY ACCOUNTING FILES

These files pertain to the ledgers, journals, and related documents that summarize DEA financial transactions, showing the nature of receipts and expenditures of funds.

File No. 410-01 (NCI-170-77-1)

Accounting Journal Files. Documents relating to books of original entry maintained to record all financial transactions and to summarize accounting for monthly postings to the general ledger. Included are the general journals and special journals, such as fund receipt, fund disbursement, and related documents.

Disposition: Cut off at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.

File No. 410-02 (NCI-170-77-1)

General Ledger Files. Documents relating to general ledgers which contain the accounts necessary to reflect financial operations, such as asset accounts, operating accounts, and liability accounts. These accounts are maintained to establish in summary form the status of the accounts, operations for the month, and to provide a medium for verifying the accuracy of reports and subsidiary ledgers.

Disposition: Cut off at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.

File No. 410-03 (NCI-170-77-1)

Subsidiary Ledger Files. Documents relating to subsidiary ledgers maintained as a source for ascertaining the composition of general ledger accounts, accumulated detail for analysis and reporting purposes, and verification of the accuracy of general ledger accounts.

Disposition: Cut off at the end of the fiscal year. Destroy 10 years after close of fiscal year involved.
File No. 410-04 (GRS 7-2)

Trial Balance Files. Documents relating to trial balances prepared from general ledger accounts, including trial balance sheets and related papers.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 410-05 (NCI-170-77-1)

Subsidiary Monthly Payment Files. Documents relating to monthly payment schedules, allotment schedules, and transmittals.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.

File No. 410-06 (NCI-170-77-1)

Biweekly Accounting Station List Files. Payroll list printouts that are prepared every two weeks which show summary accounting transactions by organization, object class, prior year, and current year.

Disposition: Destroy 1 year after receipt of printout.

File No. 410-07 (GRS 7-2)

Summary Accounting Reporting Files. Copies of reports forwarded to higher echelon, such as Department of Justice, Department of Treasury, and Department of Commerce. Included are the following reports with related documents: budget status report, financial statement of condition, obligation report by object class, statement of transactions, transactions of the Federal Government, statement of unexpended balances of appropriated funds, Federal outlays by geographic location, statement of receipt account, and statement of appropriation account.

Disposition: Cut off at the end of the fiscal year. Destroy 6 years, 3 months after period of the account.
File No. 410-08 (NI-170-89-1)

Summary Accounting Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the summary accounting program.

Disposition: Destroy after 6 years. *Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.*

* Revision
PERSONNEL PROGRAM FILES

These files relate to statistical reporting, inspections of DEA personnel activities, and documents produced by the Justice Uniform Personnel System (JUNIPER).

File No. 510-01 (NCI-170-77-1)

Personnel Program Reporting Files. Documents which provide data concerning various aspects of DEA personnel management activities. Included are statistical and narrative reports; consolidations, summaries, extracts of reports, and similar or related documents.

Disposition: Destroy 3 years after submission of program data.

File No. 510-02 (NCI-170-77-1)

Personnel Inspection Files. Documents reflecting inspections conducted by the Office of Personnel Management and other authorized agencies. Included are reports of inspection, reports of corrective action taken, and similar or related documents.

Disposition: Destroy 1 year after next comparable inspection.

File No. 510-03 (NCI-170-77-1)

JUNIPER Printout Files. Documents consisting of computerized personnel listings that are generated by the Justice Uniform Personnel System (JUNIPER).

Disposition: a. Expiration of appointments and transaction and error register listing: Destroy 6 months after receipt. b. DEA separations by series, JUNIPER suspense roster, probationary or trial period conversions, DEA promotion roster, cumulative list of DEA promotions, and within-grade roster listings: Destroy 1 year after receipt. c. JUNIPER manpower analysis roster (maintain one copy of monthly roster): Destroy 3 years after receipt. d. Accessions and separations listing: Destroy 5 years after receipt.
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**File No. 510-04 (NCI-170-77-1)**

JUNIPER Microfiche Files. Documents consisting of microfiche listings that are generated by the Justice Uniform Personnel System (JUNIPER).

Disposition: a. Personnel listings in alphabetical sequence by name and numerical sequence by social security number: Destroy 6 months after receipt. b. Master file display: Destroy 5 years after receipt.

**File No. 510-05 (NCI-170-77-1)**

Payroll Systems Printout Files. Documents consisting of listings that are generated by the computerized output from the time and attendance report (DOJ Form 225a).

Disposition: a. Time and attendance leave discrepancies: Destroy 6 months after receipt. b. Personnel and payroll master discrepancies report: Destroy 1 year after receipt.

**File No. 510-06 (GRS No. 1-3)**

Personnel Correspondence Files. Correspondence, reports, memoranda, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Disposition: Destroy when 3 years old.

**File No. 510-07**

Delegation of Authority Files. Documents relating to written authorization for designated individuals to accomplish specified programmatic functions or actions on a permanent or temporary basis.

Disposition: Destroy 5 years after expiration of authority.**

** Addition
PERSONNEL POSITION AND PAY FILES

These files relate to pay rates and other monetary benefits for civilian employees, including the determination of position classification for pay purposes.

File No. 520-01

Reserved.

File No. 520-02 (NCI-170-77-1)

Master Position Description Files. Documents used in analyzing a specific position to determine whether the position matches an existing position. Included are OF-8 (Position Description) and similar or related documents.

Disposition: a. Destroy original copy 5 years after position is abolished or description is superseded. b. Destroy other copies when position is abolished or description is superseded.

File No. 520-03 (NCI-170-77-1)

Organization Files. Documents reflecting a complete record of positions in each organizational segment. Included are individual folders containing organization chart, position description, and questionnaires, if used; and similar or related documents.

Disposition: Destroy when superseded or obsolete.

File No. 520-04 (NCI-170-77-1)

Position Standard Files. Documents which provide guidance in evaluating positions and consist of Office of Personnel Management and Department of Justice classification and qualification standards. Included are position evaluation decisions, post-audit reports by Office of Personnel Management which have the effect of standards, and similar or related documents.

Disposition: Destroy when standard is superseded or obsolete.
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File No. 520-05 (NCI-170-77-1)

Position Standard Development Files. Documents relating to developing classification or qualification standards. Included are tentative drafts of standards, correspondence, project schedules, and similar or related documents.

Disposition: Review at least once a year after publication of final standards and destroy all papers which have been superseded or are no longer applicable.

File No. 520-06 (NCI-170-77-1)

Post Differential and Allowance Files. Documents which provide overseas personnel offices with a means of documenting an employee's eligibility for foreign post differential and foreign quarters and post allowance. Included are Standard Forms 1190 (Foreign Allowances Application, Grant, and Report) and similar or related documents.

Disposition: Destroy on separation of employee from the agency.

File No. 520-07 (NCI-170-77-1)

Wage Rate Files. Documents relating to the determination and application of base rate schedules for wage board jobs. Included are tentative and revised schedules of full scale wage surveys, and requests for changes to survey schedules; minutes of meetings; comments, recommendations, and justifications; collected and supplemental wage data concerning regular and overtime rates, bonuses, incentives, and shift differentials, data summaries; wage schedules; notifications of wage schedule applications, and similar or related documents.

Disposition: Destroy when superseded or obsolete.

File No. 520-08 (GRS 2-27)

Payroll Correspondence Files. Correspondence, memoranda, and other records relating to payroll problems of employees, the general administration and operation of payroll functions, but excluding records specifically described in this appendix.

Disposition: Destroy when 2 years old.
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File No. 520-09 (NI-170-89-1)

Attendance and Leave Files. Correspondence and other documentation pertaining to the general administration of employee attendance and leave, and resolution of attendance and leave problems, but excluding records specifically described in this appendix. Documents include instructions and interpretations dealing with administering the Time and Attendance Program.

Disposition: Destroy when 5 years old.

File No. 520-10 (GRS 1-7C (1))

Position Classification Survey Report Files. Survey reports on various positions prepared by classification specialists, including periodic reports.

Disposition: Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

File No. 520-11 (GRS 1-7C (2))

Position Classification Inspection, Audit, and Survey Files. Correspondence, memoranda, reports and other records relating to position classification inspections, surveys, desk audits, and other evaluations.

Disposition: Destroy when obsolete or superseded.

File No. 520-12 (GRS 1-7d)

Position Classification Appeals Files. Case files relating to classification appeals and position reviews.

Disposition: Destroy 3 years after case is closed.

File No. 520-13 (NI-170-89-1)

Premium Pay Files. Documents related to Administratively Uncontrollable Overtime pay, compensatory overtime pay, overtime, hazardous pay, differentials, and other forms of pay other than regular pay. Documents consist of correspondence, forms, printouts, etc., that request, authorize, and report the various forms of premium pay.
Disposition: Destroy after GAO audit or 3 years, whichever is sooner.

**File No. 520-14 (GRS 1-37)**

Donated Leave Program Case Files. Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certification, leave donation records or OF 630-A supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Disposition: Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.

File No. 520-15

Personnel Position and Pay Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the personnel position and pay management program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

**Addition
EMPLOYMENT SERVICES FILES

These files relate to selecting and retaining employees for DEA.

File No. 530-01 (NCI-170-77-1)

Civil Service Certificate Files. Documents providing a record of requests to the Office of Personnel Management (OPM) for certifying eligibles and reporting action taken on certificates of eligibles. Included are Standard Form 39 (Request for Certification) (Copy 3), OPM Form 2934c (Statement of Reasons for Passing over a Preference Eligible and Selecting a Nonpreference Eligible) and similar or related documents.

Disposition: Destroy 2 years after date of certification.

File No. 530-02 (NCI-170-77-1)

Re-employment Files. Documents reflecting persons separated by reduction-in-force or for military service, or having other restoration or re-employment rights. In either the restoration section or the re-employment priority list section of these files, the file on an individual may be returned to the employee evaluation record file upon fulfillment of restoration or re-employment obligation.

Disposition: a. Restoration activity: Destroy when obligation is terminated or restored. b. Re-employment priority list activity: Review at end of each calendar year. Place forms for employees separated for 2 years in an inactive file, hold 1 year, then destroy. Place forms for employees separated for 1 year in an inactive file, hold 1 year, then destroy.

File No. 530-03

Delete.

File No. 530-04 (NI-170-89-1)

Employee Processing Files. Documents may include Employee Clearance Record, Exit Interview Questionnaire, and similar or related documents used to record an employee's departure from the agency.
**File No. 530-05

**Employee Services Program Management Files.** Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the employee services program.

**Disposition:** Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**
EMPLOYMENT APPLICATION FILES

These files relate to considering, rating, and processing applications for employment by DEA.

File No. 540-01 (NCI-170-77-1)

Qualification Standard Files. Documents used in rating applications for appointments and approving noncompetitive actions. Included are index to standards; OPM Handbook X-118, OPM Departmental Circular 588; examination announcements; special standards, such as promotion and training agreements; and similar or related documents.

Disposition: Destroy when qualification standard is superseded. (Superseded standards may be retained until OPM inspection covering period during which the standard was applicable).

File No. 540-02 (GRS 1-15)

Active Employment Application Files. Documents pertaining to individuals who can be considered for appointment. Included are applications and related documents.

Disposition: Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.

Note: In all cases retain applications having a direct bearing on the appointment in question until action is completed.

File No. 540-03 (GRS 1-15)

Inactive Employment Application Files. Documents pertaining to applicants for federal employment rated as not qualified for consideration for appointment, applicants who decline or will not be available for appointment for an indefinite period of time, and applicants for whom employment determinations preclude selection. Included are applications and related documents.

Disposition: Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.
Announcement, Notification, and Publicity Files. Included are position announcements, notices of scheduled examinations, public notices of opportunity to compete, and material reflecting all efforts made to reach the best sources of quality candidates (e.g., paid advertising).

Disposition: Destroy 5 years after terminating related register, announcement, or advertisement.

Requests for Information Files. Documents consist of requests for information on announced position vacancies and DEA employment in general, plus the response to the request. Included are unsolicited resumes and SF-171's.

Disposition: Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.

Employment Application Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the employment application program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**
INDIVIDUAL EMPLOYEE FILES

These files relate to documenting the service of each individual employee of DEA and its consultants.

File No. 550-01 (GRS 1-1)

Official Personnel Folder Files. Documents which reflect qualifications, efficiency, promotions, awards, and similar information on a DEA employee. Included are individual personnel folders, Notification of Personnel Action (SF-50), and allied forms and related documents.

Disposition: a. Transfer of employee: Transfer folder to new employing office. b. Separation of employee: Retire to National Personnel Records Center (Civilian), 311 Winnewag st., St. Louis, MO 63118, 30 days after separation. NOTE: Maintain and dispose of temporary records on left side of OPF in accordance with FPM Chapter 293 and Supplement 293-31.

File No. 550-02 (NCI-170-77-1)

Expert and Consultant Data Files. Documents reflecting the names, designations, rates of compensation, duties, and number of days service of experts and consultants. Included are extra copies of personnel actions, descriptions of services to be performed, and similar or related documents.

Disposition: Destroy 2 years after separation of employee.

File No. 550-03 (GRS 1-24)

Employment and Financial Interest Statement Files. Documents reflecting Government employment, private employment, and financial interest of DEA employees required to file such statements as required by the DEA Personnel Manual. Included are statements of employment and financial interests, supplementary statements, reports of change, review comments, and related papers.

Disposition: a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521): (1) Records including SF-278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate. Destroy 1 year after nominee.
ceases to be under consideration for appointment; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation. (2) All other records including SF-278: Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation. b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222. Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.

File No. 550-04 (NI-170-89-1)

Notification of Personnel Action Files. Documents which consist of copy No. 6 (utility copy) of SF-50, which is filed by nature of action in chronological sequence.

Disposition: a. Accessions and separations: Destroy 10 years after the effective date of the nature of action. b. Other documents: Destroy 2 years after the effective date of the nature of action.

**File No. 550-05

Individual Employee Service Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the individual employee, service program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**
PROMOTION, PLACEMENT, AND CAREER MANAGEMENT FILES

These files relate to the promotion, placement, and career management of DEA employees.

File No. 560-01 (GRS No. 1-32)

Referral and Selection Files. Documents reflecting placement and promotion actions under the Merit Placement and Promotion Program. Maintain in chronological order by date of certification.

Disposition: *Destroy after OPM audit or 2 years after the personnel action is completed whichever is sooner.*

File No. 560-02 (NC1-170-77-1)

Placement Consideration Files. Documents pertaining to employees considered to fill a vacancy but not selected and held for future consideration of employee. Included are requests for consideration, vouchers, results of interviews, qualification summaries, copies of notices of eligibility, and similar or related documents.

Disposition: Destroy after 2 years or after regularly scheduled OPM inspection.

File No. 560-03

Delete

File No. 560-04 (NC1-170-77-1)

Career Management Files. Documents related to formulating and directing a planned system for the progressive development of employees and to provide a source of input to meet continuing staffing requirements within designated career occupational fields. Included are coordinating actions, studies, interpretations, and published record copies of instructions; DEA wide letters; messages; newsletters; and similar or related documents.

Disposition: Destroy 5 years after system is superseded or obsolete.

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File No. 560-05 (NC1-170-77-1)

Occupational Inventory Files. Documents reflecting qualifications, availability, appraisals, and other data on persons registered in specific career fields. Included are forms, printouts, and similar or related documents.

Disposition: Destroy 2 years after individual is no longer eligible for consideration.

File No. 560-06

Delete.

File No. 560-07 (NC1-170-77-1)

Career Trainee Input Requirement Files. Documents reflecting trainee input requirements in occupational fields. Included are letters, forms, printouts, and similar or related documents.

Disposition: Destroy 2 years after the end of the fiscal year for training input requirements.

**File No. 560-08 (NI-170-88-1)**

Special Agent Career Management Files. Documents reflecting offers or notices of assignment to posts of indicated preference. Also included are offices of preference by agents selecting the investigative career path or indicating the management career path, and computer-generated printouts derived from this information. Documents may include policy or position papers, correspondence, copies of SF-52's, and similar or related documents on the office of preference program.

Disposition: a. Assignment notices and policy documents or position papers: Destroy after 3 years. b. Agent-filed career and office of preference forms, and computer printouts of the associated database: Destroy after 1 year.

** Addition
File No. 560-09 (NI-170-89-1)

Non-1811 Career Management Files. Documents reflecting offers or notices of assignment to positions applied for. Included are acceptance letters; welcoming letters, and other correspondence related to the assignment. Documents may include policy or position papers, copies of SF-52's, travel orders, and similar or related documents.

Disposition: Destroy after 3 years.

File No. 560-10 (NI-170-89-1)

Home Leave Files. These files consist of requests by employees in foreign offices for home leave upon completing 2 years overseas, in conjunction with renewing their tour for an additional 2 years. Included are coordinating actions and approvals at designated levels.

Disposition: Destroy when 5 years old.

File No. 560-11 (NI-170-89-1)

Student Assistance and Employment Files. Documents consist of policy or position papers concerning the stay-in-school, summer hire, and cooperative education programs. Included are written agreements with the students and the schools; applications, transcripts, work plans and schedules, recommendations by DEA and school staff members, copies of position descriptions, required reports, correspondence, and similar or related papers.

Disposition: a. Files pertaining to individual students: Destroy 3 years after the student has been either dropped from the program or hired by DEA. b. Other Files: Destroy when 3 years old.

File No. 560-12 (NI-170-89-1)

Orientation Files. Documents consist of program policy and procedural memoranda, brochures, handouts, notifications of orientations, listings, agendas, coordinating actions, and similar or related documents.

Disposition: Destroy after 3 years.
**File No. 560-13**

*Acting Personnel Designations Files.* Documents that reflect authorization for an individual to perform certain duties during the temporary absence of an official.

**Disposition:** Destroy 1 year after end of designated period.

**File No. 560-14**

*Promotion, Placement, and Career Program Management Files.* Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the promotion, placement, and career management program.

**Disposition:** Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.

**File No. 560-15**

*Special Agent Promotion Process Files.* Documents relate to test materials (confidential in nature), videotapes and printed materials, used in assessing Criminal Investigators (GM/GS 1811) for promotion/assignment to supervisory and managerial positions.

**Disposition:** The test materials are covered by a court order and are to be retained indefinitely.**

** Addition
PERSONNEL WELFARE AND GRIEVANCE FILES

These files pertain to employee work schedules, services and facilities, and grievances.

File No. 570-01 (NC1-170-77-1)

Hours of Work Files. Documents relating to the establishment of working hours, staggered shifts, holiday staffing, and similar matters affecting the work schedule of civilian employees. Included are coordinating actions, studies, interpretations, and published record copies of instructions; letters; messages; and similar or related documents.

Disposition: Destroy 1 year after no longer effective.

File No. 570-02 (NC1-170-77-1)

Employee Service Case Files. Documents related to considering, approving or disapproving, establishing or discontinuing specific employee services or facilities such as medical and health services; recreation; and published record copies of instructions; letters; orders, and similar or related documents.

Disposition: Destroy 5 years after disapproval or discontinuance of the service or facility.

File No. 570-03 (GRS No. 1-30a)

* Misconduct Appeal and Grievance Case Files. Documents reflecting actions taken on appeals and grievances submitted by DEA employees. Included in each case are employee grievance record; decisions delivered, including records of grievance committee; review decisions; and similar or related documents.

Disposition: Destroy 3 years after case is closed.

File No. 570-04 (GRS No. 1-30a)

Performance-Based Action Files. Documents reflecting the results of performance-based actions such as appeals, grievances, removals, demotions, within grade increases, etc. Included are
the employees rating documents, responses in mitigation, decisions delivered, review decisions, and similar or related documents.

**Disposition:** Destroy 3 years after final resolution.*

**File No. 570-05 (N1-170-86-1)**

Retirement Files. Documents reflecting an employee's retirement application, accrued benefits, and associated papers related to the employee's retirement eligibility.

**Disposition:** Destroy 3 years after approval or disapproval for retirement.

**File No. 570-06 (N1-170-86-1)**

Fitness for Duty Files. Documents related to determination of an employee's fitness for duty in DEA.

**Disposition:** Destroy 3 years after case is closed.

**File No. 570-07 (N1-170-86-1)**

Health/Life Insurance Files. Documents used in determining health and/or life insurance benefits for which an employee is eligible.

**Disposition:** Destroy 3 years after final resolution.

**File No. 570-08 (N1-170-86-1)**

Death Claim Files. Documents relating to determination of benefits to an employee's estate or to survivors.

**Disposition:** Destroy 3 years after final resolution.

**File No. 570-09 (GRS No.1-31)**

Personal Injury Files. Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

* Revision
Disposition: *Cut-off on termination of compensation or when
deadline for filing a claim has passed. Destroy 3 years after
cut-off.*

File No. 570-10 (GRS No. 1-30b)
Disciplinary/Adverse Action Files. Case files and related records in
reviewing an Adverse Action (Disciplinary or Non-Disciplinary
Removal, Suspension, Leave Without Pay, Reduction-in-Force) against
an employee. Included in each case is a copy of the proposed action
with supporting papers; statements of witnesses; employee's reply;
hearing notices; reports and decision; reversal of action; and appeal
records.

Disposition: Destroy 4 years after case is closed.

File No. 570-11 (GRS No. 1-26a)
Personnel Counseling Records. Documents relating to interviews,
analyses, and related records of assistance provided to employees.

Disposition: Destroy 3 years after termination of counseling.

File No. 570-12 (NC1-170-77-1)
Personnel Welfare and Grievance Program Management Files. Documents
related to establishing and administering the programs in this area.
Included are coordinating actions, studies, instructions, authorizing
directives, interpretations, messages, and similar or related
documents.

Disposition: a. Office of Record: Destroy after 5 years.
b. Other Offices: Destroy after 3 years.

File No. 570-13 (GRS 1-23a)
Performance Appraisal Program Files. Records consist of letters of
instructions, interpretations of regulations, memoranda, other
Correspondence, and documents used in administering the performance
appraisal process and program. Excludes performance ratings (DEA
Form 460) which are filed in 020-03 and 550-01.

Disposition: Destroy when 3 years old, or when no longer needed,
whichever is sooner.

File No. 570-14 (GRS No. 1-23a(3)(b))
SAC/CA Rating Input Files. Consist of letters of instructions, work
sheets, meeting notes and other documents accumulated to provide
input for determining mid-year performance reviews and annual perform-
ance ratings for Special Agents in Charge and Country Attaches.

Disposition. Destroy when *3* years old or when no longer needed,
whichever comes first.

* Revision
PERSONNEL REDUCTION-IN-FORCE FILES

These files relate to eliminating personnel from the DEA work force through reduction-in-force.

File No. 580-01 (GRS No. 1-17b)

Reduction-In-Force Data Files. Documents reflecting name of employee, date, position, grade, last performance rating, competitive level code, and similar information. Included are punched cards, card forms, listings, and similar or related documents.

Disposition: Destroy when no longer required for reference.

File No. 580-02 (NC1-170-77-l)

Competitive Level Files. Documents reflecting competitive levels within areas serviced by the DEA personnel officer which are used as a basis for preparing retention registers. Included are cards, listings, and similar or related documents.

Disposition: Destroy when no longer required for reference.

File No. 580-03 (GRS No. 1-17b)

Retention Register Files. Documents reflecting retention groups of employees according to tenure, length of service, performance ratings, and veterans preference. Included are registers and similar or related documents.

Disposition: Destroy when 2 years old, unless appeals are pending.
**File No. 580-04**

Personnel Reduction-in-Force Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the personnel reduction-in-force program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**
**FEDERAL WORKPLACE DRUG TESTING PROGRAM FILES**

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f), and statistical reports, as required by FPM Letter 792-19, 12/27/89, Section 6.

**File No. 585-01 (GRS 1-36a)**

Drug Test Plans and Procedures Files. Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions. Excludes documents that are filed in records sets of formal issuances (directives, procedures handbooks, operating manual and the like.)

Disposition: Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. See Note 2.

**File No. 585-02 (GRS 1-36b)**

Employee Acknowledgment of Notice Forms (Drug Test) Files. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging that they have received notice that they may be tested.

Disposition: Destroy when employee separates from testing designated position. See Note 2.

**File No. 585-03 (GRS 1-36c)**

Selection/Scheduling Records (Drug Test) Files. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Disposition: Destroy when 3 years old. See Note 2.
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File No. 585-04 (GRS 1-36d(1))

Permanent Record Books (Drug Test) Files. These records relate to the collection and handling of specimens. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Disposition: Destroy 3 years after date of last entry. See Note 2.

File No. 585-05 (GRS 1-36d(2))

Chain of Custody Records (Drug Test) Files. These records relate to the collection and handling of specimens. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen. Includes Trouble Reports.

Disposition: Destroy when 3 years old. See Note 2.

File No. 585-06 (GRS 1-36s)

Drug Test Results Files. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

Disposition: Destroy when 3 years old. See Note 2.

NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by FFS No. 570-10 which provides for the destruction of records 4 years after the case is closed. (2) Any records covered by FFS No. 585-01 to 585-06 that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).
File No. 585-07

Drug Testing Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the drug testing program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**
INCENTIVE AWARDS COMMITTEE FILES

*These files relate to approving, disapproving, and reporting incentive awards.*

File No. 590-01 (NI-170-89-1)

Incentive Awards Program Management Files. Documents related to program/policy guidance in the daily operation of this program. Included are coordinating actions/studies, instructions, authorizing directives, interpretations, messages and similar or related documents.

Disposition: a. Office of Record: Destroy after 5 years.
b. Other offices: Destroy after 3 years.

File No. 590-02 (NCI-170-77-1)

Incentive Awards Reporting Files. Documents used to provide statistical information on participation, approvals, savings, or other aspects of the incentive awards program. Included are retained copies of reports, report corrections, and similar or related documents.

Disposition: Destroy 3 years after data were reported.

File No. 590-03 (NCI-170-77-1)

Incentive Award Case Files. Documents related to submitting, evaluating, and approving or disapproving each incentive awards case. Included are types of awards as suggestions, Sustained Superior Performance, Special Act or Service, or Certificate of Achievement.

Disposition: Destroy 2 years after final action.

File No. 590-04 (GRS 1-12d)

Employee Suggestion Control and Subject Index Files. Documents used as a suspense control of employee suggestions on which action is not completed, and as a subject index to completed suggestions.

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Disposition: Transfer from control file to subject index file upon final disposition of suggestion. Destroy when superseded or obsolete.

**File No. 590-05 (GRS 1-12)**

Letter of Appreciation/Commendation Files. Documents accumulated as a result of recommendations for, presentations of, comments, and approvals regarding letters of appreciation and commendation. EXCLUDED are copies filed in the employee's Official Personnel Folder (OPF).

Disposition: Destroy after 2 years.**

** Addition
ENFORCEMENT FILES

These files relate to those activities of drug/narcotic enforcement pertaining to criminal/regulatory investigations, drug abuse prevention, and other enforcement-related operations.

File No. 601-01 (NC1-170-77-1)

Jurisdictional Responsibility Files. Documents relating to determining and establishing the scope and responsibility of DEA for drug abuse prevention; detection and investigation of drug/narcotic crimes and offenses; and apprehension, restraint, and custody of offenders or suspected offenders. Included are agreements with other Federal agencies or civil authorities, and similar papers.

Disposition:  a. Offices performing DEA-wide staff responsibility: (1) Record copy of agreement and implementing instructions: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 8 years after termination of agreement or functional responsibility. b. Other offices: Destroy 5 years after termination of agreement or functional responsibility.

File No. 601-02 (NC1-170-77-1)

Investigative Technique Files. Documents related to determining and disseminating the techniques, methods, and procedures to be used in investigating and reporting drug/narcotic criminal and regulatory activities and offenses. Included are written guidelines pertaining to using specialized equipment in support of investigations.

Disposition:  a. Offices responsible for directing or developing techniques, methods, and procedures: Destroy 5 years after termination of functional requirement. b. Other offices: Destroy 3 years after termination of functional requirement.

File No. 601-03 (NC1-170-77-1)

Enforcement Confidential Fund Files. Documents which relate to expenditures of special funds to cover expenses incurred in discharging assigned duties of criminal investigators not otherwise payable from other DEA funds. Funds are used for purchase of evidence and purchase of information.
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Disposition: a. Offices performing DEA-wide staff responsibility: Destroy 8 years after vouchered expenditure. b. Other offices: Destroy 5 years after vouchered expenditure.

File No. 601-04 (NC1-170-77-1)

Enforcement Program Files. Documents created in planning, coordinating, executing, and reviewing courses of action for curtailing the illegal production, diversion, and trafficking of drugs and narcotics. Included are investigative and compliance programs, surveys, studies; operations of task forces and other specialized units; and program status reports. These files are exclusive of the general program files that are identified in Subchapter 623 of the Agents Manual.

Disposition: a. Offices responsible for directing or developing investigative and compliance programs: (1) Record copy of substantive documentation relating to enforcement programs: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 5 years after termination of functional requirement. b. Other offices: Destroy 5 years after termination of functional requirement.

File No. 601-05 (NC1-170-89-1)

Criminal Investigator Cross-Designation Files. Documents relating to the assignment, termination, or withdrawal of cross-designation of criminal investigators as Customs Officers (Excepted) **and deputization of law enforcement officials to make arrests under the authority of DEA criminal investigators. Included are applications, recommendations, approvals, disapprovals, and related papers.**

Disposition: Destroy 35 years after termination or withdrawal of cross-designation authority.

File No. 601-06 (NC1-170-77-1)

Enforcement Activities Reporting Files. Reports containing statistical and narrative data relating to drug/narcotic cases, compliance violations, drug seizures, intelligence operations, and other enforcement activities. Included are the weekly, biweekly, and monthly activity reports, monthly work hour and project summaries, feeder reports, and consolidated reports and analyses. Does not include reports pertaining to enforcement programs, as such reports are included with the program files.

** Addition
Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of annual reports: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Consolidated data: Destroy 5 years after preparing report. (3) Feeder reports and similar data: Destroy 1 year after preparing report. b. Other *Headquarters and field* offices: Destroy 3 years after preparing report.

File No. 601-07 (NCI-170-77-1)

Numbered Investigative Case Files. DEA reports of investigation concerning offenses related to violations of drug/narcotic laws and required inspections of registrant activities. Included are DEA reports of investigation (DEA Form 6) and supporting documents.

Disposition: a. Files created in 1968 and afterward:

(1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer closed case files when *6* years old, in 1 year groups, to Federal records center. Case files opened longer than *6* years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

(2) Originating foreign offices will transfer closed case files when 3 years old, in 1 year groups, to Federal records center. Case files opened longer than 3 years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years after date the file was opened) or 22 years from date of last correspondence, whichever date is later.

b. Files created prior to 1968: Originating District and Resident Offices and Investigative Records Unit, Records Management Section, are authorized to destroy all closed FBN case files that were opened in 1955 or earlier. Transfer closed FBN and BDAC case files opened after 1955 to Federal records center in calendar year 1980. Open case files will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

c. Field offices will dispose of case files originated by other District or Resident Offices according to File No. 601-12.

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d. Index cards may be destroyed currently when the corresponding files are destroyed; or they may be retained and destroyed in year 2004. Offices having a NADDIS terminal may destroy index cards for investigative reports dated from July 1, 1975 to present date.

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

File No. 601-08 (NCI-170-77-1)

General Investigative Files. DEA reports of investigation that are limited on scope concerning individuals, firms, ships or related subjects pertinent to violations of drug narcotic laws or DEA registrant activities. Included are numbered and unnumbered general investigative files. Name and program general files procedures are outlined in Chapter 62 of the DEA Agents Manual.


b. Numbered files: (1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer inactive files (i.e., 5 years after date of last correspondence) to Federal records center *6* years from the date the file was opened. Files still active after *6* years will be retained until they become inactive and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files (i.e., 2 years after date of last correspondence) to Federal records center 3 years from date the file was opened. Files still active after 3 years will be retained until they become inactive and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 23 years from date of last correspondence, whichever date is later.

c. Field offices will dispose of general investigative files prepared by other District or Resident Offices in accordance with File No. 601-12.

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

* Revision
Cooperating Individual Files. Documents reflecting information concerning cooperating individuals relative to drug/narcotic offenses.

Disposition: a. Unnumbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center in calendar year 1979. Active files will be retained until they become inactive and then transferred to Federal records center as indicated in paragraph b. below. Destroy in calendar year 1993 or 20 years from date of last correspondence, whichever date is later.

b. Numbered files with reporting (originating) office designator:

(1) Domestic offices will transfer inactive files (i.e., 5 years after date of last correspondence) *5* years after date the files were opened, in 1 year groups, to Federal records center (CI files will not be sent to the center at Laguna Niguel, CA). See Appendix 0755A for a list of the Federal records centers. Offices having files still active after *6* years, will retain the files until they become inactive and forward the files to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files (i.e., 2 years after date of last correspondence), 23 years from date the file was opened, in 1 year groups, to Federal records center. Offices having files still active after 3 years will retain the files until they become inactive and transfer the files to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 23 years from date of last correspondence, whichever date is later.

Note: The sensitivity of these files requires that they be stored in a vault or classified area of the Federal records center. These files will be sealed in records center boxes and delivered by the DEA activity to the Federal records center, picked up and receipted for by the records center, double wrapped and sent by registered mail return receipt through USPS or forwarded by diplomatic pouch. These boxes and SF-135 will be annotated with the special handling marking "NOT TO BE OPENED BY NARA; RESTRICTED TO DEA PERSONNEL".

* Revision
C. Numbered files with another office designator: Files pertaining to cooperating individuals of another District or Resident Office may be destroyed when the last correspondence in the files is 2 years old. Prior to destruction, transfer the original copies of payment vouchers (DEA Form 103) to the office that established the cooperating individual. Also, forward copies of status reports or correspondence not previously sent to the establishing office (do not send cross-file copies of debriefing reports).

Note: Multiple years of files may be held at the field office until one cubic foot (one box) of files accumulates.

File No. 601-10 (NCI-170-77-1)

Enforcement Journal Files. Documents containing a chronological record of agent activity developed from reports, complaints, incidents, or information received, and action taken.

Disposition: Destroy 3 years after journal entry date.

File No. 601-11 (NCI-170-77-1)

Foreign Country Files. Documents relating to drug/narcotic enforcement activities in a foreign country. These files include:

a. Correspondence with foreign governments concerning international cooperation in enforcement activities and documents concerning methods used to control international trafficking in narcotics; agenda, minutes, and reports of meetings and conferences on narcotic control; and documents concerning DEA participation in negotiations concerning international narcotic control matters, including position papers.

b. Studies of drug/narcotic production and distribution, assessments of anti-narcotics efforts within a country, delineation of areas of responsibility for drug/narcotic enforcement, position papers, and status reports of drug/narcotic enforcement.

Disposition: a. Office performing DEA-wide staff responsibility: Record copy of documents described in paragraphs a. and b. above. Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. b. Other *Headquarters and field* offices: Destroy 5 years after approval of program material.

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File No. 601-12 (NI-170-89-1)

Other Field Office Investigative Files. Files received from subordinate offices (District and Resident) of field Divisions and Country Offices are included in this category. Copies of DEA Reports of Investigation (DEA Form 6) and other investigative documents received from or prepared for other field Divisions, Country Offices, District Offices, Resident Offices, and Headquarters offices. These files are established and maintained separately from the numbered files originated by field offices.

Disposition: Destroy 10 years after date of report. Earlier destruction is authorized when the files are no longer needed for investigative purposes. Do not transfer files to Federal records center.

**File No. 601-13

Suppression/Eradication of Illegal Drugs Program Files. Documents created in the planning and executing programs designed to suppress/eradicate illegally produced drugs and narcotics. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: Offices responsible for directing or developing suppression/eradication programs: (1) Record copy of substantive documentations relating to suppression/eradication programs: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 5 years after termination of functional requirement. b. Other offices: Destroy 5 years after termination of operation.

File No. 601-14

Drug Desk Investigations Case Support Files. Copies of field requests for funds to support drug investigations activities, including domestic and foreign travel, flash rolls, CI payments, use of trafficker funds and other investigative support activities. Note: Original copies are filed in Numbered Investigative Case Files (FFS: 601-07).

Disposition: Destroy after 1 year or when no longer needed for reference, whichever is sooner.

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File No. 601-15

Special Enforcement Programs (SEP) Management Files. Documents relative to directing the expenditure of resources to support high-level enforcement projects that focus DEA's investigative, intelligence and logistical resources on drug trafficking problems. These projects may be regional, hemispheric or international in scope. These programs are initiated at either the field or Headquarters level, but are established and managed by the appropriate Headquarters Sections. Examples are Operation Snowcap, BAT, CHEMCON, HIDTA and Pipe Line. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office of official record: Record copy of written proposal, quarterly and summary reports relating to SEP: Permanent. Transfer to Federal records center 5 years after receipt of summary report. Offer to NARA when 15 years old. b. Appropriate Headquarters Sections or comparable staff activity: Destroy 5 years after establishment of SEP. c. Field offices: Destroy 3 years after establishment of SEP.

File No. 601-16

Special Enforcement Operations (SEO) Management Files. Documents relative to directing the expenditure of resources to support long-term enforcement projects focusing DEA's investigative, intelligence and logistical resources on a trafficking organization with international or national implications. These operations are initiated at either the field or Headquarters level, but are established and managed by the appropriate Headquarters Sections. Examples are Operations Columbus and Sea Horse. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office of official record: Record copy of written proposals, quarterly and summary reports relating to SEO: Permanent. Transfer to Federal records center 5 years after receipt of summary report. Offer to NARA when 15 years old. b. Appropriate Headquarters Sections or comparable staff activity: Destroy 5 years after establishment of SEO. c. Field Offices: Destroy 3 years after establishment of SEO.

File No. 601-17

Prisoner Transfer Requests (Foreign) Files. Requests and responses for prisoners to be transferred to their country of origin.
Disposition: Destroy 3 years after response.

File No. 601-18

Cooperating Individual System (CIS) Files. Documents consisting of copies of DEA policies and guidelines regarding the operations and functions of the CIS including cables received and generated relative to changes within the system. Names of employees authorized access to the system are maintained.

Disposition: Destroy when superseded or obsolete.

File No. 601-19

DEA Marine Program Management Files. Documents relating to the management and disposal of seized vessels, including a declaration of seizure, specifications and identification, cost analyses and evaluations for boat acquisitions, angle photographs of boats, maintenance and equipment costs, i.e., authorizations and expenditures, vessel activity history, DEA Form 463 and training certificates of vessel operators.

Disposition: Destroy when vessel is no longer assigned to DEA.

File No. 601-20

Drug Trafficking Immobilization Liaison Program Files. Documents relating to cooperative efforts between DEA, DOD, other Federal agencies, state and local enforcement groups and foreign countries directed toward the immobilization of illegal drug trafficking. Included are memoranda of understanding, operational plans, requests for and provision of technical assistance, authorizations by DEA for travel by other Federal agencies, and documents concerning interaction of specific illegal drug programs.

Disposition: Destroy when agreements and associated documents are superseded, cancelled or terminated.

File No. 601-21

Transportation Enforcement Program Files. Documents containing statistical and narrative data relating to searches conducted at airports, bus stations and train stations relating to the transport of illegal drugs. Included is general guidance regarding airport searches.
Disposition: a. Destroy statistical and narrative reports 3 years after date of report. b. Destroy feeder reports and similar data 1 year after date of report.

**File No. 601-22**

**Witness Security Program (DOJ) Files.** Documents related to the Witness Security Program, i.e., application for acceptance into the program, threat and risk assessment reports, recommendations by DEA and final decisions by DOJ. Other documents relate to utilization of prisoners as informants, and transfer of prisoners to and from foreign countries as witnesses.

Disposition: Record copy of documents relating to eligibility of an individual for inclusion in the Witness Security Program: Transfer to Federal records center 5 years from date of approval for acceptance into the program. Destroy 75 years after date of individual's acceptance into the program.

**File No. 601-23**

**Authorization for Foreign Travel/Undercover Operations (FBI) Files.** Documents relating to approval by DEA of foreign travel by FBI officers in the undercover investigations of illegal drug trafficking and furnishing drugs for undercover investigations.

Disposition: Destroy 2 years after date of approval.

**File No. 601-24**

**Authorization for Foreign Travel/Referral (Customs) Files.** Documents relating to approval by DEA of foreign travel by U.S. Customs officers in undercover investigations of illegal drug trafficking.

Disposition: Destroy 2 years from date of approval.

**File No. 601-25**

**Authorization for Utilization of Prisoner Files.** Documents consisting of requests from DEA and approvals by DOJ for the use of prisoners as cooperating individuals. Note: Appropriate copies are filed according to Chapter 62 of the Agents Manual.

Disposition: Destroy 5 years after date of DOJ approval.
File No. 601-26

Authorization for Issuance of Green Card Files. Documents consisting of alien status requests submitted by DEA to DOJ (Drug and Narcotic Section) for approval of issuance of green cards to aliens by the Immigration and Naturalization Service.

Disposition: Record copy of request and approval: Destroy 75 years after DOJ approval.

File No. 601-27

Authorization for Paroles and Visas Program Files. Documents received from DEA field offices, directed to the Immigration and Nationalization Service (INS), requesting temporary authorization for prisoners' paroles and visas into the United States for their use as cooperating individuals, witnesses or as part of an undercover operation.

Disposition: Destroy 2 years after date request.

File No. 601-28

Pardon Inquiry Files. Documents received from DOJ requesting DEA's review of files relative to pardoning of prisoners.

Disposition: Destroy 1 year after date of DEA response.

File No. 601-29

Fugitive Post-Arraignment Files. Documents received from DEA field offices consisting of copies of notices of fugitive declarations or cancellations.

Disposition: a. Headquarters office of record: Destroy when case is completed, closed, or dismissed. b. Other offices: Destroy 1 year after date of notice.

File No. 601-30

Authorization for Utilization of Undercover Documents Files. Documents consisting of DEA Form 457, Undercover Document Request, and approvals for use of undercover passports and social security cards in undercover operations.

Disposition: Destroy 15 years from date of document.
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File No. 601-31

Prisoner Transfer and Exchange Coordination Files. Documents related to the transfer of prisoners to testify as witnesses and the exchange of prisoners with foreign countries, by mutual agreement between the United States and other governmental entities.

Disposition: Documents relating to the transfer and return of prisoners from/to foreign countries: Destroy 1 year after prisoner leaves or returns to jurisdiction of the United States.

File No. 601-32

Targeted Kingpin Operations (TKO) Management Files. Documents relative to directing the expenditure of resource to support long-term enforcement operations focusing DEA's investigative, intelligence, and logistical resources on a specific head of an international drug trafficking organization or part of a drug trafficking consortium, in a source country; that is responsible for directing all phases of unlawful production, transportation, and wholesale of bulk quantities of cocaine hydrochloride, or coca products, and/or directing the financial operations thereof. These operations are initiated at either the Headquarters or field level, but are established and managed by the appropriate Headquarters Sections. The term 'KINGPIN' is used interchangeably to refer to either/both the individual or the organization. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office of official record: (1) Record copy of written proposals, quarterly and summary reports relating to TKO: Permanent. Transfer to Federal records center 5 years after receipt of summary report. Offer to NARA when 15 years old. b. Appropriate Headquarters Sections or comparable staff activity: Destroy 5 years after establishment of specific TKO. c. Field offices: Destroy 3 years after establishment of a specific TKO.

File No. 601-33

Linear Counternarcotics Coordination Files. Documents relating to action plans to disrupt the cocaine operations of a Kingpin drug trafficking organization and their selected group of closely related organizations. These files concern DEA's counternarcotics efforts in coordination with U.S. and Host Nation authorities, both domestic and international, to combat cocaine trafficking.
a. Monthly meetings for updating the status of counternarcotics effort; b. Conferences for developing strategies, policies and sharing information; c. Briefings on all aspects of the program for interested key officials; d. Issues that require review and resolution; e. Correspondence concerning coordination of intelligence and enforcement activities; and f. Country working files of copied DEA material and other agency material. Note: Investigative reports are filed according to Chapter 62 of the Agents Manual.

Disposition: a. Headquarters office performing DEA-wide staff responsibility: (1). Record copy of documents described in paragraphs a to e, above. Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 20 years old. (2). Other material: Destroy after 5 years. b. Other Headquarters and field offices: Destroy after 5 years.**

** Addition
ENFORCEMENT GRANT PROGRAMS FILES

File No. 610-01
Reserved.

File No. 610-02
Reserved.
**620 DRUG ABUSE PREVENTION FILES**

These files relate to those activities performed by DEA in cooperation with: other U.S. Government agencies; state, local, and foreign governments; plus civic, professional, and business groups. *The goal of these activities is to provide leadership, coordination and facilitation for the involvement of law enforcement in drug prevention and education programs, including: user accountability; programs involving law enforcement (demand reduction training, development of community-based coalitions, and Drug Abuse Resistance Education - DARE); steroids/Sports Drug Awareness Program, including training professional sports teams; workplace programs; minority/high-risk programs; and international assistance programs.*

File No. 620-01 (NI-170-89-1)

Demand Reduction Program Management Files. Documents relating to establishing and administering the daily operation of the functions of this program area through the program/policy guidance issued. Included are coordinating actions, studies, memoranda, messages, reports, instructions, authorizing directives, and similar or related documents.

Disposition: a. Office of Record: Destroy after 6 years.
b. Other offices: Destroy after 3 years.

File No. 620-02 (NI-170-89-1)

Demand Reduction Project Files. Documents received or created in planning, coordinating, executing, and reviewing courses of action for reducing the demand for narcotics. Included are: documents on seminars, public appearances and displays, publications, and foundations; promotions by national/state/local/professional groups, parents, private industry, civic groups, and sports figures; agreements with medical groups and law enforcement groups; and training programs.**

Disposition: *a. Headquarters Project Files. PERMANENT. Retire to the WNRC when 5 years old. Transfer to the National Archives when 15 years old. b. Quarterly Reports from field divisions: PERMANENT. Disposition instructions as above. c. All other records: Destroy 5 years after end of functional requirement. d. Other offices: Destroy 3 years after end of functional requirement.*

* Revision
** Addition

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DRUG CONTROL FILES

These files relate to the control of legally manufactured drugs.

File No. 630-01 (NCI-170-77-1)

Drug Evaluation Files. Documents pertaining to studies and technical reviews of abuse, production, and distribution of drugs for the development of drug control requirements. Included are surveys of rehabilitation facilities, staff position papers, copies of state and Federal programs, statistics on drug diversion, agenda of meetings with government and nongovernment officials, and related papers.

Disposition: Destroy when superseded or obsolete.

File No. 630-02 (NCI-170-77-1)

Controlled Substances Theft/Loss Report Files. Documents relating to reports of theft or loss of controlled substances, theft or loss of order forms, and reports of investigation.

Disposition: Destroy 5 years after resolving theft or loss.

File No. 630-03 (NCI-170-77-1)

Product Exemption Files. Documents relating to establishing criteria for categorizing drugs in various schedules; coordination with other government agencies for drug reviews; applications for exclusion of nonnarcotic substances from a schedule; applications for exception of a stimulant or depressant compound from a schedule; approval or denial of exclusion or exception; drug scheduling petitions, transcriptions of drug hearings, and review decisions.

Disposition: Destroy when superseded or obsolete.

File No. 630-04 (NCI-170-77-1)

Controlled Substances Reporting Files. Reports accounting for stocks of narcotic controlled substances, excluding theft/loss reports. Included are reports from manufacturers and importers; reports of distributors and exporters; reports from manufacturers importing opium; reports of manufacturers importing medicinal coca leaves; reports from manufacturers importing special coca
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Leaves; reports from manufacturers of bulk materials or dosage units; reports from packagers and labelers; reports from importers and exporters; reports from distributors; reports from manufacturers importing concentrate of poppy straw; reports of disposal and destruction of controlled substances; feeder reports; consolidated reports; and analyses.

Disposition: Destroy 5 years after receipt of report.

File No. 630-05 (NI-170-89-1)

Registration Application Files. Documents pertaining to applications by individuals who currently do or propose to manufacture, distribute, or dispense controlled substances. Included are application forms for registration and reregistration; approval, denial, revocation, or suspension of registration; and delinquency notice of registration.

Disposition: a. Approved registration applications: Destroy 8 years after approval of application. b. Administrative coded registration applications (denial, revocation, suspension, etc): Transfer files to Federal records center 10 years after administrative coded action. Destroy 55 years after administrative coded action.

File No. 630-06

Import/Export Permit Files. Documents pertaining to applications to import or export controlled substances. Included are copies of applications for permit to import opium or coca leaves; permit to export controlled substances; and controlled import/export declaration.

Disposition: Destroy *6* years after approval to issue the permit.

File No. 630-07 (NCI-170-77-1)

Controlled Substances Order Form Files. Documents relating to issuing order forms to transfer controlled substances; non-acceptance of order forms; returning unused order forms; cancelling or voiding order forms; and alternating order forms.

Disposition: Destroy 3 years after issuing the order form.
File No. 630-08 (NCI-170-77-1)

Manufacture and Procurement Quota Files. Documents relating to estimates of controlled substances required for procurement, manufacture, stockpiling, and medical/scientific use. Included are reports furnished to the United Nations, and statistical returns on drug production, use, consumption, import, export, and seizure.

NOTE: The annual report noted in sub-item a. (1) is the public use version of the cumulative fourth quarter report of the Division Analysis and Detection System (DADS), based on data from item 1220-10.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy of annual reports required by international conventions or treaties; annual statistical summary of the manufacture and domestic and international trade in narcotics: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other documents: Destroy 8 years after fiscal year in which quota was established. b. Other *Headquarters and field* offices: Destroy 3 years after fiscal year in which quota was established.

File No. 630-09 (NCI-170-77-1)

Registration Journal Voucher Files. Documents relating to receipt of fees from applicants for registration or reregistration of controlled substances, and refunds to applicants.

Disposition: Destroy 3 years after approval to issuance permit.

File No. 630-10 (NCI-170-77-1)

Drug Identification Label Files. Drug labels and brochures which list the medical ingredients of drug/narcotic preparations that are manufactured or distributed by a specific company.

Disposition: Destroy when superseded or obsolete.

* Revision
**File No. 630-11**

Precursor and Essential Chemical Program Files. Documents relating to chemical diversion seizures, copies of domestic field surveys, information regarding precursor chemicals, including essential and nonregulated chemicals, clandestine laboratory activities and transshipments and sales of tabulating encapsulating machines.

Disposition: Destroy 5 years after resolving regulatory violations.

**File No. 630-12**

Import/Export Declaration of Precursor and Essential Chemicals Files. Documents pertaining to the review and approval of declarations for importing/exporting precursor and essential chemicals. Included are copies of DEA Form 486, Import/Export Declaration of Precursor and Essential Chemicals.

Disposition: Destroy 5 years after date of declaration.

**File No. 630-13**

International Precursor and Essential Chemical Coordination Files. Documents relating to clandestinely produced precursors and essential chemicals in a foreign country. These files include: a. Correspondence with foreign governments concerning international cooperation in enforcement activities. b. Documents concerning methods used to control international trafficking of chemicals and clandestinely produced drugs. c. Agenda, minutes and reports of meetings and conferences on chemical control including documents concerning DEA's participation in negotiations and position papers.

Disposition: a. Headquarters office performing DEA-wide staff responsibility: (1) Record copy of documents described in paragraphs a., b., and c., above. Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2) Other material: Destroy 5 years after approval of program and field material. b. Other Headquarters and field offices: Destroy 5 years after approval of program and field material.
** File No. 630-14

Precursor And Essential Chemicals Activities Reporting Files. Reports containing statistical and narrative data regarding drug cases that relate to chemicals and clandestinely produced drugs. Additional reports relate to compliance violations, seizures, intelligence operations and other enforcement activities.

Disposition: a. Headquarters office performing DEA-wide staff responsibility: (1). Record copy of annual reports: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old. (2). Consolidated data: Destroy 5 years after preparing report. b. Other Headquarters and field offices: Destroy 3 years after preparing report.

** File No. 630-15

Drug Control Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the drug control program.

Disposition: Destroy when 6 years old. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**
INTELLIGENCE PROGRAM FILES

These are intelligence files documenting the daily activities, reports, and programs of the DEA intelligence function. Included are studies, reports, correspondence, analytical assessments, briefings, speeches, planning documents, and similar and related materials.

**File No. 701-01 (NI-170-89-1)**

Intelligence Case Support Files. Copies of field requests, responses by the Office of Intelligence, and finished products created from intelligence file reviews, telephone toll analyses, informant briefings and defendant questionings, document analyses, link analysis charts, case analyses, and financial intelligence assessments. The original documents are filed in investigative files (601-07, 601-08, and 601-09).

Disposition: Destroy when 90 days old or when no longer needed for reference, whichever is sooner.

File No. 701-02 (NI-170-89-1)

Country Narcotic Profile Files. Documents reflecting analyses of narcotics activities within a country with information ranging from cultivation to distribution of narcotics. Included are assessments of the quality, quantity, and dollar value of narcotics; shipment routes; modus operandi of known drug dealers; and descriptions of ethnic and political groups involved in narcotics trafficking.

Disposition: Destroy 2 years after issuance of profile or when profile is superseded or obsolete.

File No. 701-03 (NI-170-89-1)

Narcotic Trafficking Group Files. Documents reflecting overviews of the activities and methods of narcotic trafficking used by illegal organizations and descriptions of members of the organizations.

Disposition: Destroy 2 years after issuance of the report or when report is superseded or obsolete.

File No. 701-04 (NI-170-89-1)

Strategic Intelligence Product Files. Finished intelligence documents that are produced by DEA including the monthly digest of drugs intelligence, quarterly intelligence trends, narcotics intelligence estimate (NIE), DEA monitor program report and similar related documents.
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Disposition: Office performing DEA-Wide staff responsibility:
Record copy: Permanent. Transfer to federal records center when
5 years old, offer to NARA when *30* years old. (b) Reference
copies: Destroy when no longer needed for reference.

File No. 701-05 (N1-170-89-1)

Drug Situation Report Files. Strategic reports regarding drug
trafficking and smuggling routes, and drug related street gang
activities.

Disposition: Destroy 2 years after issuance of report or when
report is superseded or obsolete.

File No. 701-06 (N1-170-89-1)

Intelligence Presentation Files. Narcotic information presenta-
tions (including briefings and speeches) to Congress, high level
officials, and public interest groups.

Disposition: Destroy 2 years after presentation. Earlier
destruction is authorized.

File No. 701-07 (N1-170-89-1)

Special Field Intelligence Program Files. Documents created in
planning and developing a systematic intelligence collection
effort to fulfill DEA operational requirements. Included are
operational plans, SFIP review committee options, incoming/out-
going cables, DEA Form 6's, funding logs, quarterly status reports
and termination reports.

Disposition: Destroy 2 years after termination of functional
requirement.

File No. 701-08 (N1-170-89-1)

Financial and Special Intelligence Program Activities Files.
Documents created in planning and developing systematic intelli-
gence programs designed to provide guidance and support and opera-
tional oversight in the implementation of Asset Removal Program,
Anti-Money Laundering Programs and Other Financial Intelligence
Programs targeted at drug traffickers. Include are documents
regarding asset removal teams and asset removal statistics,
memorandums of agreement with other Federal, state and local
agencies, the establishment of cash tracking networks, documents
regarding the Bank Secrecy Act and its application in relation to
money laundering investigations and agreements with foreign
countries regarding money laundering legislation and activity.

Disposition: Destroy 3 years after program is completed,
terminated or replaced.**

* Revision
** Addition
File No. 701-08 (NI-170-89-1)

Financial and Special Intelligence Program Activities Files. Documents created in planning and developing systematic intelligence programs designed to provide guidance and support and operational oversight in the implementation of Asset Removal Program, Anti-Money Laundering Programs and Other Financial Intelligence Programs targeted at drug traffickers. Included are documents regarding asset removal teams and asset removal statistics, memoranda of agreement with other Federal, state and local agencies, the establishment of cash tracking networks, documents regarding the Bank Secrecy Act and its application in relation to money laundering investigations and agreements with foreign countries regarding money laundering legislation and activity.

Disposition: Destroy 3 years after program is completed, terminated or replaced.

File No. 701-09 (NI-170-89-1)

Audiovisual Records Files. Videotapes, maps, and photographic slides prepared respectively for briefings and program documentation.

Disposition: a. Videotapes: Destroy when superseded or obsolete. b. Maps: PERMANENT. Transfer to the National Archives in five-year blocks when the most recent record is 5 years old. c. Slides: PERMANENT. Transfer when no longer needed to the central collection maintained by the agency photographer, Item 370-03. Transfer to the National Archives under the disposition instructions provided for that item.

**File No. 701-10

National Drug Intelligence Center Program (NDIC) Files. Documents related to the establishment, administration, and operation of the NDIC program. Included are memoranda, studies, messages, staff position papers, interpretations, minutes of meetings, coordinating actions, and similar papers.

Disposition: a. DEA office of record: Permanent. Retire to Federal records center when 5 years old. Transfer to NARA when 15 years old. b. Other Headquarters and field offices: Destroy after 8 years.

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File No. 701-11

Target (AIG) Files. Documents pertaining to the procurement and selection of intelligence information. Included are intelligence collection plans, the scheduling of collection requirements, the monitoring and evaluation of collection priorities, audiovisual products, interrogation reports, and intelligence reference documents. Documents are maintained by the Air Intelligence Group (AIG).

Disposition: Destroy after 3 years. Earlier destruction is authorized.

File No. 701-12

Technical Intelligence Product (AIG) Files. Documents consist of one copy of each confirmed Air Intelligence Group (AIG) product including photographs, trend analysis, study, report, handbook, and comparable productions. Documents are maintained by the AIG.

Disposition: Permanent. Transfer record copy to Federal records center when 5 years old. Offer to the National Archives when 30 years old.

File No. 701-13

Country Background Files. Documents used for familiarizing DEA personnel with the urban environment of cities within specific countries. Included are publications, reports, maps, photographs, and related material.

Disposition: Destroy when superseded or obsolete.**

** Addition
EL PASO INTELLIGENCE CENTER FILES

These files accumulate from the support effort provided by EPIC relative to the interdiction of domestic and international movement of drugs, aliens, and weapons.

File No. 790-01 (N1-170-89-1)

EPIC Lookout Files. Documents pertain to investigative information provided by EPIC to agencies which requested lookout action on suspected violators, aircraft, vessels, etc., involved in narcotic trafficking. Included are handwritten message worksheets, EPIC Form 10's (when a lookout is requested via telephone), messages received requesting lookout, DEA Form 6's, lookout messages sent by EPIC to applicable agencies (in response to a lookout request), EPIC generated printouts, and result messages of findings. Documents are maintained by fiscal year, agency or topic category.

Disposition: Destroy 5 years after date of last correspondence on action item.

File No. 790-02 (N1-170-89-1)

EPIC Watch Inquiry Sheet Files. Documents consist of EPIC Form 10's which are utilized for recording data received by telephone from agencies authorized to request investigative information. Documents are filed by requesting agency, fiscal year, and month. Note: If a telephonic request is received from an agency requesting lookout action, file EPIC Form 10 in a lookout folder under File No. 790-01.

Disposition: Destroy 2 years after month the inquiry was received.

File No. 790-03 (N1-170-89-1)

EPIC Teletype Files. Copies of teletype replies to various agencies which requested investigative information/lookout actions. Teletypes are filed by agency and/or program series (8000, 9000, 9117 or 9999).

Disposition: Destroy 2 years after month of teletype.

File No. 790-04 (N1-170-89-1)

Satellite Communications Program Files. Monthly statistical reports reflecting the volume and location of SATCOM units.

Disposition: Destroy 5 years after month of report.
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File No. 790-05 (NL-170-89-1)

Satellite Tracking Program Files. Monthly reports reflecting the number and status of installed transmitters.

Disposition: Destroy 5 years after month of report.

File No. 790-06 (NL-170-89-1)

Special Operations Files. Documents consist of general and unclassified Operation COCHINO teletypes and reports related to maritime activities and SOFOCAR/TRAMPA daily status reports concerning available resources and seizures.

Disposition: Destroy 2 years after termination of functional requirement.

File No. 790-07 (NL-170-89-1)

Operation TIGRE Files. Documents include reports resulting from monitoring the activity of suspect aircraft moving through the Western Hemisphere.

Disposition: Destroy 5 years after date of last correspondence related to suspect aircraft.

File No. 790-08 (NL-170-89-1)

Operation COCHINO Files. Documents consist of classified reports concerning sea smuggling of narcotics.

Disposition: Destroy 5 years after date of last correspondence.

File No. 790-09 (NL-170-89-1)

Lookout Notice Worksheet Files. Documents consist of copy number 3 of INS Form G-143 which is used by EPIC as an index check of possible suspects.

Disposition: a. Destroy copy no. 3 used for USMS lookout 3 years after date of report. b. Destroy copy no. 3 used for INS lookout 1 year after date of report.
**File No. 790-10 (N1-170-89-1)**

Photograph Files. Records created or accumulated by the intelligence units of EPIC to document suspect vessels, and interdiction efforts such as methods of concealment, types of vehicles used for smuggling, and so forth.

Disposition: a. Maritime Unit. Destroy 5 years after date of last action on suspect vessel. b. General Unit. Disposition not authorized (schedule to be provided by agency in near future).

NOTE: The Air Unit does not maintain a separate photograph file.

**File No. 790-11 (N1-170-89-1)**

EPIC Publication Files. Printed reports documenting EPIC program goals and efforts. Topics covered include vessel identification and registration; land, sea, and air narcotics smuggling; assessment of various criminal activities; and evaluation of interdiction methods. The reports date back to the early 1980's.

Disposition: PERMANENT. Transfer one copy of each original and revised title to the Records Management Unit of DEA, which will retire the documents to the WNRC. Future titles will be retired to the WNRC when accumulation reaches one cubic foot. Transfer to the National Archives when most recent record is 30 years old.**

** Addition
ENFORCEMENT PROGRAM TRAINING FILES

These files relate to planning, conducting, supervising, and evaluating the DEA drug/narcotic enforcement program training.

File No. 801-01 (NCI-170-77-1)

Training Facility Requirement Files. Documents related to determining requirements for training facility acquisition, activation, retention, use, expansion, consolidation, inactivation, or disposition. Included are studies, justifications, and similar or related documents.

Disposition: Destroy 5 years after approval of training facility requirements.

File No. 801-02 (NCI-170-77-1)

Training Operation Files. Documents related to planning and conducting agent, police, intelligence, chemist, special field exercises, and other actual training operations. Included are exercise plans, observation and inspection reports, scenarios, critiques, map exercises, general training programs, technical training programs, final reports and comments on them, and similar or related documents.

Disposition: Destroy 3 years after discontinuing training exercise or operation, or when plans are superseded or become obsolete.

File No. 801-03 (NCI-170-77-1) NCI-170-77-1

Training *Course* Evaluation Files. *Documents include written critiques, oral discussions, student and supervisory post training feedback evaluations, summary evaluation reports, and related documents.

Disposition: Destroy 5 years after the evaluation.*

File No. 801-04 (NCI-170-77-1)

School Planned Input Files. Documents related to the planning, execution and revision of personnel inputs for school courses.

* Revision
Included are comprehensive statements of the training needs of each activity authorized to send students to DEA schools, schedules of schools and classes to accommodate planned inputs, allocation of school quotas to input activities, coordinating documents, and similar or related documents.

Disposition: Destroy 3 years after receipt of input data.

File No. 801-05 (NCI-170-77-1)

School Reporting Files. Documents reflecting such information as the number of school enrollments, turnbacks, graduates, and failures; and number of personnel enrolled from other Federal agencies. Included are forms, printouts, correspondence, and similar or related documents.

Disposition: Destroy 2 years after date of report.

*File No. 801-06 (NCI-170-77-1)

Firearms Training Files. Documents related to planning, scheduling, administering, and conducting firearms training such as letters of instructions, announcements of scheduled firings, reports of completed firings, instructor observations and critiques, class rosters, resource requirements (ammunition, score cards, etc.), safety measures, and related documents. Included are studies, weapons evaluations, weapon firing samples, impact tests, authorizing directives and similar documents.

Disposition: a. Destroy documents associated with individual firearms firing exercises 3 years after conduct of firing.
b. Destroy studies, weapon evaluations, etc., when no longer needed for reference.*

File No. 801-07 (NCI-170-77-1)

Training Media Files. Documents accumulated by activities engaged in training operations, particularly in the conduct of training. Included are training schedules, programs, lesson plans, and similar or related documents.

Disposition: Destroy 1 year after conducting training operation, except that lesson plans will be destroyed when superseded or obsolete.

* Revision
Instructor Information Files. Documents accumulated to provide a locally available record of qualifications, experience, effectiveness, and comparable information on potential instructors, assigned instructors, and guest speakers. They are used in requesting assignment or employment of instructors, utilizing instructors, and determining their need for additional training. Included are instructor evaluation forms, qualification data, biographical sketches and similar or related documents.

Disposition: Destroy 2 years after transfer or separation of the instructor.

Student Training Evaluation Files. Documents relating to evaluations of students' performance by instructors, self-assessment evaluations by students, committee reviews, summary evaluation reports, recorded observations, and recommendations for corrective action.

Disposition: Destroy 3 years after end of course.

Practical Exercise Training Files. Documents include exercise directive, announcements of practical exercises to be conducted, instructions to students and instructors, staffing assignments, resources and costs required for support of the exercise, critique sheets, final exercise reports, and related information.

Disposition: Destroy 3 years after revision or discontinuance of practical exercise.

Tactical Course Training Files. Documents include course schedule of training activities, course announcements, instructor observations of students, deficiency memoranda, class roster of attendees, course resource requirements, and related information.

Disposition: Destroy 3 years after revision or discontinuance of course.

** File No. 801-08 (NCI-170-77-1) **

** File No. 801-09 **

** File No. 801-10 **

** File No. 801-11 **

** Addition **
File No. 801-12

Reserved.

File No. 801-13

Language Proficiency Files. Documents related to the administration and operation of the DEA Foreign Language Bonus Program (FLBP). Included are results of language proficiency tests, language certifications (DEA Form 496 series), compliance results of the Foreign Language Bonus and Award Committee, and support documentation such as instructions, guidelines, studies, reports, statistics, and coordinating actions related to the program.

Disposition: a. Destroy documents related to individual employee, language proficiency after 3 years. Note: Award documents will be filed in the employee's Official Personnel Folder (OPF). b. Destroy support documentation when no longer needed for references.**

** Addition
ENFORCEMENT INDIVIDUAL TRAINING FILES

These files relate to the attendance and proficiency of individuals participating in various types of the DEA drug/narcotic training.

File No. 810-01 (NC1-170-77-1)

Individual Training Record Files. Documents indicating attendance at various phases of training, evaluation of individual students, mandatory training progress, educational records and activities, test scores on training activities, and similar information concerning the progress and attendance of each individual participating in the DEA drug/narcotic training. Included are cards, card forms, and similar or related documents.

Disposition: Forward evaluation reports with the transfer of the individual. Destroy remaining records 5 years after completing schooling or withdrawal of the student.

File No. 810-02 (NC1-170-77-1)

Proficiency Test Files. Documents reflecting degree of proficiency in enforcement training such as weapons qualification. Included are proficiency tests and similar or related documents.

Disposition: Destroy after appropriate entry has been made on the qualification card or on the individual's training record.
FOREIGN NATIONAL TRAINING FILES

These files relate to the DEA drug/narcotic enforcement training of personnel of friendly foreign nations.

File No. 820-01 (NC1-170-77-1)

Foreign Training Program Files. Documents relating to the development of programs for the training of foreign nationals by DEA. Included are communications on training requirements with the foreign nation concerned, acceptances, cancellations, program guidance, and similar or related documents.

Disposition: Destroy 3 years after terminating the program training requirement.

File No. 820-02 (NC1-170-77-1)

Foreign Training Program Control Files. Documents reflecting the category of training, number of spaces programmed, number and cost of training spaces allocated, and similar data for each country supported.

Disposition: Destroy 2 years after fiscal year in which training was programmed.

File No. 820-03 (NC1-170-77-1)

Training Assistance Files. Documents related to training furnished foreign nations by DEA mobile training teams. Included are requests for training teams, comments of DEA Country Attaches, acceptances, cancellations, foreign training effectiveness reports, and similar or related documents.

Disposition: Destroy 3 years after fiscal year in which training was programmed.

File No. 820-04 (NC1-170-77-1)

Foreign National Personnel Files. Documents related to selecting and processing foreign nationals for training in DEA facilities. Included are biographical data on the student, other foreign student data, copies of academic reports, and similar or related documents.
Disposition: Destroy 5 years after fiscal year in which training was conducted.

File No. 820-05 (NCI-170-77-1)

Foreign Training Reporting Files. Documents reflecting the status and progress of foreign nationals being trained by DEA personnel. Included are training reports and similar or related documents.

Disposition: Destroy 3 years after fiscal year in which training was conducted.
TRAINING AIDS FILES

These files relate to constructing training devices, preparing graphic training aids, the status of training publications, accomplishing training film projects, and controls over the production and issuance of such materials.

File No. 830-01 (NC1-170-77-1)

Training Aids Program Files. Documents relating to the formulation of annual programs for developing, producing, and procuring training aids. Included are graphic aids development programs, lists of film projects recommended for production, lists of approved film projects, and similar or related documents.

Disposition: Destroy 5 years after training program is implemented. *Note: Dispose of audiovisual records in accordance with instruction covering related audiovisual records described under 830-02.*

File No. 830-02 (N1-170-89-1)

Training Aids Files. Training aids developed or produced for local use or distribution. Included are graphic training aids, such as charts, diagrams, maps, and illustrations; locally produced training films; training devices specifications, photographs, transparencies, and other reproductions of the aforementioned material; instructional material such as instructional notes, illustrative problems, practical exercises, and checklists; and related correspondence and comparable material used in presentation of the subject and completion of training by students; and audiovisual records that depict specialized or unique training techniques/methods, and training of foreign law enforcement personnel in overseas areas. *NOTE that these records may be subject to restriction under subsection (b)(7)(E) and (F) of the Freedom of Information Act.*

Disposition: a. Office performing DEA-wide staff responsibility:
(1) Training aid illustrating unique enforcement methods:
*(a) Audiovisual material: PERMANENT. Transfer annually when records are 5 years old. (b) Lesson plans and other textual documentation: PERMANENT. Retire to WNRC when 5 years old. Transfer to the National Archives when 30 years old. (2) Other training aids: Destroy when superseded or obsolete. b. Other offices: Destroy when superseded or obsolete.*

* Revision
File No. 830-03 (NC1-170-77-1)

Training Aid Work Order Files. Documents reflecting requests for construction or manufacture of training aids. Included are work orders, cost estimates and data, sample illustrations, photographs, clippings, correspondence, and similar or related documents.

Disposition: Destroy 1 year after completing or discontinuing related work.
DEA EMPLOYEE TRAINING FILES

These files relate to educating and training DEA personnel in other Federal agency schools, educational institutions and commercial organizations, including on-the-job and off-the-job training, to meet special requirements essential to performing the mission of the activity to which they are assigned.

File No. 860-01 (NC1-170-77-1)

Training and Promotion Agreement Files. Documents related to negotiating master training and promotion agreements with the Office of Personnel Management in professional fields in which there is a current and continuing DEA-wide shortage of available personnel. Included are requests to establish training programs not currently authorized by regulations, agreements, program approvals, and similar or related documents.

Disposition: a. Office responsible for negotiating the agreement: Destroy when agreement is superseded or obsolete. b. Other offices: Destroy 2 years after fiscal year in which training was programmed.

File No. 860-02 (NC1-170-77-1)

School Planning Files. Documents pertaining to planned requirements for training, selection of schools and courses, arrangements for special noncatalog courses, program revisions, and related matters.

Disposition: Destroy 5 years after fiscal year in which training was programmed.

File No. 860-03 (NC1-170-77-1)

School Admission Files. Documents relating to the admission of DEA personnel to schools and courses. Included are requests for admission, statements of acceptance, notifications of acceptance, completion statements, costs, and similar or related documents.

Disposition: Destroy 2 years after completion of schooling, rejection of the individual or withdrawal of the student.
File No. 860-04 (NC1-170-77-1)

Training Reporting Files. Documents reflecting the status of employee training in government and nongovernment facilities. Included are reports and related documents.

Disposition: Destroy 3 years after submitting report.

File No. 860-05 (NC1-170-77-1)

Training Program Files. Documents relating to establishing, managing, and evaluating local training programs for DEA employees. Included are training plans, reviews of training requirements, apprentice training program registration with the Department of Labor, and similar or related documents.

Disposition: *Destroy 15 years after the fiscal year in which the training was programmed.*

File No. 860-06 (NC1-170-77-1)

Contract Training Files. Documents reflecting contract training of DEA employees in nongovernment facilities. Included are requests for approval of the training; justification; obligated service agreements; recommendations for waivers, approvals; and similar or related documents.

Disposition: Destroy 3 years after completion of training or upon expiration of obligated service agreement.

File No. 860-07 (NC1-170-77-1)

Record of Training Files. Documents reflecting information pertinent to individual trainee participation in off-the-job training courses, completed record of training forms, and similar or related documents.

Disposition: Review annually and destroy that portion pertaining to individuals who are no longer employed by DEA.

File No. 860-08 (NC1-170-77-1)

Training Material Files. Documents used in training DEA personnel through short on-site training courses and instructional confer * Revision

* Revision
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ences. Included are minutes and agenda of instructional conferences, course outlines, handouts, instruction sheets, and similar or related documents.

Disposition: Destroy 2 years after superseded or obsolete.

File No. 860-09 (N1-170-89-1)

Physical Fitness Program Files: Documents relating to the establishment, management, and evaluation of the Physical Fitness Program for DEA employees. Included, but not limited to, are issues relating to Program Development, GYM Facilities, Training, Coordinator Training, Personnel Matters, Travel, Budget, Printing, and General Reference Information.

Disposition: (a) Office performing DEA-wide responsibility: (1) Destroy 10 years after fiscal year in which the program was established. (2) Feeder reports and other data: Destroy 5 years after fiscal year in which program was established. (b) Other offices: Destroy 5 years after submission of required reports to principal Headquarters office.

File No. 860-10 (N1-170-89-1)

Course Announcement Files. Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by Government or nongovernment organizations.

Disposition: Destroy when superseded or obsolete.
LABORATORY FILES

These files are accumulated from laboratory analysis and examining drug and nondrug evidence.

File No. 901-01 (NC1-170-77-1)

Laboratory Case Files. Documents related to the analysis of drug and nondrug evidence. Included are evidence accountability and disposition records, chemists worksheets, ballistics reports, and related analytical documents.

Disposition: Transfer case files to Federal records center 2 years after closing investigative case. Destroy 10 years after close of investigative case.

File No. 901-02 (NC1-170-77-1)

Index Book Files. Ledgers maintained to record evidence received in the laboratory.

Disposition: Transfer ledgers to Federal records center 2 years after the last recorded investigative case is closed. Destroy 10 years after the close of the last recorded investigative case.

File No. 901-03 (NC1-170-77-1)

Evidence Accountability Files. This is a temporary file and consists of the original copies of the Evidence Accountability Record, DEA Form 307.

Disposition: Upon final disposal of the evidence, transfer the original copy of the Evidence Accountability Record to the Laboratory Case Files (901-01).

File No. 901-04 (NC1-170-77-1)

Laboratory Reporting Files. Retained copies of recurring reports, and related correspondence, required by the DEA Laboratory Operations Manual.

Disposition: Destroy 3 years after date of report.
HAZARDOUS WASTE DISPOSAL FILES

These files relate to DEA's efforts to protect public health through a program for the clean-up and disposal of hazardous waste produced by illegal drug laboratories.

File No. 920-01

Hazardous Waste Program Files. Documents relating to establishing and administering the hazardous waste disposal program in DEA. Included are coordinating actions, studies, instructions, reports, interpretations, messages and similar related documents. Policies and procedures are documented in the DEA Directive System.

Disposition: Destroy when 10 years old.

*File No. 920-02

Hazardous Waste On-Site Investigation Files. Documents consist of reports of investigations to determine compliance by contractors with applicable regulations regarding the maintenance and control of treatment, storage and disposal facilities. Includes reports of analyses, correspondence, and related documents.

Disposition: Destroy when 5 years old.

* File No. 920-03

Hazardous Waste Task Management Files. Documents relating to plans and decisions by DEA and the contractors concerning the cleanup of hazardous waste sites for which DEA assumes responsibility. Included are correspondence between DEA Headquarters, DEA field offices, and other federal agencies; instructions to the contractors; contractor produced documents such as invoices, manifests, packing lists, and quarterly reports; field office produced documents such as delivery orders, teletypes, required reports, and supporting documentation.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 20 years old. (2) Other material: Destroy when 8 years old. b. Other Headquarters and field offices: Destroy when 5 years old.*

* Revision Withdrawn 4/3/96
**File No. 920-04**

**Hazardous Waste Technical Assistance Files.** Documents consist of correspondence with DEA activities for technical assistance and information regarding the cleanup and disposal of hazardous waste produced by illegal drug laboratories.

**Disposition:** Destroy when 5 years old.

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**File No. 920-05**

**Hazardous Waste Liaison Files.** Documents reflecting coordination and focal point of contact with the Environmental Protection Agency, other federal agencies, state and local environmental or law enforcement agencies, and private industry regarding hazardous waste treatment, clean-up, storage and/or disposal.

**Disposition:** Destroy when 5 years old.

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**File No. 920-06**

**Hazardous Waste Grant Program Files.** Documentation relating to the formulation, award, and changes to grants for hazardous waste studies, demonstrations, and services. Included are evaluations, award notices, task orders, contractor or grantee proposals, and reports.

**Disposition:** Destroy 6 years after completion of project.

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**File No. 920-07**

**Hazardous Waste Reporting Files.** Documents include monthly, quarterly, semiannual and annual reports prepared by the Hazardous Waste Disposal Unit regarding hazardous waste related issues.

**Disposition:** Destroy when 10 years old.**

**Please see attached**

**Addition**
File No. 920-02

Hazardous Waste Reporting Files. Documents include monthly, quarterly, and biennial reports prepared by the Hazardous Waste Disposal Unit regarding hazardous waste related issues.

Disposition: a. Office performing DEA-wide responsibility:
   (1) Biennial reports: Permanent, Transfer to Federal records center when 10 years old. Offer to NARA when 20 years old.
   (2) Monthly and quarterly reports: Destroy when 10 years old.
RESEARCH AND TECHNOLOGY STUDY, PROPOSAL 
AND REQUIREMENTS FILES

These records are accumulated from developing long range guidance for research and technology based on the DEA drug/narcotic requirements.

File No. 930-01 (NCI-170-77-1)

R&D Planning Files. Documents that accumulate from developing long range plans or forecasts in research and technology. They involve the establishment of schedules to achieve the DEA's long range research and technological objectives, the formulation of new concepts and requirements in research and technology for planning purposes, and similar matters. Included are research and technological long range plans or forecasts and documents contributing to the development of the plans or forecasts.

Disposition: Destroy 5 years after fiscal year in which plan was implemented.

File No. 930-02 (NCI-170-77-1)

DEA Scientific Advisory Committee Files. Documents accumulated by the chairman of the DEA Scientific Advisory Committee concerning review and evaluation, appraisal of facilities, and study and recommendations on special problems of research and technology in DEA. Included are documents reflecting actions taken and matters considered by the panel, such as agenda of meetings, minutes of meetings, reports and recommendations distributed to panel members, and similar documents.

Disposition: a. Office of DEA committee chairman or senior DEA representative: (1) Record Copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 10 years old. (2) Other documents (extra copies): Destroy 5 years after meeting of the committee. b. Offices of committee members: Destroy 2 years after meeting of the committee.

File No. 930-03 (NCI-170-77-1)

Scientific Research Schedule Files. Documents relating to cost projections for research projects, including information about
program objectives in terms of projects, tasks, status and time phasing for research, and funds required.

Disposition: Destroy 2 years after completing or cancelling the project.

File No. 930-04 (NCI-170-77-1)

Unfunded Study Files. Documents accumulated in providing information for use in, and in exchange for, copies of studies conducted and funded by civilian concerns as part of their drug/narcotic-oriented research programs. Included are study assistance requests for applications, coordinating actions, policy agreements governing the release of information, copies of studies and evaluations thereto, and related papers.

Disposition: Destroy 5 years after receipt of study.

File No. 930-05 (NCI-170-77-1)

Problem Statement Files. Documents accumulated in providing information on individual research and technological problems and needs to industrial, academic, and nonprofit research concerns. The information enables the concerns to determine how they can most effectively seek participation in DEA Narcotic Research Program, to prepare and submit unsolicited proposals directed toward solving the stated needs, and to orient their research and technological programs toward maintaining the capability for response to definite requirements for research or hardware technology. Included are problem statements, coordinating actions, communications from qualified concerns indicating whether or not they can assist in fulfilling the stated needs, and related papers, but not unsolicited proposals, or reports equivalent thereto resulting from the problem statement.

Disposition: Destroy 2 years after revision, cancellation, or expiration of the problem statement.

File No. 930-06 (NCI-170-77-1)

Information-to-Industry Briefing Files. Documents created in briefing representatives of industrial, academic, and non-profit research concerns, on current drug/narcotic research problems and anticipated requirements. Included are briefing invitations and
announcements, registration documents, listings of attendees, agendas, minutes of briefings or copies of presentations given, and related papers.

Disposition: Destroy 5 years after the briefing.

File No. 930-07 (NCI-170-77-1)

Unsolicited Proposal Files. Documents relating to receiving and administering the evaluation of unsolicited disclosures, data, suggestions, ideas, plans, sketches, drawings, information, discoveries, models, samples, or comparable inventive proposals. Not included are proposals responding to requests for quotation or request for bids for basic research or submitted by scientific personnel in line of duty or under the incentive awards program. Included are proposals from private individuals, memoranda of understanding, communications with submitters, evaluations, and related papers.

Disposition: Destroy 5 years after receipt of proposal.

File No. 930-08 (NI-170-89-1)

Science and Engineering Program Management Files. Documents related to administering the programs in this functional area. Included are coordinating actions, instructions, correspondence, interpretations, reports and similar or related documents.

Disposition: a. *Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.*

* Revision
RESEARCH AND DEVELOPMENT CONTROL FILES

These records relate to administering and controlling drug/narcotic research projects, and collecting, disseminating, and exchanging scientific information.

File No. 940-01 (NC1-170-77-1)

Foreign Scientific Information Files. Documents relating to relationships with foreign nations requesting the exchange and collection of scientific information. Included are papers relating to plans for cooperation, discussions, visits with foreign government officials, and comparable relationships.

Disposition: Destroy 5 years after approval of exchange of information.

File No. 940-02 (NC1-170-77-1)

Project Control Files. Documents accumulating from supervising, managing, and administering drug/narcotic research, development, test, and evaluation of projects. Included are documents relating to project appraisals; recommendations for project initiation, termination, or cancellation; review and analysis of specific research projects; and other papers relating to the projects. Arrange files by project serial number and nomenclature, or title.

Disposition: Destroy 5 years after completion, termination, or cancellation of the project.

File No. 940-03 (NC1-170-77-1)

Project Register Files. Registers, listings, index cards, and related documents used to record information on projects and tasks, such as project or task number and title, project or task office, and contract number.

Disposition: Destroy 5 years after projects listed in register are completed.
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File No. 940-04 (NC1-170-77-1)

Project Reporting Files. Reports prepared by DEA containing information about individual research, development, test, and evaluation projects and project tasks, including the identification, time phasing, requirements and objectives, and other information about the project or task. Included are research and technology resumes, development plans, or similar reports.

Disposition: Destroy when the project is completed or cancelled, or when no longer needed for reference.

File No. 940-05 (NI-170-89-1)

Project Case Files. These consist of one copy of each preliminary, progress, or final technical report or publication; contract or grant agreement, with changes, modifications, or addendums thereto; test reports and comparable test data; feasibility, cost effectiveness, and state-of-the-art study reports from scientific journals which pertain to research projects supported by DEA.

Disposition: a. Final project or phase report, or analogous documentation such as final test data or evaluation reports: PERMANENT. Retire to the WNRC when 20 years old. Transfer to the National Archives when 30 years old. b. Other documentation: Destroy 15 years after completion, termination, or cancellation of the project.

File No. 940-06 (NC1-170-77-1)

Technical Report Reference Files. Documents maintained in organized library-type collections to provide reference for DEA in-house research activity. They include one copy of each technical report or publication issued by the organization or received from its contractors and one copy of those reports of interest which are received from other sources.

Disposition: Destroy when superseded or obsolete.

File No. 940-07 (NC1-170-77-1)

Scientific and Raw Data Files. Documents maintained and used by scientific personnel for research, development, and test of an item, a group of items, or within a field of scientific inquiry. Included are scientific notes; drafts of technical reports and articles; telemetering, oscilloscopes, and time and motion films and recordings; tapes; sound recordings; and similar rough or raw data which is not made a part of the official project case file.

Disposition: Destroy when the data is incorporated or summarized in a technical report or paper; on completion of the project, or when no longer needed for research within the field of inquiry.
COMMUNICATIONS REQUIREMENTS FILES

These files accumulate from developing and reporting requirements for communications-electronic facilities and equipment, including COMSEC equipment.

File No. 970-01 (NC1-170-77-1)

Communication Representation Files. Documents relating to representation on and recommendations to other Federal agencies, including implementing decisions on communications, electronic policies, radio frequency allocation, call signs, radio interference, and radio propagation matters.

Disposition: Destroy 5 years after approval action on communication requirement.

File No. 970-02 (NC1-170-77-1)

Telecommunication Facility Project Files. Documents relating to preparing, validating, and developing projects to design, construct, and install telecommunications services, equipment, facilities, networks, and systems. Included are project letters, bills of material, maps, drawings, specifications, installation data, completion reports, installed communication equipment property cards, and related papers.

Disposition: a. Office performing DEA-wide responsibility: Destroy 2 years after disapproval of the requirement or termination of the project. b. Other offices: Destroy 1 year after disapproval of the requirement or 1 year after discontinuation of the installation or facility.

File No. 970-03 (NC1-170-77-1)

Communication Facility Lease Request Files. Documents relating to requests for providing, rearranging, and removing communication circuits, equipment, and services leased from commercial companies to meet DEA communications requirements. Included are requests for leased facility forms, justification data, and related papers.

Disposition: a. Office responsible for final approval: Destroy 10 years after termination of the lease. b. Other offices: Destroy 2 years after termination of the lease.
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File No. 970-04 (NCI 170-77-1)

Radio Frequency Files. Documents relating to authorizing, allocating, assigning, correlating, and using radio frequencies and call signs.

Disposition:  a. Correspondence relating to concurrence of the Federal Communications Commission: Destroy after 1 year. b. Other documents: Destroy on supersession, cancellation or discontinuance of the assignment of use.

File No. 970-05 (NCI-170-77-1)

Communication Operation Instruction Files. Documents containing information and data on codes, radio frequency assignments, call signs, and lists of holders of code systems.

Disposition: Destroy when superseded or obsolete.
COMMUNICATIONS SERVICES FILES

These files accumulate from administering, using, and maintaining communications facilities and equipment.

File No. 980-01 (NC1-170-77-1)

Telephone Service Work Order Files. Documents used to request and authorize telephone service on Government-owned systems. Included are requests for telephone service, work orders, and related papers.

Disposition: Destroy 1 year after completion of work.

File No. 980-02 (NC1-170-77-1)

Telephone Toll Call Reporting Files. Reports of all authorized official prepaid outgoing, incoming collect, and toll credit card calls.

Disposition: Destroy after 3 months, except when discrepancies between these records and toll tickets are found, in which case the files will be held until corrective action has been completed.

File No. 980-03 (NC1-170-77-1)

Communications Equipment Record Files. Documents relating to modifying, testing, and comparable action pertaining to individual items of equipment used in communications systems.

Disposition: Destroy on disposal of the related equipment.

File No. 980-04 (GRS No. 6-8)

Telephone Toll Ticket Files. Originals and copies of toll tickets filed in support of telephone toll call payments.

Disposition: Destroy after GAO audit or when 3 years old, which ever is sooner.
COMMUNICATIONS CENTER OPERATIONS FILES

These files accumulate in the communications center from operating teletypewriter, facsimile, data transmission services, and similar communications services.

File No. 990-01 (NC1-170-77-1)

Communications Center Operation Files. Documents relating to operating communications centers and concerning the transmission and receipt of electrically transmitted messages. Included are message registers, supervisory logs, performance reports, interference reports, maintenance work orders, frequency logs, and similar documents, but exclusive of other files described in this schedule.

Disposition: Destroy 1 year after transmission or receipt of message.

File No. 990-02 (NC1-170-77-1)

Communications Center Message Files. Copies of incoming and original authenticated copies of outgoing messages maintained in communications centers.

Disposition: Destroy 1 year after transmission or receipt of message. Earlier disposal is authorized.

File No. 990-03 (NC1-170-77-1)

Monitor Reel Tape Files. Tapes providing a temporary record of transmissions for the purpose of accomplishing tracer actions and making retransmissions.

Disposition: Withdraw and destroy 30 days after transmission of message.

File No. 990-04 (NC1-170-77-1)

Service Message Files. Copies of incoming and outgoing service messages relating to traffic handling or operational irregularities. Service messages correcting transmissions are filed with the related message (File no. 990-02).
Disposition: Withdraw and destroy 30 days after receipt of service message.

File No. 990-05 (NC1-170-77-1)

Operator's Number Sheet Files. Documents indicating the numbers of messages handled on a circuit/channel or piece of communications equipment.

Disposition: Withdraw and destroy 30 days after assignment of number.

File No. 990-06 (NC1-170-77-1)

Multiple Address and Book Message Processing Files. Documents relating to processing multiple and book messages.

Disposition: Withdraw and destroy 30 days after message is processed.
MEDICAL PROGRAM FILES

These files relate to physical profiling for DEA personnel and the administration of the DEA Medical Program.

File No. 1001-01 (NC1-170-77-1)

Medical Review Files. Documents relating to medical fitness for appointment, retention in service, promotion, special assignment, and separation. Included are extracts of medical examinations and similar or related documents.

Disposition: Destroy 3 years after review.

File No. 1001-02 (CRS 1-21)

*Employee Medical Folder (EMF) Files. Long-term medical records as defined in the Federal Personnel Manual (FPM) Chapter 293.

Disposition: a. Transferred employee. See FPM for instructions. b. Separated employees: Transfer to National Personnel Records (NPRC), St. Louis, MO., 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder. If the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later. c. Temporary or short-term records as defined in the FPM: Destroy 1 year after separation or transfer of employee.*

File No. 1001-03 (CRS 1-20a)

Health Unit Control Files. Logs or registers reflecting daily number of visits to health unit.

Disposition: a. Destroy 3 months after last entry, if information is summarized on a statistical report. b. Destroy 2 years after last entry if the information is not summarized.

File No. 1001-04 (NC1-170-77-1)

Health Services Program Management Files. Documents related to administering the programs in this functional area.

* Revision
Included are coordinating actions, studies, instructions, interpretations, messages, and similar or related documents.

Disposition:  a. Office of Record: Destroy after 5 years.  b. Other offices: Destroy after 3 years.

File No. 1001-05 (N1-170-89-1)

Employee Assistance Program Files. Documents related to administering this program. Included are coordinating actions, instructions, authorizing directives, interpretations, messages, and similar or related documents.

Disposition:  a. Office of Record: Destroy after 5 years.  b. Other offices: Destroy after 3 years.
SAFETY PROGRAM FILES

These files result from a program to prevent or reduce personal injury, occupational diseases, and property damage from accidental causes.

File No. 1030-01 (NCI-170-77-1)

Safety Program Files. Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures: survey reports, safety inspection reports, minutes of safety meetings, and notification of safe and unsafe practices. Included are changes made as a result of the findings of the surveys or inspections, and similar or related documents.

Disposition: Destroy 5 years after survey.

File No. 1030-02 (NCI-170-77-1)

Safety Hazard Files. Documents relating to technical review, advice, and guidance for identifying and eliminating or controlling safety hazards. Included are hazard reports and similar or related documents.

Disposition: Destroy 2 years after eliminating safety hazards or completing measures to control them.

File No. 1030-03 (NI-170-89-1)

Safety Program Reporting Files. Documents that provide data concerning various aspects of DEA safety management activities. Included are statistical and narrative reports; consolidations, summaries, extracts of reports; and similar or related documents.

Disposition: Destroy 3 years after submission of program data.

**File No. 1030-04

Safety Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the safety program.

** Addition
Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition
ACCIDENT FILES

These files relate to aircraft accidents and incidents, motor vehicle accidents, and marine accidents; fire and explosions; harmful chemical exposures; and other accidents arising from equipment and personnel failures.

File No. 1040-01 (NI-170-89-1)

Accident Case Files. Documents relating to individual accidents. Included are reports of accidents, and investigations thereof, involving aircraft, motor vehicles, fires, damage to DEA property, injury to or death of personnel, and similar or related documents.

Disposition: Destroy 6 years after close of accident case.

File No. 1040-02 (NCI-170-77-1)

Accident Experience Files. Documents related to the statistical reporting of accidents and summarizing and analyzing accident experience and trends involving aircraft, motor vehicles, fires, personal injury, damage to property and other accidents.

Disposition: Destroy 5 years after completion of data.

**File No. 1040-03**

Accident Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the accident program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**
PROPERTY MANAGEMENT FILES

These files accumulate as a result of controlling and accounting for supplies and equipment by property officers and other responsible individuals.

File No. 1101-01 (NC1-170-77-1)

Property Receipt Files. Cards, lists, hand receipts (DEA Form 16), or comparable documents showing accountable property charged to a DEA activity.

Disposition: Destroy or turn in on complete accounting for property, or when superseded by a new receipt or listing.

File No. 1101-02 (NC1-170-77-1)

Equipment Record Files. Documents used, when required to record individual and cumulative repairs (DEA Form 16B), adjustments, and use of equipment items.

Disposition: Destroy 2 years after equipment leaves custody of DEA.

File No. 1101-03 (NC1-170-77-1)

Property Accountability Transfer Files. Documents attesting the transfer of property accountability from one accountable officer to another. Included are certificates of transfer, inventory lists, and related documents.

Disposition: Destroy 2 years after satisfactory transfer of property.

File No. 1101-04 (NC1-170-77-1)

Equipment Loan Files. Documents reflecting loan of equipment to or from other Government agencies.

Disposition: Destroy 2 years after turn-in, or other satisfactory accounting for items involved.
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File No. 1101-05 (NCI-170-77-1)

Report of Survey Files. Reports that describe the circumstances, and recommended action, concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.

Disposition: a. Office performing final review authority: (1) Reports involving pecuniary liability: Destroy 10 years after completing final action. (2) Other reports: Destroy 3 years after completing final action. b. Other offices: Destroy 3 years after completing final action.

File No. 1101-06 (NCI-170-77-1)

Reports of Survey Register Files. Registers and related documents maintained to control reports of survey.

Disposition: Destroy 10 years after last recorded survey.

File No. 1101-07 (NCI-170-77-1)

Property Officer Designation Files. Documents reflecting the designation of property officers. Included are letters of appointment and revocation.

Disposition: Destroy 2 years after terminating appointment.

File No. 1101-08 (NCI-170-77-1)

Packaging and Handling Deficiency Reporting Files. Reports submitted by receiving activities concerning deficiencies in preserving, packing, marking, or handling of supplies, equipment, or materials. Included are reports of packing and handling deficiencies, reports of corrective action, and related papers.

Disposition: Destroy 1 year after submitting report.

File No. 1101-09 (NCI-170-77-1)

Excess Property Reporting Files. Reports used to disseminate information concerning availability of excess property. Included are reports of excess personal property, listings, cards forms, and similar documents.

Disposition: Destroy 1 year after date of report.
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File No. 1101-10 (NC1-170-77-1)

Equipment and Supply Requisition Files. Documents relating to requests for supplies and equipment (expendable and nonexpendable), rentals of equipment with supporting correspondence, and copies of requisitions.

Disposition:  a. Requests for expendable items: Destroy 1 year after completion of action. Earlier disposal is authorized.
b. Requests for nonexpendable items: Destroy 2 years after completion of action.

File No. 1101-11 (N1-170-89-1)

Property Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the property management program.

Disposition: Destroy when 6 years old. *Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for reference.*

**File No. 1101-12

Forfeited Property Placed into Official Use Files. Documents attesting to the seizure, forfeiture and required justifications, concurrences and related documents for property subsequently placed into official use by DEA.

Disposition: Destroy 2 years after the date of excess report.

File No. 1101-13

Receipt for Property Purchased During Proprietary Investigations Files. Receipts, DEA Form 16s or comparable documents, identifying accountable property under DEA control.

Disposition: Destroy 2 years after date of sale documentation.

* Revision
** Addition
File No. 1101-14

Receipt for Property Purchased with Trafficker Furnished Funds Files. Receipts, DEA Form 16s, or comparable documents identifying accountable property under control of DEA while undergoing forfeiture proceedings pending conclusion of the investigation.

Disposition: Destroy 2 years after the date of excess documentation.

File No. 1101-15

Property Inventory Files. Documents related to inventories (annual, change of property officers, cyclic) of equipment and supplies. Included are letters of instructions, reports, replies, and related information.

Disposition: Destroy after 3 years.**

** Addition
FACILITIES MANAGEMENT FILES

These files result from control, occupation, and use of facilities by DEA activities.

File No. 1110-01 (GRS 11-2a)

Facilities Utilization Files. Documents relating to the control and allocation of office space. Included are space allocations, space reports, requests for additional space or changes in space locations, space release, surveys of space requirements, office layouts, and similar documents.

Disposition: Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.

File No. 1110-02 (GRS 11-2a)

Floor Plan Files. Reference copies of floor plans for DEA activities.

Disposition: Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.

File No. 1110-03 (NCI-170-77-1)

Facilities Services Files. Documents related to custodial services required by an activity; installation of telephones; changes to telephone directories; issuance of keys and locks; modification, repair, or change of heating, lighting, ventilation, cooling, electrical, and plumbing systems; painting, partitioning, repairing, or other aspects of office landscaping; and similar documents.

Disposition: Destroy 2 years after completion of work or cancellation of request.

File No. 1110-04 (NI-170-89-1)

*Delegated* Building Lease Management Files. Documents include copies of building lease, Contracting Officer Representative (COR) and Assistant Contracting Officer Representative (ACOR)
delegations, leased building inspector worksheets, contract cleaning inspection reports, complaint registers, written notifications to lessor concerning complaints and resolutions of complaints.

Disposition. Destroy 2 years after termination of lease.

**File No. 1110-05**

Facilities Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the facilities management program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.

File No. 1110-06

Buildings Management Program Files. Contract cleaning and inspection reports, operating plans correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the operation and management of DEA-owned buildings and facilities.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition
*CONVEYANCE* MANAGEMENT FILES

These files relate to controlling and managing DEA conveyances (motorized vehicles).

File No. 1120-01 (NC1-170-77-1)

*Conveyance* Authorization Files. Requests for procurement or distribution of conveyances indicating requirements, justifications, and approvals or disapprovals thereof.

Disposition: Destroy 2 years after procuring or distributing conveyances.

File No. 1120-02 (NC1-170-77-1) - GRS 10-6

*Conveyance* Control Files. Documents used to control the location, custody, assignment, seizure status and other data relative to conveyances.

Disposition: Destroy 4 years after the conveyance leaves DEA custody.

File No. 1120-03 (NC1-170-77-1)

*Conveyance* Identification Plate Files. Documents connected with requesting, transferring, issuing, and disposing of United States or local identification plates or license plates.

Disposition: Destroy 5 years after disposal of conveyance plates.

File No. 1120-04 (N1-170-89-1)

*Conveyance* Operating Cost and Performance Reporting Files. Feeder and summary reports prepared therefrom reflecting cost and performance data relative to conveyance, conveyance deficiency reports, requests for mileage expense and conveyance status, etc.

* Revision
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Disposition: a. Summary reports: Destroy 5 years after compiling data. b. Other reports: Destroy 3 years after compiling data.

File No. 1120-05 (GRS 10-6)

*Conveyance* Disposition Files. Requests submitted to Department of Justice or General Services Administration for transfer of excess conveyances or disposal of conveyances that meet or exceed the conveyance replacement standards.

Disposition: Destroy 4 years after the conveyance leaves custody of DEA.

**File No. 1120-06

DEA/FBI Conveyance Maintenance Program Files. Documents relating to the management, administration, and coordination of actions involving the joint DEA/FBI Maintenance Program.

Disposition: Destroy when agreement is cancelled, or when no longer needed for reference.

Files No. 1120-07

Conveyance Special Use/Purpose Files. Documentation and concurrences relative to the designation and conversion of conveyances for special uses/purposes.

Disposition: Destroy 4 years after conveyance leaves custody of DEA.

File No. 1120-08

Conveyance Auctioneering Files. Documents relating to auctioneering services and related studies.

Disposition: Destroy when no longer needed for reference.

* Revision
** Addition
File No. 1120-09

Conveyance Home-to-Work Policy Files. Documents, authorizations, studies, related papers, DEA Form 349b and DEA Form 349c concerning home-to-work utilization of official government conveyances.

Disposition: a. Destroy documents, studies and related papers when no longer needed for reference. b. Destroy DEA Form 349b annually upon resubmission. c. Destroy DEA Form 349c 2 years after initiation.

File No. 1120-10

Conveyance Armoring Files. Requests, concurrences and all related documents supporting the armoring of conveyances for safety reasons.

Disposition: Destroy 4 years after the conveyance leaves custody of DEA.

File No. 1120-11

Forfeited Conveyances Not Placed into Official Use Files. Documents, receipts and related forms concerning the disposition of forfeited conveyances not placed into official use.

Disposition: Destroy 2 years after the conveyance leaves custody of DEA.

File No. 1120-12

Conveyance Retrofitting Files. Requests, concurrences, receipts and other related documents concerning the retrofitting of DEA conveyances.

Disposition: Destroy 4 years after the conveyance leaves custody of DEA.

File No. 1120-13

Conveyance Rental/Lease Files. Requests, concurrences, documents, studies and related receipts concerning the rental/lease of conveyances.
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Disposition: Destroy 2 years after the conveyance leaves custody of DEA or when documents are no longer needed for reference, whichever is later.

File No. 1120-14
Receipts for Conveyances Purchased During Proprietary Investigations Files. Receipts, DEA Form 87's or comparable documents, identifying accountable conveyances under DEA control.

Disposition: Destroy 4 years after the date of sale documentation.

File No. 1120-15
Receipts for Conveyances Purchased with Trafficker Furnished Funds Files. Receipts, DEA Form-87s, or comparable documents, identifying accountable conveyances under DEA control while undergoing forfeiture proceedings pending conclusion of the investigation.

Disposition: Destroy 4 years after the date of excess documentation.

File No. 1120-16
Conveyance Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the conveyance management program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.

File No. 1120-17
Conveyance Management Files. Documents include copies of the Motor Vehicle Assignment Record (DEA Form 87) and all supporting papers, papers related to the vehicle's registration/licensing/inspection, copies of the Vehicle Repair Request/Authorization (DEA Form 349a), copies of all
repair/maintenance invoices, copies of all Monthly Motor Vehicle reports/investigations (or a document cross referencing to a separate file).

Disposition: Destroy 4 years after the vehicle leaves custody of DEA.**

** Addition
LIBRARY FILES

These files relate to the operation of the DEA Library *and Information Center*

**File No. 1130-01**
Reserved.

**File No. 1130-02 (NCI-170-77-1)**

Shelf List Card Files. Cards indicating all books in the library arranged in the order in which the books stand on the shelves, and reflecting item identification by classification, title, author, voucher number (additions or reductions), and other information necessary to facilitate the accountability process.

Disposition: Destroy after all items indicated therein have been dropped from accountability records.

**File No. 1130-03 (NCI-170-77-1)**

Library Catalog Files. Cards enumerating authors, titles, cross references, and subjects arranged in alphabetical order and indicating descriptive details including location of books on the shelves. Upon transfer of the books to another library, the current library card catalog files will be included in the transfer, if possible.

Disposition: Destroy when related books have been permanently removed from the library collection.

**File No. 1130-04**

Library Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the library program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

* Revision
** Addition
PERSONNEL MOVEMENT AND TRAVEL FILES

These files relate to the control, administration, and operations involved in moving DEA employees and their dependents.

File No. 1140-01 (GRS 9-1\(b\))

Travel Request Files. Documents pertaining to requests for orders placing DEA employees on temporary duty, notices of arrival and departure, approval of issuance of temporary duty orders, placement of personnel on temporary duty, and similar matters.

Disposition: Destroy 3 years after fiscal year in which travel was performed.

File No. 1140-02 (GRS 9-1\(b\))

Conference Travel Files. Documents maintained for the purpose of planning, reviewing, and furnishing information in connection with travel of authorized personnel to attend meetings of technical, scientific, professional, and similar organizations.

Disposition: Destroy 3 years after fiscal year in which travel was performed.

File No. 1140-03 (NSI 170-77-1) GRS 9-5a

Passport Files. Documents relating to passports and visas for DEA employees including their dependents. Included are requests for passports, transmittal letters, receipts for passports, control cards, and related documents.

Disposition: Destroy 3 years after issuance of passport or visa.

File No. 1140-04 (GRS 9-1a(3)) GRS 9-1a

International Shipment Files. Documents concerning international shipments of household goods.

Disposition: Destroy 6 years after the period of the account.
File No. 1140-05 (GRS 9-1Y)

Tour Renewal, and Rest and Recuperation Travel Files. Documents consist of copies of tour renewal agreements, transportation agreements, and requests for travel, with coordinations and approvals at appropriate levels. Documents include approved travel orders, vouchers, itineraries, and similar or related documents.

Disposition: Destroy after 2 years after period of account.

**File No. 1140-06

Personnel Movement and Travel Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the personnel movement and travel program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition
REPRODUCTION SERVICES FILES

These files relate to printing, reproduction, binding operations, and equipment; to contract printing; and similar matters.

File No. 1150-01 (NCI-170-77-1)

Printing Equipment Control Files. Documents related to granting authority to issue, purchase, rent, exchange, transfer, or dispose of printing, binding, and related auxiliary equipment. Included are requests for approval of and justification for printing and reproduction equipment; Department of Justice and Government Printing Office approval; authorizations for excess equipment to be turned into supply channels for disposal; and related papers.

Disposition: Destroy 3 years after disposal of equipment or disapproval of acquisition request.

File No. 1150-02 (GRS 13-5a)

Printing Report Files. Documents reflecting information on printing operations and equipment, such as individual and cumulative printing jobs, inventory of printing equipment, contract printing costs, and similar data required by the Joint Congressional Committee on Printing. Included are inventory reports of printing and stored equipment, contract printing reports and expenditure statements, comparable reports, and related papers.

Disposition: Destroy when 3 years old.

File No. 1150-03

Reserved.

File No. 1150-04 (NCI-170-77-1)

Printing Job Jacket Files. Work orders, production and cost records, related processing data and samples of each printing job produced.

Disposition: Destroy 3 years after fiscal year in which printing work was completed.
File No. 1150-05 (GRS 21-6)

Illustration and Drawing Files. Blueprints, drawings, specifications, and artwork used in preparing illustrations for publications.

Disposition: Destroy 1 year after final publication or when no longer needed.

File No. 1150-06 (GRS 21-7)

Photographic Negative Files. Original basic photographic negatives of material used in preparing illustrations of publications and duplicates of photographic negatives of artwork used for illustrating publications.

Disposition: Maintain and dispose of audiovisual records in accordance with the standards of General Records Schedule 21.

**File No. 1150-07

Non-Mission Still Photography Files. Photographs of activities not related to the mission of DEA, for example crash site photographs of DEA aircraft which are prepared at the request of the Federal Aviation Administration.

Disposition: Destroy when 1 year old or when no longer needed for reference whichever is sooner.

File No. 1150-08

Reproduction Services Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the reproduction services program.

Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition
PUBLICATIONS SUPPLY FILES

These files are maintained at activities engaged in receiving, storing, and issuing publications or blank forms.

File No. 1160-01 (NCI-170-77-1)

Publication Requisition Files. Documents used in requisitioning nonreimbursable publications, and accountable and nonaccountable blank forms. Included are requisitions, shipping orders, transfer requests, and similar papers.

Disposition: Destroy 3 months after completion of action; earlier disposal is authorized.

File No. 1160-02 (NCI-170-77-1)

Status of Publication Files. Forms reflecting the status of publications and blank forms that provide information which is used to determine required supply action.

Disposition: Destroy 1 year after last entry on form status.

File No. 1160-03 (NCI-170-77-1)

Initial Distribution Files. Distribution sheets, delivery instructions, correspondence, and related papers pertaining to the distribution of DEA publications. Included are forms reflecting the quantity and type of publications and blank forms required for automatic distribution.

Disposition: Documents pertaining to classified publications:
   a. Destroy 2 years after distribution of publication.
   b. Destroy superseded forms when replaced by current forms.
   c. Other documents: Destroy 3 months after distribution of publication. Earlier disposal is authorized.

File No. 1160-04 (NCI-170-77-1)

Accountable Form Receipt and Issue Files. Documents reflecting the receipt or issue of accountable blank forms. Included are receipt forms, listings, and registers.

Disposition: Destroy 2 years after receipt or issuance of form.
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File No. 1160-05 (NCI-170-77-1)
Accountable Form Authorization Files. Signature cards identifying individuals authorized to receive accountable forms.
Disposition: Destroy upon withdrawal of the authorization.

File No. 1160-06 (NCI-170-77-1)
Publication Stock Record Card Files. Cards reflecting the supply status of publications and blank forms, including data as to stock levels, quantities on hand, and quantities received or issued.
Disposition: Destroy when card is filled or on supersession, rescission, or obsolescence of form or publication.

File No. 1160-07 (NCI-170-77-1)
Publication History and Stock Usage Files. Forms reflecting the history and usage for each item of stock.
Disposition: Destroy when form or publication is superseded or obsolete.

**File No. 1160-08
Publications Supply Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the publication supply program.
Disposition: Destroy after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition
MAIL SERVICES FILES

These files relate to the mail functions performed by DEA activities.

**File No. 1170-01 (GRS No. 12-8)**

Mail Loss and Shortages Files. Documents relating to recording, reporting, and investigating losses or destruction of mail including delay, accident, occurrence, or depreciation (theft or rifling) involving mail. Included are reports containing facts surrounding the loss or shortage, investigation progress reports, final investigation reports, records or postal claims, records of lost or rifled mail, and related papers.

Disposition: Destroy 3 years after completion of the investigation.

**File No. 1170-02 (NCI-170-77-1)**

Mail Routing Guide Files. Documents prepared to facilitate mail delivery, reduce routine errors, and to aid in training new routing clerks. Included are cards, manuals, indexes, and similar papers used as mail routing guides.

Disposition: Destroy when superseded or obsolete, except that background papers relating to the guide will be destroyed 2 years after publication of guide.

**File No. 1170-03 (GRS 12-5a)**

Accountable Mail Receipt Files. Documents reflecting the receipt and dispatch of registered, certified, and numbered insured mail.

Disposition: Destroy when 1 year old.

**File No. 1170-04 (GRS 12-6a)**

Mail Control Files. Documents relating to the control of incoming and outgoing mail. Included are routing and suspense slips, delivery receipts, logs of incoming and outgoing mail, records of messenger trips, and similar papers. The records of delivery of accountable mail, when filed with mail control files, will be disposed of as accountable mail receipt files. Receipts for classified documents, when filed with mail control files, will be disposed of as classified document receipt files.
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Return receipt requested postal forms accumulated by DEA purchasing activities as the result of the transmittal of either contractual documents or correspondence directing specific procurement actions by registered mail, will be considered as record segments of the contract to which they relate. Such receipt forms will be filed with related contracts and retained in accordance with disposition instructions for contract files.

Disposition: Destroy 1 year after receipt or dispatch of mail.

File No. 1170-05 (NCI-170-77-1)

Mail Hours of Collecting Files. Documents indicating pick-up and delivery of mail to offices.

Disposition: Destroy when superseded or obsolete.

File No. 1170-06 (GRS 12-6d)

Mail Production Files. Production reports of mail handled and work performed.

Disposition: Destroy when 1 year old.

File No. 1170-07 (NI-170-86-1)

Mail Survey Files. Reports containing semi-annual mail survey data and other special mail counts and survey information.

Disposition: Destroy when 6 years old.

File No. 1170-08 (NI-170-89-1)

Mail Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the mail management program.

Disposition: Destroy *after 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for references.*

* Revision
**AIRCRAFT MAINTENANCE FILES**

These files relate to controlling and maintaining DEA aircraft.

**File No. 1180-01**

DEA Aircraft Mission Report Files. Documents, including but not limited to DEA Form 379 (Aircraft Mission Report), providing records of passengers carried onboard DEA aircraft, including request, justification and purpose of the flight.

Disposition: Destroy when 3 years old.

**File No. 1180-02**

Aircraft Maintenance Instruction Files. Manuals, circulars, memoranda, change orders, aircraft electronic equipment modifications, field maintenance bulletins, safety circulars, avionic test equipment modifications, and related aircraft and avionics maintenance directives.

Disposition: Destroy when superseded or canceled.

**File No. 1180-03**

Aircraft Historical Files. Documents maintained for the purpose of reflecting a complete record of the condition and serviceability of DEA aircraft, including aircraft log books, inspection and maintenance records, malfunction and defect reports, airworthiness applications, and supporting papers, and related aircraft card records.

Disposition: a. When aircraft is transferred or sold as surplus: Transfer related file with aircraft. b. When aircraft is scrapped: Destroy related file when 1 year old. c. When aircraft is destroyed in an accident: Destroy related file when 2 years old.

**File No. 1180-04**

Aircraft Log Book Files. Home-base copies of aircraft log books which remain in the original binder after the permanent and aircraft service base copies have been withdrawn. Maintained chronologically by the last date of entry.

** Addition
Disposition: Destroy 6 months after date of last recorded entry.

**File No. 1180-05**

*Engine and Propeller Historical Files.* Documents maintained to provide a complete record of the condition and serviceability of DEA aircraft engines and propellers, including log books, repair and maintenance records, and related items.

Disposition: a. When engine or propeller is transferred or sold as surplus: Transfer related file with engine or propeller.  
b. When engine or propeller is scrapped or otherwise destroyed: Destroy related file when 1 year old.

**File No. 1180-06**

*Aircraft Services Files.* Forms, bulletins, card records, and other documents (maintained by aircraft tail number), which are used in the DEA Airwing maintenance facility. These documents makeup one complete file for each aircraft.

Disposition: a. Aircraft cost record indicating parts used in aircraft maintenance: Destroy when 1 year old. b. Aircraft, man-hour costs record indicating number of man-hours utilized to repair aircraft: Destroy when 1 year old. c. Aircraft gas and oil cost record: Destroy when 1 year old. d. Aircraft service bulletin: Destroy when no longer needed for current operations. e. Manufacturer's aircraft and components blueprints: Destroy when no longer needed for current operations. f. Aircraft stock control and locator cards: Destroy when part to which card applies is discontinued as a stock item. g. Log book of incoming invoices: Destroy 10 years after log is closed.  
h. Aircraft maintenance and modification work projects, consisting of authorizations, status reports, estimated, schedule, changes, man-hours expended and related correspondence: Destroy 2 years after project is completed.

**File No. 1180-07**

*Aircraft Status Files.* Documents indicating the authorized allowances and operating conditions (availability) of aircraft for mission assignments.

File No. 1180-08

Regional Aircraft Management Files. Correspondence, reports and other documents maintained by the DEA office responsible for managing regional aircraft programs.

Disposition:  a. Assignments and issues of DEA aircraft: Destroy 2 years after being superseded or after conclusion of assignments, whichever is earlier.  b. Work orders, work load reports, and other data which reflect work hours and utilization and maintain costs: Destroy when 2 years old.  c. Correspondence and reports pertaining to the use of DEA owned and rental aircraft: Destroy when 2 years old.

File No. 1180-09

Aircraft Program Management Files. Correspondence, instructions, studies, interpretations, and coordinating actions related to the administration and management of the aircraft program.

Disposition: Destroy 6 years. Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer for references.

File No. 1180-10

Aircraft Maintenance Management Contractor Files. Work orders, work load reports, and other data which reflect work assignments (tasks to be performed) and other data related to the work hours and utilization and maintenance costs.

Disposition:  a. Assignments and issues of DEA aircraft: Destroy 2 years after being superseded or after conclusion of assignment, whichever is earlier.  b. Work orders, work load reports, and other data which reflect work hours and utilization and maintenance costs: Destroy when 2 years old.  c. Correspondence and reports pertaining to the use of DEA owned and rental aircraft: Destroy when 2 years old.**

** Addition
ADP DOCUMENTATION FILES

These files consist of those records required to service machine-readable records and to convert them from encoded data to usable information. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. The disposition of documentation files is linked to disposition of the machine-readable files serviced.

File No. 1201-01 (GRS No. 20-11)

Data Systems Specifications Files. Documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications request for the system, and authorizing directives.

Disposition: *Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or database.*

File No. 1201-02 (GRS No. 20-1a)

System Test Documentation Files. Documents consisting of test plans, test data, and test analysis reports.

Disposition: *Delete/destroy when no longer needed.*

File No. 1201-03 (GRS No. 20-11)

File Specifications Files. Documents consisting of definitions of the logical and physical characteristics of each record element or item of data in the file, including names and tags or labels; relative position, form, format, and size of data elements (record layout); specification of all codes used, cross reference code manual; security and privacy restrictions; integrity and validity characteristics; update and access conditions; and recording media and volume.

Disposition: *Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or database.*

* Revision
File No. 1201-04 (GRS No. 20-11)

User Guide Files. Documents consisting of information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability of when and how to use it; and serves for the preparation of input data and the interpretation of results.

Disposition: *Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.*

File No. 1201-05 (GRS No. 20-11)

Output Specifications Files. Documents consisting of detailed descriptions of products of the system that are to be used outside the computer center.

Disposition: *Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.*

File No. 1201-06 (GRS No. 20-11)

ADP Report Files. Documents printed in final report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed.

Disposition: *Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.*

File No. 1201-07 (GRS No. 20-10)

Information Retrieval Routine Files. Documents related to a series of machine instructions designed to retrieve information from specific data systems.

Disposition: a. General purpose programs: Destroy when no longer needed. b. Special purpose programs for data files for which disposal is authorized: Destroy with related data files.

* Revision
**File No. 12Q1-08 (N1-170-89-1)**

ADP/Telecommunication Service Files. Documents, DEA Form 195, used to initiate service to ADP/Telecommunications systems, equipment and support service excluding those systems identified in the ADP master files (1220 series) in Volume II of the Administrative Manual e.g., NADDIS, STRIDE, CSA etc.

Disposition: Destroy 1 year after project is completed.**

** Addition
ADP PROCESSING FILES

These are machine-readable files, aside from master files, which comprise most of the life cycle of computerized records. Processing files, from work files and raw data input files to publication files and security backup files, are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they are generally not intended for long term retention.

File No. 1210-01 (GRS No. 20-1b)
ADP Work Files. *Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.*

Disposition: *Delete after information has been transferred to the master file and verified.*

File No. 1210-02 (GRS No. 20-1a)
ADP Test Files. *Electronic files or records created solely to test system performance, such as test records, as well as related documentation for the electronic files/records.*

Disposition: *Destroy/delete when no longer needed.*

File No. 1210-03 (GRS No. 20-2b)
Initial Data Abstract Files. *Electronic records, except as noted in File No. 1210-04, entered into the system during an update process, and not required for audit and legal purposes.*

Disposition: *Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.*

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File No. 1210-04 (GRS No. 20-2c)

Initial Data Reference Files. *Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.*

Disposition: *Delete when data have been entered into the master file or data base and verified, or when no longer needed to support reconstruction, or serve as back up to, the master file or data base, whichever is later.*

File No. 1210-05 (GRS No. 20-2a)

Initial Data *Non-Electronic* Abstract Files. *Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.*

Disposition: *Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of or serve as the backup to, the master file, whichever is later.*

File No. 1210-06 (GRS No. 20-2a)

Initial Data Source Files. *Non-Electronic* documents or forms that contain original entry data.

Disposition: *Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.*

File No. 1210-07 (GRS No. 20-1b)

Intermediate Data Input/Output Files. Computer sensible media containing output within or from one run to a subsequent run that
Manipulates, sorts, and or moves data through the system, includes checkpoint, edit, correction, reject list, unmatched data eliminating error, and rerun files.

Disposition: a. *Delete after information has been transferred to the master file and verified.*

File No. 1210-08 (GRS No. 20-1b)

Valid Transaction Files. Computer sensible media containing valid file of items used with a master data input file for creation of a master data output file.

Disposition: *Delete after information has been transferred to the master file and verified.*

File No. 1210-09 (GRS No. 20-3)

Information Retrieval System Master Reference Files. Computer sensible media containing data created by the merging of prior master file with valid transactions data to create a new master file.

Disposition: *Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed whichever is later.*

File No. 1210-10 (GRS No. 20-8b)

Security Backup Files. *Electronic file consisting of data identical in physical format to a master file or data base and retained in case the master file or data base is damaged or inadvertently erased.*

Disposition: *File identical to records authorized for disposal in a NARA-approved records schedule: Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.*

* Revision
ADP MASTER FILES

These files constitute the definitive state of a data file in a system at a given time. Such files are partly categorized on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and the frequency with which its machine-readable output should be subject to archival appraisal.

**File No. 1220-01 (GRS No. 20-3)**

Housekeeping System Master Files. Computer sensible media containing data for master files not identified in this schedule.*

Disposition:  
- a. Media not required for GAO site audit: Destroy in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case.  
- b. Media required for GAO site audit: Destroy in accordance with functional guidelines provided by GAO.

**File No. 1220-02 (GRS No. 20-3)**

Statistical Master Files. Computer sensible media containing data created by the merging of a prior master file with valid transaction data to create a new master file.

Disposition: Media used to prepare reports covering a limited period of time; recurring periodic surveys *reports prepared for local use; and statistical files not identified in this schedule. Destroy one year after no longer required.*

**File No. 1220-03 (GRS No. 20-7)**

Re-Formatted Files. *Electronic file consisting of data copied from a master file or data base for the specific purpose of information interchange specifications, EXCLUDING files created for transfer to the National Archives.

Disposition: Delete when no longer needed.*

**File No. 1220-04 (NI-170-89-1)**

Reserved.

**File No. 1220-05 (NCI-170-77-1)**

Samples, Subsamples, and Special Studies Files. Computer sensible media containing data selected from a larger census or survey files.

* Revision
Disposition: Media which is disclosure free or useful in statistical analysis or policy formulation models and simulation studies. Destroy one year after no longer required.

File No. 1220-06 (NCl-170-89-1)

*Defendant Data (Statistics) System Files. The defendants statistical system is part of the M204 DBMS System and provides information on all persons arrested and prosecuted on drug related charges. Information extracted from the defendants statistical system is used:*

**1. As source data for the generation of statistical reports (arrest and prosecution oriented); and
2. As input to the Offender Based Transaction System (OBTS), which tracks the persons arrested and prosecuted through their years in prison.**

Disposition: *Data sets and related documentation: PERMANENT. Transfer annually to the National Archives, in accordance with 36 CFR 1228.*

File No. 1220-07

Title, Text and Disposition deleted.

File No. 1220-08 (NCl-170-77-1)

*Ballistics Intelligence Tables System Files. Machine-readable records which provide drug intelligence for law enforcement purposes. Contains records of tool mark and chemical analysis of illicitly and illicitly made drug tablets. Covers 1970 to the present.*

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-09 (NCl-170-77-1)

*Controlled Substances Act Registration Records (CSA) Files. Machine-readable records containing data on individuals by name; physicians and related practitioners, dentists, veterinarians, persons conducting research with controlled substances; distributors, manufacturers, exporters, and importers of

* Revision
** Addition

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-10 (NC1-170-77-1)

*Automated Reports of Consumated Orders System (ARCOS) Files. ARCOS provides an audit of drug inventory transaction by manufacturers and distributors of controlled substances, maintains a current inventory of controlled substances, provides an inventory history of narcotic transactions that assists in estimating the medical and scientific needs of the US, legal narcotic exports, and maintenance of narcotic reserves, and provides annual statistics to the International Narcotic Control Board.

Disposition: Data will be deleted 2 years following the date it was added to the file and placed in a historical file from which it will be deleted 4 years from the date added.*

File No. 1220-11 (NC1-170-77-1)

Narcotics and Dangerous Drugs Information System (NADDIS) Files. *NADDIS is designed to provide information to Special Agents and other DEA personnel on people, business, ships, vessels and selected aircraft identified through the DEA investigative reporting system. DEA Headquarters, all field divisions and most district and resident offices are linked by the telecommunications network.*

Disposition: Destroy 10 years after system is discontinued.

File No. 1220-12 (NC1-170-77-1)

System to Retrieve Information from Drug Evidence (STRIDE) Files. *STRIDE consists of four subsystems that provide information on time utilization by laboratory professionals to laboratory managers, (laboratory manpower), provides indicators of drugs currently being abused (STRIDE Analytical), characteristic information on tablets and capsules (Ballistics Subsystem), and provides tracking information on the present location of the drugs, (Evidence Inventory Subsystem).

Disposition: Data will be deleted from the active file 15 years from date the case is closed and added to a historical file from which it will be deleted 15 years from date added.*
**File No. 1220-13 (NC1-170-77-1)**

Data Base Management System Files. Documents relating to the selection, acquisition, management and utilization of data base management systems utilized by DEA. These documents do not relate to the content of the individual computer application such as NADDIS or CSA, but to the development and operation of the system in terms of policy, problems, solutions, etc.

Disposition: Destroy documents 5 years after a data base management system has been completely removed from service by DEA.

File No. 1220-14 (N1-170-89-1)

Computerized Asset Program (CAP) Files. CAP is part of the M204 Data Base Management System and is used to report removal of all non-drug, forfeitable property seized as a result of drug investigation and arrests.

Disposition: Data records will be deleted 2 years following the date of disposition of the asset and added to a historical file from which it will be deleted 5 years from the date added.

File No. 1220-15 (NC1-170-77-1)

DEA Accounting System (DEAAS) Files. DEAAS provides a financial management information system for accounting procedures and the management of funds. The system includes on-line/edit update capabilities, on-line review of current status of allowances, obligations, expenditures and travel advances, budgetary controls by allowance and report creation capabilities.

Disposition: Data will be deleted 4 years following the year accumulated, and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-16 (N1-170-89-1)

Training Information Management System (TIMS) Files. TIMS operates under the M204 Data Base Management System and is an on-line system that records information on each training course attended by Special Agents.

Disposition: Data will be deleted 10 years after date of termination of service of employee and placed in a historical file from which it will be deleted 5 years from date added.

File No. 1220-17 (N1-170-89-1)

Property Management System (PMS) Files. PMS is an on-line system that operates under the M204 Data Base Management System and retains the capability to track capitalized personal property and

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all DEA-owned technical and investigative equipment, radio communications equipment, motor vehicles, boats, aircraft, badges, credentials and firearms.

Disposition: Data will be deleted 1 year after the date of final disposition of an item of equipment. Deleted records will not be placed in a historical file.

File No. 1220-18 (N1-170-89-1)

File Room Automation System (FRAS) Files. Machine readable records used to validate investigative file access authorizations, determine the circulation status of a specific file, identify the borrower of a file which has been checked out, and maintain circulation status. A FRAS record is created on an investigative file when establishing a Headquarters file on investigative activities.

Disposition: Data will be deleted 10 years following the year created. Deleted records will not be placed in a historical file.

File No. 1220-19 (N1-170-89-1)

Enforcement Management and Information System (EMIS I) Files. EMIS I is composed of a money list Subsystem and Case Status (CAST) Subsystem. The money list is designed to provide an audit trail of expenditures for purchase of information and evidence. CAST is designed to track activities of an individual case under investigation.

Disposition: a. Data contained in the money list file will be deleted 2 years following the year the record was added and will be retained in a DOJ historical file 1 additional year. b. Data records in the CAST file will destroyed 10 years after the system is discounted.

File No. 1220-20 (N1-170-89-1)

Career Development Program Files. The Career Development Program is an on-line system that contains records of the career histories of all DEA agents, intelligence analysts and chemists.

Disposition: Data will be deleted 10 years after year of termination of employee and added to a historical file from which the records will be deleted 5 years from date added.

File No. 1220-21 (N1-170-89-1)

Enforcement Management Information System (EMIS II) Files. EMIS II is an on-line computerized information system that operates under the CCA 204 DBMS and is composed of two subsystems.
A. Manpower Utilization Subsystem. Provides statistical information on expenditure of time by Special Agents, Intelligence Analysts and Diversion Investigators from DEA bi-weekly activity reports, DEA forms 351, 352 and 421.

Disposition: Data in the manpower utilization file will be deleted 3 years following the year in which it was created and placed in a historical file from which it will be deleted 2 years from the date added.

B. Confidential Informant Subsystem. Supports management information requirements in a DEA Headquarters and field office. Information is maintained on the utilization of DEA's confidential informants.

Disposition: CI data will be deleted 3 years following the date on which it was last updated and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-22 (N1-170-89-1)

Ceiling Control System Files. Machine readable records that provide DEA with a current account of all personnel actions including promotions, vacancies and transfers.

Disposition: Data will be deleted 6 months after the month in which the data was collected. Deleted records will not be placed in a historical file.

File No. 1220-23 (N1-170-89-1)

Agents Application System Files. Machine readable records designed to maintain information on agent applicants.

Disposition: Data will be deleted 3 years after the date created and placed in a historical file from which it will be deleted 3 years after the date added.

File No. 1220-24 (N1-170-89-1)

Disciplinary Records System Files. Machine readable records designed to provide a profile regarding precedent disciplinary/adverse actions relative to type(s) of charge(s) and type of action proposed and subsequently taken in order to decide appropriate penalty for current cases.

Disposition: Data will be maintained for a period of 4 years from the date of last update. Data on agents only will then be placed in a historical file for a period of 5 years following the conclusion of the Segar-Bell Court Case.

File No. 1220-25 (N1-170-89-1)

Personnel Locator System (PLS) Files. Machine readable records designed to maintain representative data on all DEA employees pertaining to special skills, geographic work locations and functional work areas.
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Disposition: Data will be deleted 2 months following the date the employee leaves DEA. Deleted records will not be placed in a historical file.

File No. 1220-26 (GRS No. 1-34)

Workmen's Compensation System Files. Machine readable records designed to provide information on the nature of personnel injuries, cause of injuries, days lost, deaths and monetary compensation for medical disability and death.

Disposition: Data will be deleted 2 years following the year in which data was collected and placed in a historical file for 5 *additional years and subsequently deleted after 5 years.*

File No. 1220-27 (GRS No. 14-13)

Freedom of Information (FOI) Files. The Freedom of Information/Privacy Act System is designed to provide information on the current status and types of requests to DEA for information under the Freedom of Information and Privacy Acts.

Disposition: Data will be deleted 6 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-28 (GRS No. 10-2b)

Vehicle Management System (VMS) Files. Machine readable records designed to track maintenance of all Government owned and Government rented vehicles in DEA.

Disposition: Data will be deleted 1 year following year of date of maintenance. Deleted records will not be placed in a historical file.

File No. 1220-29 (NI-170-89-1)

Activity Files. As part of the M204 Data Base Management System, the activity file is designed to store information concerning a particular activity or event with information about the people involved, names of organizations/establishments known or suspected of involvement with the illegal activity, and intelligence summary information. An activity or event may involve drugs, aliens, weapons, counterfeit documents/currency, aircraft vessels or vehicles such as a pharmacist selling scheduled drugs without a prescription or a corporation suspected of illegal drug activity.

Disposition: Data will be deleted 8 years following the date of last update and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-30 (NI-170-89-1)

Aircraft Files. As part of the M204 Data Base Management System, the aircraft file is designed to store information concerning
general use of international aircraft suspected of illegal activity and contains information about aircraft owners, users, registration data, and home airfield of the aircraft.

Disposition: Data will be deleted 8 years following the date of the last update and placed in a historical file from which it will be deleted 10 years from the date added.

**File No. 1220-31 (N1-170-89-1)**

Airdrop System Files. Machine readable records that collect, correlate and analyze data related to aircraft drops of illicit contraband into the United States and other areas.

Disposition: Data will be deleted 5 years following the date of last update. Deleted records will not be placed in a historical file.

**File No. 1220-32 (N1-170-89-1)**

Alien Smugglers Enforcement System (ASSET) Files. The EPIC ASSET is an Immigration and Naturalization Service (INS) system that collects and correlates information provided on the INS Smuggler Index Form.

Disposition: Data will be deleted 5 years following the date of last update. Data then will be placed in a historical file and deleted 8 years from the date added.

**File No. 1220-33 (N1-170-89-1)**

Commercial Air (CAF) System Files. CAF collects data on the use of commercial airlines in transporting contraband into the U.S. CAF is comprised of three subsystems: 1) the CAF Entry System, 2) the CAF Seizures System, and 3) the CAF Lookout System.

Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 5 years from the date added.

**File No. 1220-34 (N1-170-89-1)**

Computer Inventory Systems Files. Machine readable records used to collect and store all pertinent data related to computer and communications equipment at EPIC.

Disposition: Data will be deleted 6 months following the date of last payment or item is disposed of. Deleted records will not be placed in a historical file.

**File No. 1220-35 (N1-170-89-1)**

General Aviation Smuggling Indicator (GAS) Files. GAS collects and correlates data relating to the use of private aircraft in the transport of illicit merchandise into and within the U.S.
Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 5 years from the date added.

File No. 1220-36 (N1-170-89-1)

Maritime Intelligence Seizure and Intelligence Lookout Systems (MIS/MIL) Files. MIS and MIL systems collect and correlate statistical information regarding seizures and lookouts relevant to maritime smuggling into the U.S.

Disposition: Data will be deleted 5 years following the date of last update. The data will then be placed in a historical file from which it will be deleted 8 years from the date added.

File No. 1220-37 (N1-170-89-1)

Private Aircraft Reporting System (PAIRS) Files. The PAIRS System provides on-line retrieval of information on private aircraft suspected of illegal drug trafficking entering the U.S. from foreign airports. Information input will be via INS Form 192A and U.S. Customs Form CF-178.

Disposition: Data will be deleted 4 years following date of last update.

File No. 1220-38 (N1-170-89-1)

Vessels Files. As part of the M204 DBMS, the vessel file stores information concerning general international marine vessels. This file also provides a source for evaluating smuggling threats involving private vessels. It contains names of vessel owners, users, registration and home port information, and intelligence summary data.

Disposition: Data will be deleted 5 years following the date of last update and placed in a historical file from which it will be deleted 10 years after the date added.

File No. 1220-39 (N1-170-89-1)

Vessel Crew Members Files. The crew members system collects and correlates data related to commercial ships and their foreign crew members transporting illicit merchandise into the U.S.

Disposition: Data will be deleted 8 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-40 (N1-170-89-1)

Vessels Electronic (ELECTRO) Files. The ELECTRO System collects and correlates information regarding electronic equipment discovered aboard vessels carrying illicit merchandise into the U.S.
Disposition: Data will be deleted 8 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-41 (NI-170-89-1)

Vessel U.S. Coast Guard 408 File. The USCC 408 file provides descriptions, documentation data and owner information on vessels registered with the U.S. Coast Guard.

Disposition: Data will be replaced as required.

File No. 1220-42 (GRS No. 18-6)

Watch Access System (WATCH) Files. The WATCH System maintains the names, passwords and identifying information on all personnel currently qualified to access the El Paso Intelligence Center.

Disposition: Data will be deleted following notification by a state official and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-43 (NI-170-89-1)

Workload Extraction and Evaluation System (WEEP) Files. The WEEP System measures workloads within the Air Analysis Unit of EPIC and provides information on sources requesting information from EPIC.

Disposition: Data will be deleted 3 years following the date of last update. Deleted records will not be placed in a historical file.

File No. 1220-44 (NI-170-89-1)

Controlled Substances Act System (CSA) Files. Machine readable records containing data on the registration of all individuals and organizations who manufacture, distribute, prescribe or dispense controlled substances.

Disposition: Data will be deleted 6 months following the date registration expires and placed in a historical file from which it will be deleted 10 years from the date added.

File No. 1220-45 (NI-170-89-1)

Diversion Analysis and Detection System (DADS) Files. DADS is a subsystem of the ARCOS system and contains statistics on only those drugs purchased from or sold to associate registrants i.e., doctors, clinics, hospitals, pharmacies.

Disposition: Data will be deleted a 2 years following the date added to the file and placed in a historical file from which it will be deleted 4 years from date added.
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File No. 1220-46 (N1-170-89-1)

Project Label Files. Project label system maintains a memory bank of information as contained on labels on packages of controlled substances.

Disposition: Data will be deleted 1 year following the date on which the National Drug Code is rescinded and placed in a historical file. The data will be deleted from the historical file 2 years from the date added.

File No. 1220-47 (N1-170-89-1)

Drug Theft System Files. Machine readable records that provide information on the theft or loss of drugs from Control Substances Act (CSA) registrants.

Disposition: Data will be deleted 3 years following the year in which the record was created and placed in a historical file from which it will be deleted 3 years from the date added.

File No. 1220-48 (N1-170-89-1)

Internal Security System Files. The Internal Security System functions under the M204 Data Base Management System and consists of these separate files: 1) Subject File, 2) Assault File, and 3) Case File of Internal Security Information.

Disposition: Data will be deleted 5 years following the date the employee is terminated with DEA and placed in a historical file from which it will be deleted 30 years from the date added.

File No. 1220-49 (N1-170-89-1)

Offender Based Transaction System (OBTS) Files. OBTS is designed to track persons who have been incarcerated on a drug related charge. It provides batch queries and report capabilities from which statistical reports may be generated.

Disposition: Data to be deleted *6* years after year of last update and added to a historical file from which records will be deleted 10 years from the date added.

File No. 1220-50 (N1-170-89-1)

Trafficker Files. Trafficker file operates under the M204 DBMS and records information concerning seizures and traffickers worldwide. Trafficker file creates statistical reports depicting trends in trafficking. NOTE: This file is currently inactive.

Disposition: Data will be deleted *6* years after last update and added to a historical file from which it will be deleted *10* years from the date added.

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**File No. 1220-51 (N1-170-89-1)**

**Toll/Pen Register Files.** The Toll/Pen Register files under the M204 DBMS contain information on the telephone numbers used by suspects in an active drug investigation.

**Disposition:** Data will be deleted 5 years after case is closed and placed in a historical file from which it will be deleted 10 years from the date added.

**File No. 1220-52 (N1-170-89-1)**

**Precursor Chemical Information System (PCIS) Files.** PCIS is an on-line computerized information system on the sale of precursor chemicals used for the illicit production of dangerous drugs and other controlled substances.

**Disposition:** Data will be deleted 3 years following the date the record was added to the file and placed in a historical file from which the record will be deleted 2 years from the date added.

**File No. 1220-53 (N1-170-89-1)**

**Event Files.** The Events file in the M204 DBMS contains information related to drug investigations in the form of events or overt acts of suspects within the investigations, for example names, addresses, telephone numbers, businesses, banks, aircraft and vessels. Intelligence analysts and Special Agents primarily input data into the system.

**Disposition:** Data will be deleted 5 years from year information was added to the investigative file and placed in a historical file from which it will be deleted 4 years from the date added.

**File No. 1220-54 (N1-170-89-1)**

**Telephone Subscriber System (BINGO).** The Telephone Subscriber System (BINGO) is a vehicle for the collection and the correlation of telephone numbers and telephone subscribers contained in information received by EPIC.

**Disposition:** Data records will be automatically deleted 5 years following the date year the record was added to the file. Deleted records will not be placed in a historical file.**

**Addition**
NOTES

1. The term "computer sensible" is used to include media which are not magnet storage devices. Computer cards, for instance, are still widely used. Technological advances forecast computer sensible nonmagnetic storage devices likely not be be erasable and reusable.

2. "Dispose of after third update cycle" indicates that the first generation data may be disposed of after the fourth successful update.

3. Records received from another agency become the records of the receiving agency under either of two conditions:

   a) when the data are merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; or
   b) when the data are provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.
FORMS MANAGEMENT FILES

These files relate to planning and executing procedures to standardize, design, construct, and control the use, numbering, and distribution of forms.

File No. 1301-01 (GRS 16-3a)

Forms Management Reporting Files. Documents relating to reports on progress in forms management. Included are reports, worksheets, and correspondence directly related to the reports.

Disposition: Destroy 5 years after related form is discontinued, superseded, or cancelled.

File No. 1301-02 (GRS 16-3a)

Forms Numerical (External) Files. Documents accumulating in offices having authority to approve forms and resulting from the consideration, approval, control during existence, and revision or rescission of specific forms. Included are requests for approval of forms, justifications, coordination papers, instructions governing use of the form, and a copy of each edition of the form.

Disposition: Destroy 5 years after related form is discontinued, superseded, or cancelled.

File No. 1301-03 (GRS 16-3a)

Forms Numerical Files (External). Documents relating to forms used within the jurisdictional area of the forms management office but approved by other agencies or offices. Included are copies of forms, instructions for use, and coordination papers.

Disposition: Destroy 5 years after related form is discontinued, superseded, or cancelled.

File No. 1301-04 (GRS 16-3b)

Forms Functional Files. A collection of forms arranged by functional classification, used to assist in taking forms management actions, such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the Forms Management Officer.
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Disposition: Destroy when form is discontinued, superseded, or obsolete.

File No. 1301-05 (GRS 23-8)

Form Number Register Files. Documents used to record and control the assignment of a form number, consisting of an entry in the register for each assigned form number.

Disposition: Destroy when no longer needed.

**File No. 1301-06

Forms Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the forms management program.

Disposition: Destroy after 6 years. Earlier destruction is authorized of instructions, etc., are superseded, obsolete, or no longer needed for references.**

** Addition
REPORTS MANAGEMENT AND CONTROL FILES

These files result from the direction and operation of DEA reports control system which is designed to control reports; assure that reports are adequate, accurate, and timely; eliminate unnecessary reports; and standardize materials and procedures.

File No. 1310-01 (NI-170-89-1)

Reports Control Files. Documents reflecting action taken in evaluating the requirement for approving and controlling specific reports, including public use reports. Included are applications for approving reports; copies of pertinent forms or descriptions of format; copies of the requiring directive; preparation instructions; documents relating to continuation, revision, or other change to the report or output; memorandums reflecting results of periodic and special evaluations; documents identifying the relationship of the output to any controlled report to be prepared in whole or in part from the output; and similar or related papers.

Disposition: Destroy 10 years after discontinuing the report or output.

File No. 1310-02 (NC1-170-77-1)

Reports Control and Output Register Files. Documents used to control the assignment of reports control symbols and ADP outputs. Included are registers, ledgers, or comparable documents.

Disposition: Destroy when no longer needed for control purposes.

**File No. 1310-03 (NI-170-77-1)**

Reports Program Management Files. Documents relating to policy and procedures in administering the reports management program. Included are memoranda, implementing directives, Headquarters and field office reports, followup reports, coordinating actions, annual summaries of reports, statistical data bases, and related documents.

Disposition: Destroy 7 years after close out of the report or documentation.**

** Addition
RECORDS MANAGEMENT FILES

These files result from planning, promulgating, and executing concepts and procedures for managing the creation, transmission, maintenance, use and disposition of DEA records.

File No. 1320-01 (GRS No. 16-7)

Records Management Survey Files. Documents relating to staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.

Disposition: Destroy when *6* years old or 3 years after next comparable NARA or OSA survey.

File No. 1320-02 (GRS No. 16-7)

Records Management Survey Background Files. Documents used in preparing for records management surveys. Included are organizational charts, statements of function, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes, drafts, and similar or related documents.

Disposition: Destroy when 6 years old. Earlier destruction is authorized if records are superseded, obsolete, or no longer needed for reference.*

File No. 1320-03 (NC1-170-77-1)

Congressional Authorization Files. Documents relating to congressional authorization to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, approvals or disapprovals.

Disposition: Destroy previous schedule when succeeding schedule is approved by NARA.

File No. 1320-04 (GRS No. 16-2a)

Records Disposition Standard Files. **Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.** Communications with the National Archives and Records Administration (NARA) concerning authority for disposition of specific files, including special studies of specific files to establish or revise disposition standards.

*Revision
**Addition
Disposition: *Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.*

File No. 1320-05 (GRS No. 16-2a)

Records Locator and Disposition Files. Documents reflecting files that have been transferred or retired. Included are records shipment lists, records transfer lists, and copies of Records Transmittal and Receipt (SF-135).

Disposition: *Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.*

File No. 1320-06 (N1-1170-89-1)

*Microform Job Files. Documents relating to appraisal of proposed microform projects and control of approved projects. Included are records analysis sheets for proposed microform projects, cost summary sheets, studies, justifications, and related material.*

Disposition: Destroy 5 years after completion of project, except that disapproved project files will be destroyed 1 year after disapproval.

File No. 1320-07 (GRS No. 16-4a)

Records Holdings Files. Statistical reports of Annual Summary of Records Holdings (DEA-454).

Disposition: Destroy 3 years after submission of report.

File No. 1320-08 (NC1-170-77-1)

Correspondence Management Files. Instructions relative to preparation, format, control, and clearance of correspondence.

Disposition: Destroy when 6 years old. Earlier destruction is authorized if instructions are superseded, obsolete, or no longer needed for reference.

**File No. 1320-09 (GRS No. 16-7)

Files Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the files program.

* Revision
** Addition
Appendix 0705A
Page 166

Disposition: Destroy when 6 years old.** *Earlier destruction is authorized if instructions etc., are superseded, obsolete, or no longer needed for references.*

File No. 1320-10 (GRS No. 16-7)

**Microform Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the microform reduction program.

Disposition: Destroy when 6 years old.** *Earlier destruction is authorized if instructions, etc., are superseded, obsolete, or no longer needed for reference.*

**File No. 1320-11 (GRS No. 16-11)

IRM Triennial Review Files. Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, feeder reports, and monitoring surveys and reports.

Disposition: Destroy when 7 years old.

File No. 1320-12 (GRS No. 16-12)

Information Collection Budget Files. Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, and statistical compilations.

Disposition: Destroy when 7 years old.**

* Revision
** Addition
PUBLICATION MANAGEMENT FILES

These files relate to preparing, reviewing, and issuing publications and to maintaining record and reference sets of publications. Record copies of all publications with related background papers should be filed in appropriate functional files. (Record copy is defined as that copy of publication maintained by the office of record, usually the preparing office, for record purposes as distinguished from the copies of the same publication distributed and maintained for reference purposes.) Record sets of selected publications are required for permanent or long term retention since they are used extensively for future administrative actions and historical or other research. Files also relate to management of the publications function(s).

File No. 1330-01 (NC1-170-77-1)

Publication Record Set Files. These will consist of one copy of each publication or change issued, within the categories specified below. Publications within this set will be filed numerically. Each folder or binder of the record set will be distinctly marked "Record Set."

a. The DEA Records Management Section will maintain a record set of DEA manual issuances (Agents, Administrative, Personnel, Planning and Inspection, Laboratory Operations, Training, Diversion Investigator, and Scientific Support Manuals; Headquarters Notices; and Laboratory and field Division Orders and Notices).

b. Functional procedures manuals, legal guidelines, program bulletins, and other official procedural documents will be maintained by originating office.

Disposition: Office performing DEA-wide staff responsibility: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 15 years old.

File No. 1330-02 (NC1-170-77-1)

Publication Reference Set Files. Offices responsible for issuing publications will maintain one set for reference purposes when needed or when required by other directives. This set will include a copy of those publications included in the "Record Set"
and copies of other publications issued by them for which a "Record Set" is not required. Each folder or binder in this set will be distinctly marked "Reference Set" and will be currently posted.

Disposition: Destroy when superseded or obsolete.

File No. 1330-03 (NC1-170-77-1)

Publication Manuscript Files. Manuscript copies of publications, printer copies of galley or page proofs or publications, drafts of publications, and other working or control data used in preparing publications.

Disposition: Destroy on printing of publication.

File No. 1330-04 (NC1-170-77-1)

Publication Deviation Files. Documents related to approved deviations or exceptions to standard publication procedures. Included are requests and approvals to distribute local publications outside the jurisdiction of the DEA, authorizations to print in more than one color, authorizations to include emblems on envelopes, and similar deviations or special authorizations.

Disposition: Destroy 2 years after expiration or supersession of the authorization.

File No. 1330-05 (NC1-170-77-1)

Publication Approval Files. Documents related to approving the initiation of new publications, changes to existing publications, limitations in previous approvals, and renewal after expiration of the previous approval. Included are requests for approval, notification of approval, and related papers.

Disposition: Destroy on expiration or supersession or on discontinuance of the publication.

File No. 1330-06 (NC1-170-77-1)

Directives Development and Editing Files. Documents relating to the improvement and development of DEA directives through editing, changing, and rewriting of first drafts. Included are copies of
first and final draft manuscripts; notes and memorandums pertaining to conferences with the author, coordination, and research, copies of related correspondence; and a printed copy of the basic directive and each change thereto.

NOTE: Documents maintained by proponent offices will be filed with related records documenting the preparation of the directives.

Disposition: a. Office responsible for editing, development, and improvement: Destroy on revision or obsolescence of the directive. **b. Other offices: Destroy when no longer needed for control purposes.**

File No. 1330-07 (NC1-170-89-1)

Directives Management Program Files. Documents related to establishing and administering the directives program in DEA. Included are coordinating actions, studies, instructions, authorizing directives, reports, interpretations, messages, and similar or related documents.

Disposition: Destroy when 6 years old.

File No. 1330-08 (NC1-170-89-1)

DOJ Order Review Files. Documents relating to reviewing draft DOJ orders. Included are routing slips, memorandums, responses, proposed changes, the draft order, the coordination sheet, the Summary Sheet, and any other related papers.

Disposition: Destroy when 6 years old.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) |
| WASHINGTON, DC 20408 |

1. FROM (Agency or establishment)

DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

JAMES L. GREENE

5. TELEPHONE

202-307-7712

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached pages are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

X is not required; □ is attached; or □ has been requested.

DATE | SIGNATURE OF AGENCY REPRESENTATIVE | TITLE
--- | --- | ---
OCT 23, 1996 | JAMES L. GREENE | RECORDS OFFICER

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

Revision to DEA Records Schedule,
Administrative Manual, Volume II
File No. 920-03
See attached Page 121.1
HAZARDOUS WASTE DISPOSAL FILES

These files relate to DEA's efforts to protect public health through a program for the clean-up and disposal of hazardous waste produced by illegal drug laboratories.

File No. 920-01, M1-170-89-1

Hazardous Waste Program Files. Documents relating to establishing and administering the hazardous waste disposal program in DEA. Included are coordinating actions, studies, instructions, reports, interpretations, messages and similar related documents. Policies and procedures are documented in the DEA Directive System.

Disposition: Destroy when 10 years old.

File No. 920-02, M1-170-89-1

Hazardous Waste On-Site Investigation Files. Documents consist of reports of investigations to determine compliance by contractors with applicable regulations regarding the maintenance and control of treatment, storage and disposal facilities. Includes reports of analyses, correspondence, and related documents.

Disposition: Destroy when 5 years old.

File No. 920-03

Hazardous Waste Task Management Files. Documents relating to plans and decisions by DEA and the contractors concerning the cleanup of hazardous waste sites for which DEA assumes responsibility. Included are correspondence between DEA Headquarters, DEA field offices, and other federal agencies; instructions to the contractors; contractor produced documents such as invoices, manifests, packing lists, and quarterly reports; field office produced documents such as delivery orders, teletypes, required reports, and supporting documentation.

Disposition: a. Office performing DEA-wide staff responsibility: (1) Record copy: Permanent. Transfer to Federal records center when 5 years old. Offer to NARA when 20 years old. (2) Other material: Destroy when 8 years old. b. Other Headquarters and field offices: Destroy when 5 years old.*
REQUEST FOR RECORDS DISPOSITION AUTHORITY

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received 3-08-00

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 USC 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

5 AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 3 page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required ☐ is attached, or ☐ has been requested

DATE MARCH 13, 2000

SIGNATURE OF AGENCY REPRESENTATIVE James L. Greene

TITLE Records Officer 202-307-7712

7 ITEM NO 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

See attached sheets

9 GRS OR SUPERSEDED JOB CITATION

10 ACTION TAKEN (NARA USE ONLY)
OFFICIAL RECORDS OF DEA ADMINISTRATOR
DRUG ENFORCEMENT ADMINISTRATION

1. Records documenting the accomplishments, programs, activities, and projects of the Administrator. The official records of the Administrator are maintained by the Executive Assistant.

a. Subject Files. Arranged alphabetically by subject.
   Volume: approximately 8.0 cubic feet per year.

   **Disposition:** Permanent. Cut off at the end of the Administrator’s tenure and retire to off-site storage 2 years after cutoff. Transfer to the National Archives 15 years after cut off.

b. Chronological Files. Signed outgoing correspondence and attachments from latest to earliest date of signature.
   Volume: 5 cubic feet per year.

   **Disposition:** Temporary. Cut off annually and retire to off-site storage. Destroy 6 years after cut off.

c. Working files of the Administrator maintained under the supervision of the Executive Assistant. Includes calendars, appointment books, schedules, briefing books, binders, logs, and other records documenting meetings, appointments, telephone calls, trips, visits, seminars, and other activities that contain unique and substantive information relating to official activities of the Administrator.

   Arrangement varies.
   Volume: 5 cubic feet per year.

   **Disposition:** Permanent. Cut off at the end of the Administrator’s tenure and retire to off-site storage 2 years after cutoff. Transfer to the National Archives 15 years after cut off.

d. Records documenting the Administrator’s participation in committees and conferences (joint, intra-agency, and international). Included are agenda, minutes, final reports, and related records documenting the accomplishments and actions by the Administrator.

   Arrangement: Chronological.
   Volume: 5 cubic feet per year.

   **Disposition:** Permanent. Cut off at the end of the Administrator’s tenure and retire to off-site storage 2 years after cut off. Transfer to the National Archives 15 years after cut off.

e. Electronic copies, including e-mail and word processing copies.

   **Disposition:** Temporary. Delete after recordkeeping copy has been produced.
2. Records documenting the activities and projects of the Executive Assistant and Special Assistant to the Administrator. Included are calendars, appointment books, schedules, logs, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities that contain unique and substantive information relating to the official activities of the Administrator's staff.

   a. Recordkeeping copy.

      **Disposition:** *Temporary.* Cut off at the end of each Administrator's tenure or when the individual departs the Administrator's staff and retire to off-site storage 2 years after cut off. Destroy 8 years after cut off.

   b. Electronic copies, including email and word processing copies.

      **Disposition:** *Temporary.* Delete after recordkeeping copy has been produced.

3. Deputy Administrator's Chronological Files. Signed outgoing correspondence from earliest date of signature.

   Volume: 3 cubic feet per year.

   a. Recordkeeping copies.

      **Disposition:** *Temporary.* Cut off at the end of the Deputy Administrator's tenure and retire to off-site storage 2 years after cut off. Destroy 15 years after cut off.

   b. Electronic copies, including email and word processing copies.

      **Disposition:** *Temporary.* Delete after recordkeeping copy has been produced.

**NOTE:** All records shall be placed in boxes and sealed prior to transfer to off-site storage. Only authorized Drug Enforcement Administration personnel shall retrieve records from the boxes at off-site storage.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
College Park, MD 20740

DATE RECEIVED 6/6/2000

FROM (Agency or establishment)  
DRUG ENFORCEMENT ADMINISTRATION

MAJOR SUBDIVISION  
HAZARDOUS WASTE DISPOSAL UNIT

MINOR SUBDIVISION

NAME OF PERSON WITH WHOM TO CONFER  
ROLF HILL

TELEPHONE  
202 307-8843

DATE  
3-12-01

NOTIFICATION TO AGENCY  
In accordance with the provisions of 44 USC 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of its records and that the records proposed for disposal on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,

☐ is not required, ☐ is attached, or ☐ has been requested

SIGNATURE OF AGENCY REPRESENTATIVE  
JAMES L. GREENE

TITLE  
RECORDS OFFICER 202 307-7712

OFFICIAL RECORDS OF HAZARDOUS WASTE DISPOSAL UNIT

These files relate to DEA's efforts to protect public health through a program for the clean-up and disposal of hazardous waste produced by illegal drug laboratories

Description Item and Proposed Disposition

File No 920-03

1 Hazardous Waste Task Management Files  
Documents relating to plans and decisions by DEA and the contractors concerning the clean-up of hazardous waste sites for which DEA assumes responsibility. Included are correspondence between DEA Headquarters, DEA field offices, and other federal agencies, instructions to the contractors, contractor produced documents such as invoices, manifests, packing lists, and quarterly reports, and field office reports.

PREVIOUS EDITION NOT USABLE

STANDARD FORM SF 115 (REV. 3-91)  
Prescribed by NARA 36 CFR 1228
produced documents such as delivery orders, teletypes, required reports, and supporting documentation.

Disposition: a. Office performing DEA-wide staff responsibility. (1) Record copy (paper records).
   Temporary: Retire to off site storage when 5 years old. Destroy when 75 years old.
   b. Other Headquarters and field offices. Temporary: Destroy when 5 years old.
   c. Contractor copy. Temporary: Destroy when 3 years old.
   d. Electronic copy. Temporary: Destroy after record copy has been produced.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1 FROM (Agency or establishment)
Drug Enforcement Administration

2 MAJOR SUBDIVISION
Office of Forensic Sciences

3 MINOR SUBDIVISION
Laboratory Operations Sections

4 NAME OF PERSON WITH WHOM TO CONFER
Steve Sottolano

5 TELEPHONE
202 307 9517

6 AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

X is not required, □ is attached, or □ has been requested.

DATE 14-7-2000
SIGNATURE OF AGENCY REPRESENTATIVE James L. Greene

TITLE Records Officer

7 ITEM NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

1 Official records of the Office Forensic Sciences and its eight regional laboratories. These records accumulate from the laboratories qualitative and quantitative analyses and forensic examination of drugs.

See attached files description and disposition for seven items.

ALL changes to this proposed schedule have been approved by:

Agency, 11/17/2000, NARA (signature)

115-109

NSN 7540-00-634-4064

STANDARD FORM 115 (REV 3-91)
FORENSIC LABORATORY FILES

1  File No 901-03

*Drug Evidence Accountability/Disposition Files*  Documents include receipts, transfers, inventories, withdrawals, and disposals of drug evidence Excludes documents which are filed in the Laboratory Case File (901-01) after completion of required actions (NCI-170-77-1)

Disposition  a Record copy  Temporary  Destroy 5 years after final disposition of drug evidence  b Electronic copy  Delete 180 days after recordkeeping copy has been produced *

2  File No 901-05

*Latent Finger Print Program Files*  Documents include correspondence, instructions, messages, interpretations, and coordinating actions related to the administration and operation of the Latent Finger Print Program  These files are exclusive of materials and documents that are filed in the Laboratory Case File (901-01) (NCI-170-77-1)

Disposition  a Record copy  Temporary  Destroy after 6 years or when superseded, obsolete, or no longer needed for reference, which ever is later  b Electronic copy  Delete 180 days after recordkeeping copy has been produced

3  File No 901-06

*Drug Signature Analysis Files*  Documents relating to the sample collection of specific drugs, i.e., heroin, cocaine, cannabis, etc.  The analytical methodology that is applied to the qualitative and quantitative analysis of the drug, and the results of the signature trace which reflects the geographic origin of the drug  Includes correspondence, which shows the distribution of the results of the signature analysis, and the documentation regarding the application of the methodology relative to the origin analysis

Annual volume 20 cubic feet  Disposition  a Special Testing and Research Laboratory performing the DEA Wide program:  Record copy  Permanent  Transfer to off-site storage when 5 years old  Transfer to National Archives when 15 years old  b Other Field Laboratories:  Destroy reports after 5 years  c Electronic copy  Delete 180 days after recordkeeping copy has been reproduced

- Copies maintained by Field Laboratories
- Charge made for continuance of agency records

* Revision
  ** Addition

PREVIOUS EDITION NOT USABLE
4 **File No. 901-07**

**Clandestine Laboratory Reporting Files** Documents include DEA Form 500, DEA Form 6, inventory of drugs, chemicals, and paraphernalia found in a clandestine laboratory, results of vacuum searches, and correspondence with the investigating office. These files exclude those documents that are filed in the Laboratory Case File (901-01) in support of analysis of drug evidence.

**Disposition**

a. Special Testing and Research Laboratory (1) Record copy of unique laboratory seizures, i.e., records that reflect substantive inventories and specialized drug paraphernalia and apparatus, and/or unusual manufacturing methods Temporary. Retire to off-site storage when 5 years old Destroy when 25 years old

(2) Other laboratory reports Destroy reports after 5 years

b. Other Field Laboratories Destroy reports after 5 years

c. Electronic copy Delete 180 days after recordkeeping copy has been produced

5 **File No. 901-08**

**Proficiency Test Program (PTP) files** Documents related to the administration of the Proficiency Test Program to assess the procedures used in DEA laboratories for qualitative and quantitative analysis of evidence. Included are sampling plans, quarterly summary reports, and documentation of analytical programs.

**Disposition**

a. Office of Forensic Sciences (1) Record copy Temporary Retire to off-site storage when 5 years old Destroy when 25 years old

(2) Other documentation Destroy 10 years after completion, termination, or cancellation of the project

b. Field Laboratories Reports Destroy reports after 6 years

c. Electronic copy Delete 180 days after recordkeeping copy has been produced

6 **File No. 901-09**

**Domestic Monitor Analysis Program Files** Documents that reflect analyses of drug exhibits that are sent from designated DEA offices in the United States to the Special Testing and Research Laboratory.

**Disposition**

a. Record copy Temporary Destroy 5 years after issuance of the report or when report is superseded or obsolete

b. Electronic copy Delete 180 days after recordkeeping copy has been produced

**Addition**
RESEARCH AND DEVELOPMENT CONTROL FILES

7 File No. 940-06

* Special Forensic Studies Reference Files  Documents include scientific investigations into technical and procedural questions performed by chemists of the DEA Laboratory system  Special forensic studies are primarily directed toward the research relative to the forensic examination of drug evidence  These studies allow the chemists to apply their knowledge and experience to non-routine problems  The categories are Headquarters Imposed, Research and Methods Development, and Laboratory Imposed studies  Documentation includes a copy of the research protocol study, applied methodology, progress reports, and final report

*Annual volume 3 cubic feet Disposition: a Office of Forensic Sciences (1) Record copy PERMANENT Transfer to off-site storage when 5 years old Transfer to the National Archives when 10 years old (2) Other documentation Destroy 15 years after completion, termination, or cancellation of the project b Field Laboratories Destroy after 5 years or when no longer needed for reference c Electronic copy Delete 180 days after records copy has been produced *

- Change made per direction of agency records office.

5/11/01

* Revision
REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408

1 FROM (Agency or establishment)
   Drug Enforcement Administration

2 MAJOR SUBDIVISION
   Office of Information Systems

3 MINOR SUBDIVISION
   Program Planning and Control Staff

4 NAME OF PERSON WITH WHOM TO CONFER
   Julie Jones, Y2K Program Manager
   Millie Tyler, Y2K Project Manager

5 TELEPHONE
   202-307-9895

6 AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of its records and that the records proposed for disposal on the attached ___ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

   [ ] is not required,  [ ] is attached, or  [ ] has been requested

DATE Jan 19, 2001

7 ITEM NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

   1. Century Date Conversion (Y2K) Records and Reports:
      Records related to the initiative undertaken to ensure that automated systems will continue to function reliably when the date changed to the year 2000. The project related to activities conducted by all offices within the Drug Enforcement Administration (DEA). Files may include but are not limited to:

      (1a) - Records related to overall Year 2000 efforts, plans, strategies, submissions to the DOJ Year 2000 Program Manager, testing plans (criteria and results), monitoring and tracking efforts, and policy letters.

      (1b) - List of applications (or systems) reviewed or accessed with notation of those requiring remedial work, scope of work needed to bring nonconforming applications or systems into compliance.

      (1c) - Testing documentation such as descriptions of types of tests performed on various systems (e.g., baseline, unit, regression, etc.); types of test systems used, procedures involved in testing, summaries of test results and sign-offs, sufficient to establish the Year 2000 readiness of applications and

9 GRS OR SUPERSEDED JOB CITATION

10 ACTION TAKEN (NARA USE ONLY)

STANDARD FORM 115 (REV 3-91)
and systems tested; deviations from prescribed test results; criteria to determine if an application or system is Year 2000 compliant; plans for retesting computers, applications or systems that fail a Year 2000 test and documentation as to how the failure was corrected, and information sufficient to explain changes to applications or systems for Year 2000 readiness.

(ld) - Reviews of the Year 2000 program conducted by the DOJ's Inspector General, the General Accounting Office, or independent validation and verification contractors.

(le) - Contracts (not including purchase orders) in which Year 2000 compliance is a stated requirement and contracts with outside consultants to address the century date change.

(1f) - Records of correspondence with external vendors, such as documentation from Websites or certification letters, describing the Year 2000 status of vendor products and services used by DEA.

(1g) - Records of correspondence with the Department of Justice, the Office of Management and Budget, and the General Accounting Office.

In the minutes of the CIO Council Committee on Year 2000 meeting of January 18, 2000, the Office of Management and Budget (OMB) recommended that reports/records produced by Agencies be retained in case there are any audits.

(la-lg) Disposition: Temporary. Close the files at the end of the year 2000. Files will be retained for 10 years after close for audit purposes, then destroyed. Files may be transferred to off-site storage one year after close.
2. Electronic Version of email messages and word processing documents:

Documentation created and received via electronic systems that is determined to have record status and that supports the century date conversion (Y2K) records and reports will be copied to paper. Email messages include message text, attachments, drafts, and transmission and receipt date. The process described in Item 1 above is the recordkeeping system.

Disposition: Delete after copying to paper and placement in the recordkeeping system.
File No. 1220-55

Y2K Century Date Conversion Records and Reports Files:

Records relate to the initiative undertaken to ensure that automated systems will continue to function reliably when the date changed to the year 2000. The project related to activities conducted by all offices within the Drug Enforcement Administration (DEA). Files may include but are not limited to records related to overall Year 2000 efforts, plan, strategies, submissions to the DOJ Year 2000 Program Manager, testing plans, monitoring and tracking, and policy letters.

Disposition: Temporary Close the files at the end of the year 2000. Files will be retained for years after close for audit purposes, then destroyed. Files may be transferred to Federal Records Facility one year after close.

Electronic records. Delete after copying to paper and place in the recordkeeping system.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION
   OFFICE OF SECURITY PROGRAMS

3. MINOR SUBDIVISION
   PHYSICAL SECURITY SECTION

4. NAME OF PERSON WITH WHOM TO CONFER
   Larry A. Loveless

5. TELEPHONE
   202-307-5584

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached two page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

   is not required;   is attached; or   has been requested.

   DATE       SIGNATURE OF AGENCY REPRESENTATIVE       TITLE
   Mar 7, 2001 James L. Greene Records Officer

7. ITEM NO

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

   Official records that are created by the Physical Security Section in accordance with the DEA Records Schedule.

   1. File No. 250-01
      Facilities Survey and Inspection Files
      These files are based on GRS 18-9 and GRS 18-10.
      See attached files description and disposition.

   2. File No. 250-02
      Physical Security Program Management Files
      See attached files description and disposition.
PHYSICAL SECURITY FILES

These files relate to measures taken for the protection of Government owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss. These files deal primarily with the structural, technical, and procedural protections afforded an agency –occupied facility to deny unauthorized access.

File No. 250-01

Facilities Survey and Inspection Files. Reports of surveys and inspections of Government owned facilities, and privately owned facilities assigned security cognizance by Government agencies, conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. Documents include: a. Market survey consisting of evaluations and recommendations for new site locations. b. Pre-construction survey consisting of preliminary security design and reviews/analyses of operational requirements. c. Mid-year construction survey consisting of updated mid-construction reviews/analyses and recommendations. d. Final acceptance consisting of evaluations, recommendations, and agency acceptance for new construction or modifications of a facility. e. Cover letter and substantive report consisting of full documentation of the Comprehensive Physical Security Survey including evaluations and recommendations.

Disposition:

1. (a) Government owned facilities

(1) Market survey, pre-construction survey, or mid-construction survey:
   (a) Physical Security Section: Temporary. Destroy 3 years after completion of the respective survey. (GRS 18, item 9)
   (b) Other DEA Offices: Temporary. Destroy 1 year after completion of the respective survey.

(2) Final acceptance:
   (a) Physical Security Section: Temporary. Destroy when 3 years old when no longer needed for agency business, whichever is later.
   (b) Other DEA Offices: Temporary. Destroy when no longer needed for agency business.

(3) Cover letter and comprehensive report:
   (a) Physical Security Section: Temporary. Destroy 3 years from the completion date of the Comprehensive Physical Security Survey. (GRS 18, item 9)
   (b) Other DEA offices and the facility: Temporary. Destroy when no longer needed for agency business.

   Note: Individual sections of the survey may be destroyed when superseded by subsequent surveys.

2. (b) Privately owned facilities

(1) Market survey, pre-construction survey, or mid-construction survey:
   (a) Physical Security Section: Temporary. Destroy 4 years after completion of the respective survey (GRS 18, item 10)
   (b) Other DEA Offices: Temporary. Destroy 1 year after completion of the respective survey.
(2) Final acceptance:

(a) Physical Security Section: Temporary. Destroy when 4 years old or when no longer needed for agency business, whichever is later.

(b) Other DEA Offices: Temporary. Destroy when no longer needed for agency business.

(3) Cover letter and comprehensive report:

(a) Physical Security Section: Temporary. Destroy 4 years from the completion date of the Comprehensive Physical Security Survey.

(b) Other DEA Offices and the facility: Temporary. Destroy when no longer needed for agency business.

Note: Individual sections of the survey may be destroyed when superseded by subsequent surveys.

3. (c) 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 other items in this schedule. Temporary. Delete/Destroy after the recordkeeping copy has been produced.

File No. 250-02

Physical Security Program Management Files. Correspondence, instructions, studies, messages, interpretations, and coordinating actions related to the administration and operation of the physical program.

Disposition:

(a) Record copy: Temporary. Destroy when 6 years old. Earlier destruction is authorized if instructions, etc. are superseded, obsolete, or no longer needed for reference.

(b) 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 other items in this schedule. Temporary. Delete/Destroy after the recordkeeping copy has been produced.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

<table>
<thead>
<tr>
<th>1 FROM (Agency or establishment)</th>
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<th>2 MAJOR SUBDIVISION</th>
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<td>OFFICE OF ACQUISITION MANAGEMENT</td>
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<tr>
<th>4 NAME OF PERSON WITH WHOM TO CONFER</th>
<th>5 TELEPHONE</th>
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<tbody>
<tr>
<td>Christina K. Sisk</td>
<td>(202) 307-7777</td>
</tr>
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<tr>
<th>DATE</th>
<th>ARCHIVIST OF THE UNITED STATES</th>
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<tr>
<td>3-5-02</td>
<td>John W. Carl</td>
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<th>6 AGENCY CERTIFICATION</th>
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<td>I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,</td>
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\[ X \] is not required, \[ \] is attached, or \[ \] has been requested

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<tr>
<th>DATE</th>
<th>SIGNATURE OF AGENCY REPRESENTATIVE</th>
</tr>
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<tbody>
<tr>
<td>Jan 2002</td>
<td>JAMES L. GREENE</td>
</tr>
</tbody>
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<td>RECORDS OFFICER 202 307-7715</td>
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<tr>
<th>7 Item No.</th>
<th>8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</th>
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<tbody>
<tr>
<td>1</td>
<td>Individual Procurement Transaction Files</td>
</tr>
<tr>
<td></td>
<td>See attached files description and disposition</td>
</tr>
<tr>
<td></td>
<td>File No 490-01 thru 490-10</td>
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</table>

PREVIOUS EDITION NOT USABLE

STANDARD FORM SF 115 (REV. 3-91)
INDIVIDUAL PROCUREMENT TRANSACTION FILES

These files relate to the administration of individual procurement transactions which include documents concerning advertisements, requests for bids/proposals, evaluations, negotiations, awarding of awards of contracts, contract options, contract modifications, placement of purchase orders and delivery orders, interagency procurement agreements, and other comparable contract instruments. Individual procurement actions are filed in sequential order according to the register (log) number. Separate registers are maintained by fiscal year for each of the following types of procurements.

- Purchase Orders/Delivery Orders/Blanket Purchase Agreements (BPAs)
- Contracts
- Interagency Procurement Agreements.
- Purchase Card

Files that are known to be pertinent to an unsettled claim, incomplete investigation, or pending litigation will not be destroyed until settlement of the claim or completion of the investigation or litigation. Records relating to contracts involved in appeals handled by a Board of Contract Appeals will be retained as indicated in File No. 490-08.

The General Accounting Office has statutory responsibilities which require that purchasing and contracting files be made available for review.*

---

File No. 490-01

Superseded. See File No. 490-03.

File No. 490-02 (GRS No. 6-1a)

Interagency Procurement Agreement Files. Documents relating to "agreements" including Economy Act Agreements, between agencies for the purpose of obtaining services, equipment, or other materials according to the terms of existing contracts.

* Revision
Appendix A1-1
Page 72

(other than GSA Federal Supply Schedule contracts) that have been awarded by either DEA or Federal agencies. Interagency procurement agreements are filed alphabetically, using a separate folder for each agreement.

Disposition: Temporary. Destroy 6 years and 3 months after end of fiscal year in which payment is made.*

File No.490-03 (GRS No. 3-3a)

**Routine Procurement Files. Contract, requisition, purchase order, purchase card orders, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.

a. Contracts are filed according to sequential log numbers, with two folders maintained for each contract number. The first folder contains all required pre-award documents including the invitation for Bid or Request for Proposal checksheet, as applicable, and all correspondence relating to the pending contract. The second folder contains all required award and administration documents including copies of invoices and all correspondence and reports relating to the contract.

Closed contract files are to be labeled accordingly.

b. Purchase order documents include GSA Federal Supply Schedule Delivery Orders; GSA FEDSTRIP Orders; Blanket Purchase Agreements; included forms DEA-19, Requisition for Equipment, Supplies or Services; DEA-261, Informal Telephone Quotation, if applicable; DEA-264, Inquiry on Overdue Delivery, if applicable; SF-18, Request for Quotations, if applicable; OF-347/OF-348, Order for Supplies for Services and receiving reports; SF-44, Purchase Order-Invoice-Voucher; copies of invoices; and any order supporting correspondence or documentation which provides an audit trail of each purchase.

Purchase order documents are filed according to the sequential log number, using a separate folder for each number. Closed purchase order files should be labeled as such and separated from open purchase order files.
c. For purchase card orders, a separate folder must be established for each monthly cycle in the fiscal year. Each cycle folder must contain the bank statement for the cycle, and documents to support each transaction on the statement. The documents shall be in the order as they appear on the statement.

Disposition: a. Procurement or purchase organization copy, and related papers.

(1). Transactions dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").

(a). Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000: Temporary. Destroy 6 years and 3 months after final payment.
(b). Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000: Temporary. Destroy 3 years after final payment.


(a). Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000: Destroy 6 years and 3 months after final payment.
(b). Transactions that utilize small purchase procedures and all construction contracts under $2,000: Temporary. Destroy 3 years after final payment.

b. Purchase card documentation shall be destroyed 3 years after the date of the reconciliation.**

File No. 490-04 (GRS No. 3-12)

Tax Exemption Certificate Files. Documents and registers *(SF-1094, U.S. Tax Exemption Certificate, and SF-1094-A, Tax Exemption Certificates Accountability Record) relating to the issuance of tax exemption certificates which indicate proof that state and/or local taxes are excluded from the purchase price.*

Disposition: Temporary. Destroy documents 3 years after period covered by related account.

* Revision
** Addition
Appendix Al-1
Page 72.2

File No.490-05 (GRS 3-5c)

**Cancelled Solicitation Files.** Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers that were opened prior to cancellation, on any Government action up to the time of cancellation, and evidence of cancellation.

Disposition: Temporary. Destroy 5 years after date of cancellation.

File No.490-06

Market Survey Files. Documents relating to surveys made in attempt to ascertain the existence of sources that are capable of fulfilling unique product or service requirements, including evaluations of market survey responses.

Disposition: Temporary. Accepted survey responses become part of the specific purchase or contract file under File Number 490-03. Return unused survey responses to the vendor. Destroy correspondence after 3 years.

File No.490-07

Rejected Requisition Files. Documents relating to Requests for Equipment, Services or Supplies and Requests for Contracts that cannot be procured, including notification to the program office that initiated the request.

Disposition: Temporary. Destroy 1 year after end of fiscal year.

File No.490-08 (GRS 3-15a & b)

Contract Appeals Case Files. Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions, and all other related papers.

** Addition
Disposition: Temporary. Destroy 1 year after final action on decision.

3. File No. 490-09

Contract, Modification, and Purchase/Delivery Order Log Files. Binders containing the official register of sequential numbers that are assigned to formal solicitations, contracts, purchase/delivery orders (purchase order logs include GSA FEDSTRIP orders). A new register is established for each procurement category at the beginning of each year, beginning with the number 0001. Disposition: Destroy 10 years after end of fiscal year.

File No. 490-10 (GRS 3-18 a & b)

Electronic Mail and Word Processing System Copies Files. 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 schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: a. Copies that have no further administrative value after the recordkeeping copy is made: Temporary. Destroy/delete after the recordkeeping copy has been produced. b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy: Temporary. Destroy/delete when dissemination, revision, or updating is completed.

4. Electronic mail and word processing documents used solely to create the recordkeeping copy of the records covered by other items in this schedule.

Disposition: Delete/Destroy 180 days after the recordkeeping copy has been produced.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
College Park, MD 20740  

DATE RECEIVED 3-5-02

1 FROM (Agency or establishment)  
DRUG ENFORCEMENT ADMINISTRATION

2 MAJOR SUBDIVISION  
OFFICE OF ACQUISITION MANAGEMENT

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
Christina K. Sisk

5 TELEPHONE  
(202) 307-7777

6 AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,

X is not required,  ☐ is attached, or  ☐ has been requested

DATE  
10-17-02

SIGNATURE OF AGENCY REPRESENTATIVE  
JAMES L GREENE

TITLE  
RECORDS OFFICER 202 307-7715

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<th>Item No.</th>
<th>Description of Item and Proposed Disposition</th>
<th>GRS or Superseded Job Citation</th>
<th>Action Taken (NARA Use Only)</th>
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<td>1</td>
<td>Procurement Management File</td>
<td>File No 480-01 thru 480-11</td>
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</table>

See attached files description and disposition

PREVIOUS EDITION NOT USABLE

STANDARD FORM SF 115 (REV. 3-91)  
Prescribed by NARA 36 CFR 1228
PROCUREMENT MANAGEMENT FILES

These files relate to the management and administration of the procurement of equipment, services, supplies, and other materials. *Documents that relate to specific purchasing and contracting actions are contained in File Series 490. *

File No.480-01 (N1-170-89-1)

*Supplemental Regulations, Policies, and Decision Files. Documents relating to revisions, additions, interpretations, decisions, and comments in the Federal Acquisition Regulations, Justice Acquisition Regulations, Comptroller General Decisions, Federal Register Notices, Federal Acquisition Circulars, * and internal DEA policies and procedures on purchasing and contracting.

Disposition: Temporary. Destroy when superseded, obsolete, or no longer needed for reference.

File No.480-02 File (N1-170-89-1)

*Contracting Officer and Contracting Officer's Technical Representative Files. Documents relating to the delegation, revocation, and denial of contracting authority to/from specific individuals, including copies of Certificates of Appointment (SF-1402), and rosters of program office personnel who are designated as Contracting Officer's Technical Representatives (COTRs).

Disposition: a. File for active delegations of contracting authority. Temporary. Destroy 6 years and 3 months after close of fiscal year. b. Revoked or denied delegations: Temporary. Destroy 6 years and 3 months after date of revocation/denial. c. COTR rosters: Temporary. Destroy 6 years and 3 months after close of fiscal year. (Note: Documents appointing and terminating COTRs are part of the applicable contract file under File No.490-03.)

File No.480-03 (N1-170-89-1)

Procurement Reporting Files. Documents relating to reporting systems designed to provide statistics and status concerning purchasing and contracting activities.

* Revision
Included are various reports required by the Federal Acquisition Regulations, the Justice Acquisition Regulations, and DEA Administrative Manual Chapter 02, and special reports prepared on an as requested basis. *

Disposition: Temporary. Destroy 6 years and 3 months after end of fiscal year of preparation.

File No.480-04 (N1-170-89-1)

Procurement Reviews, Inspections, and Audit Files. Documents relating to the review, inspection, and audit of Headquarters and field purchasing and contracting activities. Included are reports by the Department of Justice Office of the Inspector General, the Department of Justice Office of the Procurement Executive, the General Accounting Office, the DEA Office of Inspections, and the results of on-site reviews and studies conducted by Headquarters Office of Acquisition Management Staff. Also included are recommendations for corrective actions, resolutions, and related follow-up correspondence.

Disposition: a. Temporary. Destroy 6 years and 3 months after date of final report or b. Temporary. Destroy 1 year after final resolution if pending longer than 6 years and 3 months. *

File No.480-05 (N1-170-89-1)

Procurement Misconduct Files. Documents relating to specific incidents of unauthorized or illegal procurement and copies of ratification documents regarding unauthorized procurements. Included are referrals to the Office of Professional Responsibility of suspected fraud, misconduct, or criminal conduct in connection with purchasing and contracting matters. *

Disposition: a. Temporary. Destroy 6 years and 3 months after date of final report or b. Temporary. Destroy 1 year after final resolution if pending longer than 6 years and 3 months.

File No.480-06 (NCl-170-89-1)

Debarred Bidder List Files. Documents relating to the debarment or suspension of bidders that prohibit contractual relationship with the u.s. Government.

* Revision
Included are the GSA Consolidated List of Debarred, Suspended, or Ineligible Contractors; status reports and recommendations relating to bidders appearing on the lists; modifications, deletions, and additions to the lists; and similar or related documents. *

Disposition: Temporary. Destroy when superseded, obsolete, or no longer needed for reference.

File No.480-07 (NC1-170-77-1)

Bidders Mailing List Files. Cards and source lists of firms for each service or item procured frequently or in significant quantities.

Disposition: Temporary. Destroy when superseded, or no longer needed for reference.

File No.480-08

**Advance Procurement Planning Files.** Documents relating to the implementation of the Advance Procurement Plan (APP), including the component submissions; final and revised (APPs); APP budget and accounting Object Class estimates; quarterly procurement projections; and cut-off dates for submission of Requests for Contracts and APP additions.

Disposition: Temporary. Destroy 3 years after close of fiscal year covered in the Advance Procurement Plan.

File No.480-09

GSA Activity Address Codes. Documents relating to the establishment and termination of GSA activity address codes to facilitate delivery of GSA orders to DEA offices.

Disposition: a. Temporary. Retain documents for current address codes until no longer needed for agency business. b. Destroy documents changing or terminating address codes two years after date of document.

* Revision
** Addition
File No.480-10 (N1-170-89-1)

Unsolicted Vendor Proposal Files. Documents relating to the receipt, acknowledgement, and evaluation of product or service solicitations from firms or individuals.

Disposition: Temporary. Accepted proposals become part of the specific purchase or contract file under File No.490-03. Return unsuccessful unsolicited proposals to the vendor. Destroy correspondence after 3 years.

File No.480-11 (GRS 3-17)

Small and Disadvantaged Business Utilization Files. Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Public Law 95-507.

Disposition: Destroy 3 years after the date of the correspondence report, study or statement.

Electronic mail and word processing documents used solely to create the recordkeeping copy of records covered by other items in this schedule.

Disposition: Delete/Destroy 180 days after the recordkeeping copy has been produced.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

**To** NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
College Park, MD 20740

**DATE RECEIVED** 6-30-2002

**1 FROM (Agency or establishment)**  
Department of Justice

**2 MAJOR SUBDIVISION**  
Drug Enforcement Administration

**3 MINOR SUBDIVISION**  
Statistical Services Section (ADSA)

**4 NAME OF PERSON WITH WHOM TO CONFER** Patrick Gartin  
**5 TELEPHONE** 202 307 8276

**6 AGENCY CERTIFICATION**  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,

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**DATE** 7-13-02  
**SIGNATURE OF AGENCY REPRESENTATIVE**  
JAMES L. GREENE  
**TITLE** RECORDS OFFICER 202 307-7715

**7 Item No**  
**8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION**  
The Statistical Services Section (ADSA)  
**CASE STATUS SYSTEM (CAST)**  
(see attached sheets)

**9 GRS OR SUPERSEDED JOB CITATION**  
**10 ACTION TAKEN (NARA USE ONLY)**
1. Case Status System (CAST)

Program: Executive Policy and Strategic Planning Staff/Statistical Services Section

Applicability: Agency-wide

Identifying Information:

Description: The CAST system is a mission-critical on-line interactive application system that creates and maintains a life cycle record of each case file within the Drug Enforcement Administration (DEA). The system is available to authorized users having telecommunications access to the Department of Justice (DOJ) Computer Center. The system is accessed on a daily basis by DEA management personnel in support of DEA case management. The system is used to identify the status of individual cases and it provides a master case list for enforcement program statistics. The system serves as a central file ledger for all cases and general files, retrieves information, provides statistics, case review scheduling, and GDEP, program codes and group numbers information. The DEA application systems which use CAST data include CPA, DRUGX, DSS, MSQ, NADDIS, NADDISAM, STRIDEQ, TOLLS, WRS, NDPIX, and WRSA.

Specific Restrictions: Highly sensitive law enforcement information.

Vital Record: Yes.


Disposition Information:

a. System inputs: Copies of DEA Form-6 (Report of Investigation), including program codes, containing information relevant to a case, case review schedules, statistical information, and key bound data entered by data entry personnel and investigative assistants from terminals and workstations teleconnected to the Department of Justice mainframe. Also includes data from the Narcotics and Dangerous Drugs Information System (NADDIS), Central Reference System (CRS), Confidential Source System (CSS), EVENTS System, Multisource Query System (MSQ), and TOLLS System.

TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b. System data: Copies of DEA Form 6 (Report of Investigation), includes program codes, types of action, cross file information, related files, file number, file title, G-DEP identifier, date prepared, synopsis of the investigation, division or district, name of agent assigned to the case, closing date, and group number to M204 system.

PERMANENT. Copy data offline 25 years after close of case. Transfer to the National Archives in accordance with 36 CFR 1228.270. Public access restricted for 75 years after close of case.

c. System outputs: Online outputs are basic, partial, and full record displays. Online cross tabulated statistical reports for case level and file status, drug and scope, and drug category displays. Offline outputs are not available.
TEMPORARY. Destroy/delete 25 years after case is closed.

d. System documentation: Case Status Users Guide located on the DOJ Firebird mainframe, record layouts, and data dictionary.

PERMANENT. Transfer to the National Archives with system data as indicated in item 1b above.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

**TO** NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1 FROM (Agency or establishment)  
DRUG ENFORCEMENT ADMINISTRATION

2 MAJOR SUBDIVISION  
El Paso Intelligence Center

3 MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER  
Dan W. Hatfield  
(915) 760-2116

5 TELEPHONE

**DATE RECEIVED**  
7-25-2002

**NOTIFICATION TO AGENCY**

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

**DATE**  
1-6-03

**ARCHivist of the united states**  
John W. Paul

6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required; ☐ is attached; or ☐ has been requested.

**DATE**  
July 24, 2002

**SIGNATURE OF AGENCY REPRESENTATIVE**  
James L. Greene

**TITLE**  
Records Officer (202) 307-7715

7 ITEM NO

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

1 Clandestine Laboratory Seizure System (CLSS)

File No. 1220-58

(see attached schedule)
1. Clandestine Laboratory Seizure System (CLSS)

Program: El Paso Intelligence Center

Applicability: Agency-wide

Identifying Information:

Description: The CLSS, maintained at the El Paso, Texas Intelligence Center, provides clandestine laboratory seizure information to DEA and other law enforcement agencies in the discharge of their law enforcement duties and responsibilities mandated by pertinent U.S. Statutes, Treaties, Executive Orders, Attorney General Directives and Presidential Proclamations. The system contains information regarding individuals known, suspected, connected with or alleged to be involved in the manufacturing, distribution, sale, possession, and trafficking in controlled substances.

Specific Restrictions: Highly sensitive law enforcement information.

Vital Record: Yes.


Disposition Information:

a. System inputs: (1) DEA Intelligence and investigative records, (2) reports, investigative and intelligence reports from other participating and associate Federal and State member agencies, (3) records and reports of foreign law enforcement and regulatory agencies.

   TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b. System data: (1) personal identification and location data which may include name (aliases and soundex), occupation(s), race, sex, dates and place of birth, height, weight, hair color, eye color, citizenship, nationality/ethnicity, alien status, addresses and miscellaneous numbers (telephone, passport, drivers license, vehicles registration, social security number, et cetera), (2) multi-source drug intelligence data, (3) counter-drug enforcement information, including identification, location, arrest and prosecution of persons involved in the illicit trade for trafficking and related activities and civil proceedings related to such enforcement activities, (4) information targeted on an individual or group of individuals involved in the illicit trade in controlled substances either in the United States or internationally, (5) reports of arrests, (6) information involving the illicit possession, manufacturing, sales, and purchases of controlled substance, and (7) information involving the transport of controlled substances, either inside the United States or internationally.

   PERMANENT. Copy data offline 25 years after file is created. Transfer to the National Archives in accordance with 36 CFR 1228.270. Public access restricted for 75 years.
c. System outputs: Various reports.

TEMPORARY. Destroy when 5 years old or no longer needed for agency business, whichever is sooner.


PERMANENT. Transfer to the National Archives with the system data as indicated in items 1b above.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

**TO:** NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. **FROM (Agency or establishment):** DEPARTMENT OF JUSTICE

2. **MAJOR SUBDIVISION:** DRUG ENFORCEMENT ADMINISTRATION

3. **MINOR SUBDIVISION:** POLICY AND PROCEDURES SECTION

4. **NAME OF PERSON WITH WHOM TO CONFER:** ROBERT BUCKWATER

5. **TELEPHONE:** 202 307 7522

6. **AGENCY CERTIFICATION:**

   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

   - [ ] is not required;
   - [ ] is attached; or
   - [ ] has been requested.

   **DATE:** 30 OCT 2002  
   **SIGNATURE OF AGENCY REPRESENTATIVE:** JAMES L. GREENE (202) 307 7715  
   **TITLE:** CHIEF, RECORDS MANAGEMENT UNIT

7. **ITEM NO.**  

   8. **DESCRIPTION OF ITEM AND PROPOSED DISPOSITION:**

   1. **CONFIDENTIAL SOURCE SYSTEM**

      (see attachment)

---

**LEAVE BLANK (NARA use only)**

**JOB NUMBER:** N1-170-03-1  
**DATE RECEIVED:** 10-31-02  
**DATE:** 11-03  
**ARCHIVIST OF THE UNITED STATES:**

**NOTIFICATION TO AGENCY:**

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.
1. Confidential Source System (CSS)

Program: Policy and Procedures Section

Applicability: Agency-wide

Identifying Information:

Description: The Confidential Source System (CSS) is a mission-critical online interactive application system that facilitates the management of confidential sources with DEA. The main purpose of CSS is to record the utilization of confidential sources pursuant to DOJ guidelines.

Specific Restrictions: Highly sensitive law enforcement information.

Vital Record: No.


Disposition Information:

a. System inputs: Form DEA-512 (Confidential Source Establishment). Also includes data from the Narcotics and Dangerous Drugs Information System (NADDIS), including Form DEA- 202 (Personal History Report).

   TEMPORARY. Destroy/Delete after the data has been transferred to the master file and verified.

b. System data: Name (real and alias), NADDIS number, date and place of birth, FBI number, social security number, race, ethnicity, sex, hair color, color of eyes, height, weight, address, identifying characteristics, occupation, employer, passport information, drivers license information, family information (mother, father, siblings, spouse, and other relatives), confidential source type (regular, defendant, restricted special payment), criminal history, name of confidential source coordinator, name of requesting agent and approving supervisor.

   TEMPORARY. Destroy/delete data when 25 years old or when no longer needed for agency business, whichever is longer.

c. System outputs: None


   TEMPORARY. Destroy when no longer needed for agency business.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

FROM (Agency or establishment)
Department of Justice

Date received
12-3-2002

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

MAJOR SUBDIVISION
Drug Enforcement Administration

MINOR SUBDIVISION
Executive Policy and Strategic Planning Staff

NAME OF PERSON WITH WHOM TO CONFER
Lois Springer

TELEPHONE NUMBER
202-307-7421

DATE
6-19-03

ARCHivist OF THE UNITED STATES

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 1 page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required  ☐ is attached, or  ☐ has been requested

SIGNATURE OF AGENCY REPRESENTATIVE
James L Greene

TITLE
Records Officer

ITEM NO

DETAILED DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

1. FFS: 601-36
DEA WEEKLY REPORTS OF SIGNIFICANT ACTIVITY
AND ITEMS OF INTEREST.

The teletypes reported by the Administrator summanzing
weekly significant activities and items of interest to inform
the Attorney General and DEA staff of significant activities
that have occurred during the week, to include arrests,
seizures, conferences, training, and meetings. May
contain DEA Sensitive or Confidential information. The
teletypes are composed through feeder reports from
Headquarters and Field Offices by the Executive Policy
and Strategic Planning Staff.

a. Official File. Headquarters Executive Policy and
Strategic Planning Staff Office. Electronic FINAL
Summanzed Weekly Significant Activities and Items of
Interest Report

PERMANENT. Transfer to the National Archives when
15 years old in accordance with 36 CFR 1220
1228.270. (Public access restricted for 25 years
after transfer).

JOB NUMBER
N1-170-03-2

DATE
Dec 30, 2002

GRS OR SUPERSEDED JOB
CITATION

ACTION TAKEN
(NARA USE ONLY)

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA 36 CFR 1229
b. Electronic copies of feeder reports in other Headquarters and Field Offices.

   TEMPORARY. Destroy when no longer needed for agency business.

c. All other copies.

   Temporary. Destroy when no longer needed for agency business.

d. Electronic copies of records that are created using electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

   TEMPORARY. Delete/destroy after the recordkeeping copy has been produced.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

<table>
<thead>
<tr>
<th>TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>WASHINGTON, DC 20408</td>
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</tbody>
</table>

1. FROM (Agency or establishment)
   Department of Justice

2. MAJOR SUBDIVISION
   Drug Enforcement Administration

3. MINOR SUBDIVISION
   Office of Forensic Sciences

4. NAME OF PERSON WITH WHOM TO CONFER
   Mary Greene, Chief, SFH

5. TELEPHONE
   202307-8872

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached, or has been requested.

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<th>TITLE</th>
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<tr>
<td>4 Feb 2003</td>
<td>James L. Greene</td>
<td>Records Officer</td>
</tr>
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7. ITEM NO. 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

1. FFS. NO. 1220-59

   Hazardous Waste Disposal System
   (See attached sheets)
1. **Hazardous Waste Disposal System (HWDS)**

**Program:** Office of Forensic Sciences

**Applicability:** Hazardous Waste Disposal Section (HWDS)

**Identifying Information:**

**Description:** The Hazardous Waste Disposal System (HWDS) assists members of the Drug Enforcement Administration, Office of Forensic Sciences, Hazardous Waste Disposal Section in the task of accurately tracking and reporting funds for hazardous waste cleanup operations associated with the seizure of clandestine drug laboratories. HWDS also tracks the chemicals seized to their final EPA approved disposal. The application provides data entry forms for all important system information such as fund sites, case records, and contractors. HWDS provides a comprehensive selection of reports as required by DEA management. In addition, the system provides the ability via the agency intranet to create ad hoc queries.

**Specific Restrictions:** Yes.

**Vital Record:** No

**Specific Legal Requirement:** Controlled Substances Act (CSA), Title II of the Comprehensive Drug Abuse Prevention and Control Act of 1970.

**Disposition Information:**

a. **System inputs:** Job information (DEA case number, date, location, et cetera) provided by DEA agents, invoice and manifest information provided by DEA contractors.

   TEMPORARY. Destroy/Delete after the data has been transferred to the master file and verified.

b. **System data:** The system contains 5 years of data (1997-present). Data elements may include the following: appropriation number, fiscal year, issue date, cleanup type, city, state, contract area, funding source, case number, job number, cost estimate, amount, invoice numbers, manifest numbers, number of containers, container size, contractor number, chemical identification number, and DEA point of contact.

   TEMPORARY. Destroy/delete data when 75 years old.

c. **System outputs:** Reports containing DEA contractor invoice data that is uploaded into the Federal Financial System.

   TEMPORARY. Destroy when data has been verified into Federal Financial System.

d. **System documentation:** User manual

   TEMPORARY. Destroy when system becomes superseded or obsolete.
e. Electronic mail and word processing copies: Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of records covered by other items in this schedule.

TEMPORARY. Destroy when recordkeeping copy has been generated.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

**TO:** NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. **FROM (Agency or establishment)**  
DEPARTMENT OF JUSTICE

2. **MAJOR SUBDIVISION**  
DRUG ENFORCEMENT ADMINISTRATION

3. **MINOR SUBDIVISION**  
OFFICE OF CONGRESSIONAL AND PUBLIC AFFAIRS

4. **NAME OF PERSON WITH WHOM TO CONFER**  
Donal Joseph  
Steven Towne

5. **TELEPHONE**  
202 307 7967

6. **AGENCY CERTIFICATION**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.

**DATE**  
20 Feb 2003

**SIGNATURE OF AGENCY REPRESENTATIVE**  
JAMES L. GREENE

**TITLE**  
RECORDS OFFICER 202 307 7715

7. **ITEM NO.**

8. **DESCRIPTION OF ITEM AND PROPOSED DISPOSITION**

1. FFS: 1220-60

DEA OFFICIAL WEBSITE/WEBPAGE

(Description Attached)

9. **GRS OR SUPERSEDED JOB CITATION**

10. **ACTION TAKEN (NARA USE ONLY)**
Background Information:

The Drug Enforcement Administration (DEA) of the U. S. Department of Justice, created by Reorganization Plan Number 2 of 1973 (5 U.S.C. app.), is the lead Federal agency in enforcing narcotics and controlled substance laws and regulations.

The DEA website is a Federal government website, and has been created to disseminate information and documents to the public about DEA and to show how the agency is carrying out its mission. The Office of Public Affairs (OPA) administers the site and oversees the development, planning, and management of the agency’s public affairs program that includes the maintenance and operation of the www.justice.gov/dea website. In addition, OPA is responsible for the automated technology requirements associated with the website and working with the contractor who hosts the website server.

1. Website Content Records.

The DEA website contains recent news items, including news releases, speeches and testimony of the Administrator, and a Freedom of Information (FOIA) reading room. The website also contains briefs and background materials on such topics as drug characteristics, drug trafficking, state fact sheets, law enforcement information on recent cases, major operations, intelligence reports, and a fugitive list. Copies of drug policies, including the Controlled Substance Act, drug trafficking penalties, and drug scheduling information is included as well. A list of DEA resources to assist contractors, job applicants, law enforcement personnel, legislators, parents and teachers, physicians, and students is also included. The website also contains useful information pertaining to the DEA leadership, its mission and programs, the DEA Museum, an agency history, the DEA Wall of Honor, and acquisitions and contracts.

TEMPORARY. Documents may be removed from the website when no longer current and save electronically for 5 years.

2. Website Management Files.

Documents created or received in the development, design, implementation, operations, and maintenance of the DEA website.

TEMPORARY. Destroy when 5 years old

3. Electronic versions of records created using electronic mail or word processing applications.

TEMPORARY. Delete after the recordkeeping copy has been produced.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
College Park, Md 20740

DATE RECEIVED: 4-22-2003

1. FROM (Agency or establishment)
   Department of Justice

2. MAJOR SUBDIVISION
   Drug Enforcement Administration

3. MINOR SUBDIVISION
   Office of Information Systems (SI)

4. NAME OF PERSON WITH WHOM TO CONFER
   Deborah Roberts, Project Manager

5. TELEPHONE
   202 307 5437

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,

   ☒ is not required, ☐ is attached, or ☐ has been requested

DATE: 2/22/2003

SIGNATURE OF AGENCY REPRESENTATIVE
James L. Greene

TITLE
Chief, Records Management Unit

7. Item No.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
   File No. 1220.57
   Request for Information Technology Services (RITS)
   (see attachments)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

STANDARD FORM SF 115 (REV. 3-91)
Prescribed by NARA 36 CFR 1228
Request for Information: Technological Services (RITS)

Program: Office of Information Services (SI)

Applicability: Office of Information Systems

Identifying Information:

Description: RITS incorporated the prototype JETform DEA Form 195 for data entry, tracking and reporting purposes; tracks targeted and actual version control numbers for Firebird and Model 204 applications per 195 and project; identifies 195s as Adhocs, Administrative, System Change Packages (SCP) or Interim Change Packages (ICP), with associated priority levels for ICPs; identifies projects as Firebird or M204 applications; provides a Configuration Management (CM) interface to identify SCR numbers and Firebird Build numbers with 195s; provides the capability to bundle 195s into SCPs for Firebird Builds or Model 204 migration; provides an interface for the verification of M204 procedures migrated per 195; provides an email notification to alert project manager of an unsuccessful M204 migration; established role-based access to the system; provides an on-line query capability; generates the RITS version of the DEA Form 195, provides an earned value report of technical hours per 195 and project; provides for weekly labor hour tracking of project team by member and work category for each 195; grants contractor access role ability to update weekly project member hours; allows government project managers the ability to view, create and update only 195s for their specific projects; allows contractor access to only those 195s to which they are assigned; and provides an import functionality to mass-import contractor hours using an Excel spreadsheet template.

Specific Restrictions: None

Vital Record: No

Specific Legal Requirements: None

Disposition Information: The main functionality of RITS is tracking DEA Form 195 requests in SIS. With each DEA 195, the project team assigned, their weekly labor hours, and the project estimates (in hours) are recorded. RITS internally tracks targeted and actual version control numbers for each system. It allows the user to classify DEA 195 requests as Software Change Packages (SCPs), Interim Change Packages (ICPs) with priority level, Ad-hoc, or Administration.

RITS includes a bundling process for both Firebird and M204 applications. It provides a Configuration Manager (CM) interface, which allows the CM to update Software Configuration Control Board (SCCB) approval, as well as, assign a System Change Request (SCR) number and Build information for Firebird requests. A Migration Verifier interface has been added to RITS that will allow the email of an internal error report to the project manager if any procedures were not successfully migrated for M204 requests.

a. System Inputs. DEA Form 195 used for requesting informational technological services.

Temporary. Destroy/delete 5 years after the data has been transferred to the master file and verified.

b. System Data. Reports of Hours to develop, maintain or enhance software applications for DEA. RITS is used to track DEA 195 requests, weekly hours, and version control for various systems.
Temporary. Destroy/delete 5 years after project Reports of Hours have been completed.

c. System outputs. RITS produces four online reports: the standard DEA Form 195, Current System VCNs, Earned Value Hours by 195, and Earned Value Hours by VCN. The RITS contractor will provide project management, convert the RITS back-end from MS Access to Oracle, modify/create software to eliminate deficiencies and to provide enhanced features in RITS, and will perform an impact analysis to convert RITS front-end to a web-based front-end. Offline outputs are not available.

Temporary. Destroy when no longer needed or when superceded.


Temporary. Maintain for life of system and destroy when no longer needed for operational purposes, whichever is later.

e. Email and wordprocessing system copies.

Electronic copies of records that are created on electronic mail and word processing system and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

FROM (Agency or establishment)
Department of Justice

MAJOR SUBDIVISION
Drug Enforcement Administration

MINOR SUBDIVISION
Domestic Strategic Intelligence Unit (NTSD)

NAME OF PERSON WITH WHOM TO CONFER
Unit Chief Steven M. Towne

TELEPHONE
202 307 7871

DATE RECEIVED
6/26/03

WASHINGTON, DC 20408

DATE
11 Jun 2003

SIGNATURE OF AGENCY REPRESENTATIVE
Joyce M. Conyers, 202-307-7720

TITLE
SARR, Records Officer

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

\[\checkmark\] is not required; \[\ ] is attached; or \[\ ] has been requested.

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

<table>
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<th>ITEM NO.</th>
<th>DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</th>
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<tbody>
<tr>
<td>1</td>
<td>FFS: 370-26 Internal DEA Web Pages. (See attached schedule)</td>
</tr>
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9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

LEAVE BLANK (NARA use only)

JOB NUMBER
N1-170-03-6

DATE
6/26/03

NOTIFICATION TO AGENCY
In accordance with the provisions of 44 USC 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

[Attached Schedule]

115-109
NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228
1. Internal DEA Web Pages.

The DEA internal web pages or Intranet contains information available solely to DEA personnel having access to the DEA Firebird system. The site contains such links as publications, updated briefings regarding trends in drug trafficking, including photographs, and reference information pertaining to specific drugs.

TEMPORARY. Delete when superceded or obsolete.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NAR) |
| WASHINGTON, DC 20408 |

| 1 FROM (Agency or establishment) |
| Department of Justice |

| 2 MAJOR SUBDIVISION |
| Drug Enforcement Administration |

| 3 MINOR SUBDIVISION |
| ADSD |

| 4 NAME OF PERSON WITH WHOM TO CONFER |
| Richard Parks |

| 5 TELEPHONE |
| 202 307 7871 |

| 6 AGENCY CERTIFICATION |
| I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, |

| □ is not required; □ is attached; or □ has been requested. |

| DATE |
| 11Jun 2003 |

| SIGNATURE OF AGENCY REPRESENTATIVE |
| Joyce M. Conyers, 202-307-7720 |

| TITLE |
| SARR, Records Officer |

| 7 ITEM NO. |
| 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION |
| 9 GRS OR SUPERSEDED JOB CITATION |
| 10 ACTION TAKEN (NARA USE ONLY) |

| ITEM NO. |
| 1 |

| DESCRIPTION OF ITEM AND PROPOSED DISPOSITION |
| FFS: 630-76 |

1. Diversion Validation Tracking and Electronic Filing System

(See attached schedule)
1. Diversion Validation Tracking and Electronic Filing System

Program Executive Policy and Strategic Planning Staff/Diversion Fee Account Validation Unit (ADSD)

Applicability For Use by ADSD Only

Identifying Information

Description The Diversion Validation Tracking and Electronic Filing System is a mission-critical on-line interactive application system that creates and maintains a life cycle record of each Drug Diversion Control Fee Account (DDCFA) obligation greater that $500 within the Drug Enforcement Administration (DEA). The system is accessed on a daily basis by members of the Diversion Fee Account Validation Unit (ADSD) in support of the Diversion Control Program. The system is used to identify the funding ratio of individual requests and it provides a master list of requests for program/funding statistics. The system serves as a central file ledger for all ADSD validations, provides statistics, and provides various reports.

Specific Restrictions Documents necessary to validate the cost of the Diversion Control Program and set fees accessed upon the program’s Registrant populace

Vital Record Yes


Disposition Information

a System inputs The Diversion Validation Tracking and Electronic Filing System was developed to provide an on-line access to serve as an automated central file ledger for all Drug Diversion Control Fee Account (DDCFA) validated obligations, provide statistics and reports about the validations, and serve as a management aide for Field review scheduling. The sources for this data are hardcopy documents submitted to ADSD by various DEA field and headquarters offices.

TEMPORARY Destroy/delete after the data has been transferred to the master file and verified

b System data Request for use of Drug Diversion Control Fee Account Funding. Contains Social Security numbers of employees/travelers, DEA case numbers, Confidential Source numbers, and funding citations.

1 Funding activity that is associated with a DEA case file.

TEMPORARY Cutoff at the close of the case file. Delete data associated with a DEA case file in 25 years after cutoff. (Investigative case files are previously approved under disposition authority NC1-170-077-1, File Numbers 601-07 and 601-08)

2 All other Drug Diversion Control Fee Account Funding

TEMPORARY Cutoff at the end of the Fiscal year. Delete 7 years after cutoff.
c  System outputs  Online outputs are basic, partial, and full record displays. Records include retrievable scanned images of validated documents and online queried data. Specialized queries are available in a variety of retrieval choices.

TEMPORARY  Destroy when no longer needed for reference purposes

d  System documentation  ADSD Standard Operating Procedures (SOP) have been developed and will be included in agency management manuals.

TEMPORARY  Destroy when superseded or obsolete

e  Electronic mail and word processing copies  Electronic copies of records created on electronic mail and word processing systems used solely to generate a recordkeeping copy of records covered by other items in this schedule.

TEMPORARY  Destroy when recordkeeping copy has been generated
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   Department of Justice

2. MAJOR SUBDIVISION
   Drug Enforcement Administration

3. MINOR SUBDIVISION
   Office of Diversion Control

4. NAME OF PERSON WITH WHOM TO CONFER
   Stephen Via

5. TELEPHONE
   202-307-8294

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.

   DATE
   Aug 03

   SIGNATURE OF AGENCY REPRESENTATIVE
   Gail Smith Alexander

   TITLE
   Program Manager, SARR

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

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<td>Chemical Transaction Analysis System (CTRANS)</td>
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9. GRS OR SUPERSEDED JOB CITATION

| FFS: 630-12 |
| N1-170-94-1 |

10. ACTION TAKEN (NARA USE ONLY)

|                     |
|                     |

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228
Chemical Transaction Analysis System (CTRANS)

Program: Office of Diversion Control

Applicability: Office of Diversion Control

Identifying Information:

Description: The CTRANS is a data warehouse used for the data entry and retrieval of chemical transactions obtained from various sources by the Drug Enforcement Administration. The Mail Order System (MOS) contains transactions of the domestic distribution of non-prescription drug products that contain certain List I Chemicals from mail order pharmacies to individuals. The MOS was developed to support the Comprehensive Methamphetamine Control Act (CMCA) of 1996. The Import/Export (IMEX) System contains transactions of the imports into the United States and exports from the United States of listed chemicals. The IMEX was developed to support the Chemical Diversion and Trafficking Act (CDTA) of 1988. The Chemical Handlers Enforcement Management System (CHEMS) contains information on and about domestic and international chemical handlers. The information in this module is obtained from various sources such as cables (DEA Form-6) and Sources of Information (SOI). The CHEMS was developed to support the Domestic Chemical Diversion Control Act (DCDCA) of 1993. The information contained in these modules of the CTRANS is used to monitor and track the distribution of listed chemicals and identify suspicious transactions and relationships between chemical distributors from the wholesale level to the retail level. Basically, the CTRANS tracks the distribution of listed chemicals that can be used in illicit drug production and provides this information for analysis and reporting through online access via the Firebird network.

Relevant records or any relevant facts derived there from may be disclosed to the following categories of users for the purposes stated:

- Other Federal law enforcement and regulatory agencies for law enforcement or regulatory purposes
- State and local law enforcement and regulatory agencies for law enforcement and regulatory purposes
- International Narcotics Control Board as required by treaty obligations
- News media and the public pursuant to 28 CFR 50.2, unless it is determined that the release of specific information in the content of a particular case would constitute an unwarranted invasion of personal privacy
- Members of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record
- National Archives and Records Administration (NARA) and to the General Services Administration (GSA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906
Specific Restrictions: Access to the system is restricted to DEA employees on a ‘need to know’ basis who have appropriate security clearances.

Vital Record: No.

Specific Legal Requirements:
1. Chemical Diversion and Trafficking Act of 1988
2. Domestic Chemical Diversion Control Act of 1993

Disposition Information: CTRANS currently consists of three fully functional modules for the collection of data relating to the imports/exports of listed chemicals and domestic mail order sales of certain List I Chemicals. These modules are the Mail Order System (MOS) module, the Import/Export System (IMEX) module, and the Chemicals Handlers Enforcement Management System (CHEMS) module.

A. System Inputs: Documentation used for data entry.

1. Mail Order System (MOS). There is no standard form required for system input. The documentation which supports the MOS is provided by drug companies in various media and formats.

Temporary. Destroy upon data input and verification in MOS or when no longer needed for reference purposes, whichever is latest.

2. Import/Export System (IMEX). The primary source document for system input used by IMEX is the Import / Export Declaration (Form DEA 486).

Temporary. Destroy upon after data input and verification in IMEX or when no longer needed for reference purposes, whichever is latest.

3. Chemical Handlers Enforcement Management System (CHEMS). The documentary source used for system input by CHEMS is the Report of Investigation (Form DEA-6).

Temporary. Destroy upon data input and verification in CHEMS or when no longer needed for reference purposes, whichever is latest.

B. System Data: Data received/extracted from online pharmaceutical companies, chemical companies, company invoices, import/export declarations, and DEA investigative reports. The system contains records dating back to 1988 relating to CHEMS data. Most records date from 1996 to present.

1. Mail Order System (MOS) module. The MOS module documents non face-to-face transactions of non-prescription drug orders. Data elements include buyer
name and address, seller information, chemical, shipping information, volume, and the lot number for the chemical.

**Temporary.** Delete when 5 years old or when no longer needed for reference purposes, whichever is later.

2. *Import/Export System (IMEX)* module. The IMEX module documents any shipments of List I and List II chemicals that come into the United States. This information is shared daily with the U.S. Customs Service.

**Temporary.** Delete when 5 years old or when no longer needed for reference purposes, whichever is later. (Supercedes FFS: 630-12, N1-170-94-1.)

3. *Chemicals Handlers Enforcement Management System (CHEMS)* module. The CHEMS module consolidates chemical handler data collected from many sources to support the regulation of certain chemicals under the Chemical Diversion and Trafficking Act of 1988. CHEMS provides DEA users with an effective means by which to manipulate data regarding companies and their shipments of precursor chemicals that indicate a potential for suspect drug activity.

**Temporary.** Delete when 25 years old or when no longer needed for reference purposes, whichever is later.

C. **System Outputs:** Ad hoc queries, statistical analysis across modules, and management reports.

**Temporary.** Destroy/delete when no longer needed or when superceded.

D. **System Documentation:** System design manual, user manual, maintenance manual, and development documents.

**Temporary.** Maintain for life of system and destroy when no longer needed for operational purposes, whichever is later.

E. **Email and Word-processing System Copies:**

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   Department of Justice/Drug Enforcement Administration

2. MAJOR SUBDIVISION
   Office of Investigative Technology

3. MINOR SUBDIVISION
   Polygraph Support Unit

4. NAME OF PERSON WITH WHOM TO CONFER
   Jon W. Wicker

5. TELEPHONE
   703-495-6919

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached; or has been requested.

   DATE
   12/04/2003

   SIGNATURE OF AGENCY REPRESENTATIVE
   [Signature]

   TITLE
   Program Manager, SARR

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

<table>
<thead>
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<tr>
<td>1</td>
<td>FFS: 601-35 Polygraph Program Files</td>
</tr>
</tbody>
</table>

9. GRS OR SUPERSEDED

10. ACTION TAKEN (NARA USE ONLY)

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228
Polygraph Program Files
FFS: 601-35

Program: Office of Investigative Technology

Applicability: Office of Investigative Technology

Identifying Information:

Polygraph Program Files include records documenting the findings and conclusions resulting from interpretations of polygraph examinations performed in support of investigations involving drug enforcement, employment applicants, and integrity issues. As the agency's master file, these records should also include polygraph charts, audio tapes, statements of consent, medical waivers, and other polygraph-related materials.

Specific Restrictions: Access is limited due to Privacy Act / FOI issues.

Vital Record: Yes.

Specific Legal Requirements: U.S. District Court Order: Segar v. Bell. Civil Action No. 77-0081

1. Integrity Case Files. Forms related to the performance of a polygraph and the polygraphs related to investigations by the Office of Professional Responsibility, involving criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. Related records are located in the Office of Professional Responsibility under File No. 201-03 (N1-170-89-1).

Disposition: Destroy 10 years from date case was opened if closed for at least 1 year. Cases not closed after 10 years will be retained for 1 year after closing before disposition.

NOTE: Cases pertaining to GS/GM 1811 personnel (agent): Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with approved disposition.


a. Case files document the processing of investigations regarding federal employees or applicants for federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for DEA under contract who require approval before having access to DEA facilities or to sensitive data. Questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of investigations and the status of clearances, exclusive of copies of investigative reports furnished by the investigative agency include, but are not limited to,
Polygraph Examiner’s Reports of Investigation (DEA 6c). Related records are located under File No. 210-01 (GRS No. 18-22a).

Disposition: Destroy upon notification of death, or no later than 5 years after separation or transfer of employee, or no later that 5 years after contract relationship expires, which ever is applicable. (GRS No. 18-22a)

b. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.

Disposition: Destroy in accordance with investigative agency instructions. (GRS No. 18-22b)

c. Index to the Personnel Security Files.

Disposition: Destroy with related case files. (GRS No. 18-22c)

NOTE: Cases pertaining to GS/GM 1811 personnel (agent): Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with approved disposition.

3. Active Employment Application Files. (GRS 1-15) Documents pertaining to individuals who can be considered for appointment. Applications and related documents are included. Related records can be found under File No. 540-02, which are covered under GRS 1-15.

Disposition: Destroy upon receipt of OPM inspection report or when two years old, which ever is earlier.

4. Numbered Investigative Case Files. DEA reports of investigation concerning offenses related to violations of drug/narcotic laws and required inspections of registrant activities. Reports of Investigation and supporting documents are included. Related records can be found under File No. 601-07, which are covered under NC1-170-77-1.

Disposition:

a. Files created in 1968 and afterward:

(1) Originating domestic offices and Investigative Records Unit, Records Management Section, will transfer closed case files when 10 years old, in 1 year groups, to Federal records center. Case files opened longer than 10 years will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever is later.

(2) Originating foreign offices will transfer closed case files when 3 years old, in 1 year groups, to Federal records center. Case files opened longer than 3 years will be retained until closed and then transferred to Federal records center. Destroy when 25
years old (i.e. 25 years after date the file was opened) or 22 years from date of last correspondence, whichever date is later.

b. Files created prior to 1968: Originating District and Resident offices and Investigative Records unit, Records Management Section, are authorized to destroy all closed FBN case files that were opened in 1955 or earlier. Transfer closed FBN and BDAC case files opened after 1955 to Federal Records Center in calendar year 1980. Open case files will be retained until closed and then transferred to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 10 years from date of last correspondence, whichever date is later.

c. Field offices will dispose of case files originated by other District or Resident Offices according to File No. 601-12 Other Field Office Investigative Files, which is covered under NIC-170-89-1.

5. Confidential Sources. Previously referred to as “cooperating individual” files. These documents reflect information concerning confidential sources relative to drug/narcotics offenses. Related records can be found under File No. 601-09, which are covered under NC1-170-77-1.

Disposition:

a. Unnumbered files: Transfer inactive files (5 years after date of last correspondence) to Federal records center in calendar year 1979. Active files will be retained until they become inactive and then transferred to Federal records center as indicated in paragraph b. below. Destroy in calendar year 1993 or 20 years from date of last correspondence, whichever date is later.

b. Numbered files with reporting (originating) office designator:

(1) Domestic offices will transfer inactive files (i.e., 5 years after date of last correspondence) 10 years after date the files were opened, in 1 year groups, to Federal records center. (CI files will not be sent to the center at Laguna Nigel, CA.) Offices having files still active after 10 years, will retain the files until they become inactive and forward the files to Federal records center. Destroy when 25 years old (i.e., 25 years from date the file was opened) or 20 years from date of last correspondence, whichever date is later.

(2) Foreign offices will transfer inactive files (i.e., 2 years after date of last correspondence), 3 years from date the file was opened in 1 year groups to Federal records center. Offices having files still active after 3 years will retain the files until they become inactive and transfer the files to Federal records center. Destroy when 25 years old (i.e. 25 years from the date the file was opened) or 23 years from date of last correspondence, whichever date is later.

NOTE: The sensitivity of these files requires that they be stored in a vault or classified area of the Federal records center. These files will be sealed in records center boxes and
delivered by the DEA activity to the Federal records center, picked up and receipted for by the records center, double wrapped and sent by registered mail return receipt through USPS or forwarded by diplomatic pouch. These boxes and SF-135 will be annotated with the special handling marking “NOT TO BE OPENED BY NARA; RESTRICTED TO DEA PERSONNEL”.

c. Numbered files with another office designator: Files pertaining to cooperating individuals of another District or Resident Office may be destroyed when the last correspondence in the files is 2 years old. Prior to destruction, transfer the original copies of payment vouchers (DEA Form 103) to the office that established the cooperating individual. Also, forward copies of status reports or correspondence not previously sent to the establishing office (do not send cross-file copies of debriefing reports).

NOTE 1: Multiple years of files may be held at the field office until one cubic foot (one box) of file accumulates.

NOTE 2: Cases pertaining to GS/GM 1811 personnel (agent): Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with approved disposition.

6. Electronic mail and word processing copies: Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of records covered by other items in this schedule.

TEMPORARY. Destroy when recordkeeping copy has been generated.
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION
Office of Inspections

4. NAME OF PERSON WITH WHOM TO CONFER
Tony Hernandez

5. TELEPHONE
202-307-4150

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

- [ ] is not required;
- [ ] is attached; or
- [ ] has been requested.

DATE SIGNATURE OF AGENCY REPRESENTATIVE TITLE
3/11/04 Sandra Liddell, 202-307-3467 SARR, Records Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

<table>
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<tr>
<th>ITEM NO.</th>
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<th>ACTION TAKEN (NARA USE ONLY)</th>
</tr>
</thead>
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<tr>
<td>1</td>
<td>FFS: 170-08 Inspection and Audit Files</td>
<td>FFS: 170-02</td>
<td></td>
</tr>
</tbody>
</table>
Inspection and Audit Files

FFS: 170-08 (Supercedes 170-02, NC1-170-77-1)

Program: Office of Inspections

Applicability: Office of Inspections

Identifying Information:

Inspection and Audit Files include documents relating to reviewing and examining Drug Enforcement Administration (DEA) operations to ensure proper protection of assets; compliance with policies, procedures, and objectives; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. These files accumulate as a result of DEA field and headquarters offices making a review of their own operations, and the Office of Inspections conducting on-site reviews of these offices activities. Included are reports and directly-related correspondence.

Specific Restrictions: Access is limited due to the sensitivity of the information

Vital Record: Yes

Specific Legal Requirements: Inspections and Audits are mandated by the U.S. Department of Justice, Office of the Inspector General.

Disposition: Supercedes 170-02 (NC1-170-77-1)

A. Office performing DEA-wide staff responsibility:

1. Temporary. Record copy of final report of comprehensive review and replies thereto: Transfer to Federal Records Center when 5 years old. Destroy when 15 years old.

2. Temporary. Destroy supporting documentation 10 years after accomplishment of internal review.

B. Other Headquarters and field offices:

1. Temporary. Destroy 10 years after completion of internal review actions.

C. Electronic copies used solely to create recordkeeping version of Items (A and B) of this schedule.

1. Electronic mail records. Temporary. Destroy/delete within 60 days after the recordkeeping copy has been created.
2. Word processing records. **Temporary.** Destroy/delete within 60 days after the recordkeeping copy has been created.
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION
   ARCOS Unit

4. NAME OF PERSON WITH WHOM TO CONFER
   Sandra Gunthrope

5. TELEPHONE
   202-307-7223

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ______ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.

   DATE
   3/11/04

   SIGNATURE OF AGENCY REPRESENTATIVE
   Sandra Liddell

   TITLE
   SARR, Records Officer

7. ITEM NO.

   8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
      Automation of Reports and Consolidated Orders System (ARCOS-2)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

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STANDARD FORM 115 (REV. 3-91)
PREVIOUS EDITION NOT USABLE

115-109  NSN 7540-00-634-4064
36 CFR 1228
DFN: 1220-66

**Automation of Reports and Consolidated Orders System (ARCOS-2)**

**Program:** Office of Diversion Control (OD)

**Applicability:** ARCOS Unit (ODRA)

**Identifying Information:**

Description: The purpose of ARCOS II is to capture information regarding the manufacture (synthesis) and distribution of certain Drug Enforcement Administration (DEA) controlled substances.

**Specific Restrictions:** Access to the system is restricted to DEA employees on a ‘need to know’ basis who have appropriate security clearances.

**Privacy Act:** All files relating to the reporting status of a DEA registered ARCOS reporting entity are subject to privacy issues/controls.

**Vital Record:** No

**Specific Legal Requirements:** The program/legal authority for the creation of the system is **21CFR 1304.33.**

**Disposition Information:** Pharmaceutical manufacturers and distributors, as well as Office of Diversion Control employees, provide direct updating information into ARCOS-2, capturing 40,000,000+ transactions each year. In addition, the National Drug Code (NDC) files are maintained within the ARCOS-2 system.

A. **System Inputs:** Documentation used for data entry.

1. ARCOS-2. The standard form required for system input is the ARCOS Transaction Reporting Form. (DEA Form-333). The DEA Form -333 is keypunched and downloaded on a disk for entry into the system. In addition, documentation which supports ARCOS-2 is directly downloaded from drug manufacturers and distributors via electronic tapes.

   **Temporary.**

   a. DEA Form-333 ARCOS Transaction Reporting Form. **TEMPORARY:** Destroy after input and 3 years from receipt.

   b. Input received directly from companies. **TEMPORARY:** Destroy transmittal upon verification of entry into system.
c. Accompanying correspondence. **TEMPORARY:** Destroy when no longer needed for agency reference purposes. (Destroy reporting status correspondence only after the company is out of business.)

B. **System Data:** Data received and extracted from drug manufacturers and distributors provide aggregate statistical information for use in determining national drug use patterns; sales and purchases (distribution) reports concerning DEA targeted individuals used in Federal and state drug criminal drug cases; and United Nations statistical reporting.

1. ARCOS-2. **Temporary.** After 5 years, data is archived or transferred to a history file until (fill in number of years) years old or when no longer needed for reference purpose, whichever is later.

2. National Drug Code (NDC). **Temporary.** This system is a drug ingredient dictionary which is updated daily. Destroy when no longer needed for agency reference use.

C. **System Outputs:** Ad hoc queries, management reports, and daily edits.

**Temporary.** Destroy/delete when no longer needed or when superceded.

D. **System Documentation:** System design manual, user manual, maintenance manual, and development documents.

**Temporary.** Maintain for life of system and destroy when no longer needed for operational purposes, whichever is later.

E. **Drug labels (ingredients).**

**Temporary:** Destroy when no longer needed for agency reference purposes

F. **Email and Word-processing System Copies:**

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also included electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.
Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
## REQUEST FOR RECORDS DISPOSITION AUTHORITY

### TO:
NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

### 1. FROM (Agency or establishment)
DRUG ENFORCEMENT ADMINISTRATION

### 2. MAJOR SUBDIVISION

### 3. MINOR SUBDIVISION
OFFICE OF CHIEF COUNSEL

### 4. NAME OF PERSON WITH WHOM TO CONFER
Matthew Addington

### 5. TELEPHONE
202-307-8909

### 6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

- [X] is not required;
- [ ] is attached; or
- [ ] has been requested.

### DATE
3/11/04

### SIGNATURE OF AGENCY REPRESENTATIVE
Sandra Liddell

### TITLE
SARR, Records Officer

### 7. ITEM NO.  

### 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

1. FFS: 301-04

Federal Register Files

### 9. GRS OR SUPERSEDED JOB CITATION

### 10. ACTION TAKEN (NARA USE ONLY)

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Sandra Liddell, 202-307-3467

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115-109

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)  
Prescribed by NARA  
36 CFR 1228
FFS: 301-04

Federal Register Files

Program: Office of Chief Counsel

Applicability: Office of Chief Counsel

Identifying Information:

Item 1: Description: The Office of Chief Counsel maintains the official Drug Enforcement Administration (DEA) files of all Federal Register notices issued by DEA. Documents published in the Federal Register by DEA related to rulemaking and diversion regulatory policy matters. Included are notices of rulemaking for scheduling actions, notices establishing quotas, and documents reflecting regulatory policy matters involving controlled substances and chemicals.

Disposition: TEMPORARY: Destroy when 30 years old or when no longer needed for agency reference purposes, whichever is later.

Item 2: Description: Electronic copies of records created on electronic mail and word processing systems and used solely to create recordkeeping version of Item (1) of this schedule.

Disposition: TEMPORARY: Destroy/delete within 60 days after the recordkeeping copy has been created
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
    WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION
   OFFICE OF CHIEF COUNSEL

4. NAME OF PERSON WITH WHOM TO CONFER
   Matthew Addington

5. TELEPHONE
   202-307-8909

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,
   [ ] is not required; [ ] is attached; or [ ] has been requested.

   DATE
   3/11/04

   SIGNATURE OF AGENCY REPRESENTATIVE
   Sandra Liddell

   TITLE
   SARR, Records Officer

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| 1       | FFS: 330-10
         | Criminal Litigation Files                      |

7. ITEM NO.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

STANDARD FORM 115 (REV. 3-91)
Preceded by NARA
36 CFR 1228

PREVIOUS EDITION NOT USABLE

115-109

NSN 7540-00-634-4064
FFS: 330-10

Criminal Litigation Files

Program: Office of Chief Counsel

Applicability: Office of Chief Counsel

Identifying Information:

Item 1: Description: Documents relating to release of information or documents for use in criminal investigations, grand juries, and prosecutions, and relating to the appearance of DEA employees and deputized Task Force Officers as witnesses in grand jury proceedings and criminal prosecutions. Included are subpoenas, demands, requests, court orders, recommendations concerning release of information or documents and authorization of testimony, memorandums of law, records of coordinating actions, supporting documents, correspondence, electronically transmitted messages, documents indicating action taken, and related papers.

Specific Legal Requirements:

28 C.F.R. 16.21, et seq.-“Touhy Regulations” and DEA policy.

Disposition:

TEMPORARY: Destroy 5 years after review of request for information, documents, or witness appearance.

Item 2: Description: Electronic copies of records created on electronic mail and word processing systems and used solely to create recordkeeping version of Item 1. of this schedule.

TEMPORARY: Destroy/delete within 60 days after the recordkeeping copy has been created.
REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION
   NDPIX Unit

4. NAME OF PERSON WITH WHOM TO CONFER
   Peter Orosz

5. TELEPHONE
   202-307-4215

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.

   DATE 3/11/04
   SIGNATURE OF AGENCY REPRESENTATIVE Sandra Liddell, 202-307-3467
   TITLE SARR, Records Officer

7. ITEM NO. 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION 9. GRS OR SUPERSEDED JOB CITATION 10. ACTION TAKEN (NARA USE ONLY)
   1 FFS: 1220-62
       National Drug Pointer Index (NDPIX)

LEAVE BLANK (NARA use only)

JOB NUMBER 711-170-04-6

DATE RECEIVED 3-17-2004

NOTIFICATION TO AGENCY
   In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

   DATE 1-12-05
   ARCHIVIST OF THE UNITED STATES
The National Drug Pointer Index (NDPIX)

Program: Office of Intelligence

Applicability: National Drug Pointer Index (NDPIX) Unit

Identifying Information:

Description: The NDPIX is a fully automated pointer information system that provides participating federal, state, and local law enforcement agencies with an automated response capability to determine if a drug investigative target is under active investigation by any other participating agency.

Specific Restrictions:

Access is restricted to federal, state and local law enforcement agencies.

Vital Record: No.

Specific Legal Requirements:


Disposition Information:

Active drug investigative targets have been entered into the NDPIX database by DEA, state, local and other federal agencies.

A. System Inputs:

DEA documentation used for data entry is the DEA-202, Personal History Report. The entries are manually inputted by DEA personnel.

Other Agencies enter data electronically through the National Law Enforcement Telecommunication System (NLETS).

Temporary.

The copies of the DEA-202’s that are used solely for data entry for NDPIX are destroyed after input.
B. System Data:

The data retrieved from NDPIX is contributed by DEA, state, local and other federal agencies.

Temporary. Delete 1 year after last update.

C. System Outputs:

The outputs are hit notifications, purge notifications and administrative reports.

Temporary. Destroy when no longer needed or when superceded.

D. System Documentation:

The system design manual, user manual, maintenance manual, and development documents.

Temporary. Maintain for life of system and destroy when no longer needed for operational purposes.

E. E-Mail and Word-processing System Copies:

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.
2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

*(See Instructions on reverse)*

**TO:** NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. **FROM (Agency or establishment)**  
DRUG ENFORCEMENT ADMINISTRATION

2. **MAJOR SUBDIVISION**

3. **MINOR SUBDIVISION**  
OFFICE OF DIVERSION CONTROL

4. **NAME OF PERSON WITH WHOM TO CONFER**  
Mike Mapes

5. **TELEPHONE**  
202-353-9562

6. **AGENCY CERTIFICATION**

   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  
- [ ] is not required;  
- [ ] is attached; or  
- [ ] has been requested.

   Date  
4/1/04

   Signature of Agency Representative  
Sandra Liddell  
202-307-3467

   Title  
SARR, Records Officer

7. **ITEM NO.**

8. **DESCRIPTION OF ITEM AND PROPOSED DISPOSITION**

   1. DFN: 630-12 1220-07 (Chng at agency request 5/25/05)  
   DEA Diversion Control Electronic Commerce Public Key Infrastructure (PKI)

9. **GRS OR SUPERSEDED JOB CITATION**

10. **ACTION TAKEN (NARA USE ONLY)**

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**STANDARD FORM 115 (REV. 3-91)**
Prescribed by NARA  
36 CFR 1228

PREVIOUS EDITION NOT USABLE
DFN: 1220-67

**DEA Diversion Control Electronic Commerce Public Key Infrastructure (PKI)**

**Program:** Office of Diversion Control

**Applicability:** Office of Diversion Control (OD)

**Identifying Information:**

The DEA e-Commerce PKI will serve as a Certification Authority, issuing digital certificates to Subscribers and other Certification Authorities, enabling electronic transactions of controlled substances.

**Specific Restrictions:**

Access to the system is restricted to the Office of Diversion Control.

**Vital Record:**

No.

**Specific Legal Requirements:**

E-Government Act
Federal Bridge Certification Authority (FBCA)
Government Paperwork Elimination Act (GPEA)
Paperwork Reduction Act (PRA)

**Disposition Information:**

The content of the system is that it provides digital certificates (electronic files) to authorized recipients based on their submitting applications that are then adjudicated to determine their suitability. Input is received from individuals and prospective Certification Authorities (CAs) requesting new certificates or updates be made to existing certificate information. Requests for certificate revocation may also be received and processed.
A. System Inputs:

1. Subscribers' certificate applications and documentation relating to certificate issuance, renewals and revocations for users of the Controlled Substances Ordering System (CSOS).

   1a. Paper Certificate Applications.

      **Temporary.** Destroy after digital image has been created and verified or when no longer needed for business purposes, whichever is later.


      **Temporary.** Delete when 10 years 6 months old.

   1c. All other subscriber documentation.

      **Temporary.** Destroy/delete when 10 years 6 months old.

2. Applications and supporting documentation for subordinate or cross-certified Certification Authority relating to Electronic Prescriptions for Controlled Substance System (EPCS).

      **Temporary.** Destroy 20 years 6 months after revocation of the EPCS Certification Authority's digital certificate.

B. System Data:

1. This public key infrastructure (PKI) supports CSOS by providing for the secure electronic transmission of business transactions between pharmaceutical distributors, manufacturers, wholesalers and pharmacies. Data is extracted from subscriber certificate applications and related documentation. System data also includes security audit records.

      **Temporary.** Delete when 10 years 6 months old.

2. This public key infrastructure (PKI) supports EPCS by providing for the secure electronic transmission of prescriptions for controlled substances between practitioners and pharmacies. Data is extracted from applications for subordinate certification authority and related documentation. System data also includes security audit records.

      **Temporary.** Delete when 20 years 6 months old.
C. System Outputs:

1. Digital Certificates. Digital certificates are added to the (electronic) repository and archived.

   1a. CSOS Certificates:

      Temporary. Retain in on-line repository until expired or revoked. Download to agency archive. Delete from agency archive 10 years 6 months after expiration or revocation of CSOS certificates.

   1b. EPCS CA Certificates:

      Temporary. Retain in on-line repository until expired or revoked. Download to agency archive. Delete from agency archive 20 years 6 months after expiration or revocation of EPCS CA certificates.

2. Certificate Revocation Lists (CRL). CSOS CRLs are added to the (electronic) repository and archived.

   Temporary. Retain in on-line repository until no longer needed for business purposes. Download to agency archive. Delete from agency archive 10 years 6 months after issuance.

3. Certification Authority Revocation Lists (CARL). CARLs are added to the (electronic) repository and archived.

   Temporary. Retain in on-line repository until no longer needed for business purposes. Download to agency archive. Delete from agency archive 20 years 6 months after issuance.

4. Notifications:

   4a. CSOS: Notifications are distributed to the Subscribers and Coordinators.

      Temporary. Delete when 10 years 6 months old.

   4b. EPCS: Notifications are distributed to the EPCS CAs.

      Temporary. Delete when 20 years 6 months old.

D. System Documentation:

The DEA E-Commerce PKI Operations Manual and the DEA E-Commerce PKI Certificate Policy and Certification Practice Statement documents discuss these processes. Also includes copies of Auditor’s Reports of Findings.
Temporary. Maintain for life of system or 20 years 6 months, whichever is later.

E. E-Mail and Word-processing System Copies:

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION
   Office of Information Systems

3. MINOR SUBDIVISION
   Enterprise and Field Systems Unit (SISE)

4. NAME OF PERSON WITH WHOM TO CONFER
   Jon Wicker

5. TELEPHONE
   703-495-6519

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.

   DATE 05/13/04
   SIGNATURE OF AGENCY REPRESENTATIVE Sandra Liddell
   TITLE SARR, Records Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
   1 DFN: 1220-65
     Polygraph Information Tracking System (PITS)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228
DFN: 1220-65

Polygraph Information Tracking System (PITS)

Program: Office of Investigative Technology (ST)

Applicability: Polygraph Support Unit (STCP)

Identifying Information:

Description: The Polygraph Information Tracking System (PITS) provides for data entry, tracking, receipt, assignment, and reporting of Polygraph information performed on Special Agents, Foreign Assistants, Criminals, and Intelligence Research Specialists.

Specific Restrictions:

Access is limited due to Privacy Act / FOI issues.

Vital Record: No.

Specific Legal Requirements:


Disposition Information:

The primary content of the system includes polygraph related information, status reports, and results reports.

A. System Inputs:

1. Polygraph Examinations

Temporary. See Polygraph Files 601-35 (N1-170-04-1).

B. System Data:

1. Polygraph examinations and results.

Temporary. Retain until no longer needed for reference or operational purposes.
C. System Outputs:

1. Status Reports
2. Results Reports

Temporary. Retain until no longer needed for reference or operational purposes.

D. System Documentation:

User Guide
Acceptance Test Plan
Functional Requirements Document
System Maintenance Document

Temporary: Maintain for life of system and destroy when no longer needed for reference purposes.

E. E-Mail and Word Processing System Copies:

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION
   OFFICE OF OPERATIONS MANAGEMENT

3. MINOR SUBDIVISION
   POLICY AND PROCEDURES SECTION

4. NAME OF PERSON WITH WHOM TO CONFER
   DIANA A. BOYD

5. TELEPHONE
   202-307-4186

6. AGENCY CERTIFICATION

   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached pages are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

   [ ] is not required;  [ ] is attached; or  [ ] has been requested.

   SIGNATURE OF AGENCY REPRESENTATIVE
   Sandra Liddell

   DATE
   05/12/04

   TITLE
   SARR, Records Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

   1 DFN: 1220-64
   DEA Enhanced Non-drug Evidence Database System (ENEDS)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

LEAVE BLANK (NARA use only)

JOB NUMBER
77-170-04-9

DATE RECEIVED
6-18-2004

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
10-15-04

ARCHIVIST OF THE UNITED STATES

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228
DFN: 1220-64

DEA Enhanced Non-drug Evidence Database System (ENEDS)

Program: Office of Operations Management (OM)

Applicability: Policies and Procedures Section (OMM)

Identifying Information:

Description: The Drug Enforcement Administration Enhanced Non-drug Evidence Database System (ENEDS) serves as a tracking and reporting system for non-drug evidence and pertinent bulk drug exhibits that have been taken into custody by DEA. It also facilitates an annual inventory of the non-drug evidence and bulk marijuana entered into the system and stored in pertinent vaults and serves as a management tool, ensuring timeliness and allowing monitoring of evidence processing.

Although DEA does not officially utilize these processes, the system is also capable of: (a) providing an efficient and auditable inventory accounting system of the data input to the system compared to that stored in the pertinent vaults; (b) maintaining a legally defensible trail of custody for each exhibit throughout the life of the case; and (c) generating quarterly financial reports for the DEA financial statements.

Specific Restrictions:

Access is restricted to federal law enforcement agencies.

Vital Record. No.

Specific Legal Requirements:

Chief Financial Officer’s Act 1990
Federal Accounting Standards Advisory Board (FASAB)
Office of Management and Budget (OMB)
System to Retrieve Information from Drug Evidence (STRIDE)
Office of Information Systems Firebird Standards (FS)
Office of Security Programs Certification & Accreditation (C&A)
Disposition Information:

A. System Inputs:

DEA-7, Report of Drug Property Collected, Purchased or Seized
DEA-7a, Acquisition of Non-Drug Property and Regulatory Seizures
DEA-48, Disposition of Drug Evidence
DEA-48a, Disposition of Non-Drug Evidence
DEA-12, Receipt for Cash or Other Items.

Temporary.

The DEA 7, 7a, 48, 48a and 12 are part of the investigative case file and are retained in accordance with DFN: 601-07 (NC1-170-77-1).

B. System Data:

The data contained in ENEDS is comprised of an inventory of drug and non-drug exhibits and a history of transactions concerning these exhibits.

Temporary.

Maintain for 25 years after close of case or when no longer needed for reference and operational purposes, whichever is later.

C. System Outputs:

The outputs are in the form of inventories, log books, 30-day reports, firearms reports and bar code labels.

Temporary.

Retain until no longer needed for reference or operational purposes.

D. System Documentation:

DEA Agents Manual
ENEDS Technical Training Manual
Functional Requirements Document
System Design Document
Requirements Traceability Matrix
System Test Plan/Test Scripts
Security Plan
System Version Description.
Temporary. Maintain for life of system and destroy when no longer needed for operational purposes.

E. E-Mail and Word Processing System Copies:

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
Disposition Information:

A. System Inputs:

DEA-7, Report of Drug Property Collected, Purchased or Seized
DEA-7a, Acquisition of Non-Drug Property and Regulatory Seizures
DEA-48, Disposition of Drug Evidence
DEA-48a, Disposition of Non-Drug Evidence
DEA-12, Receipt for Cash or Other Items.

Temporary.

The DEA 7, 7a, 48, 48a and 12 are part of the investigative case file and are retained in accordance with DRN: 601-07 (NC1-170-77-1).

B. System Data:

The data contained in ENEDS is comprised of an inventory of drug and non-drug exhibits and a history of transactions concerning these exhibits.

Temporary.

Retain until no longer needed for reference and operational purposes.

C. System Outputs:

The outputs are in the form of inventories, log books, 20-day reports, firearms reports and bar code labels.

Temporary.

Retain until no longer needed for reference or operational purposes.

D. System Documentation:

DEA Agents Manual
ENEDS Technical Training Manual
Functional Requirements Document
System Design Document
Requirements Traceability Matrix
System Test Plan/Test Scripts
Security Plan
System Version Description.
Temporary. Maintain for life of system and destroy when no longer needed for operational purposes.

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Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

*See Instructions on reverse*

| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) |
| WASHINGTON, DC 20408 |

1. FROM (Agency or establishment)
   Department of Justice

2. MAJOR SUBDIVISION
   Drug Enforcement Administration

3. MINOR SUBDIVISION
   Special Operations Division

4. NAME OF PERSON WITH WHOM TO CONFER
   Patricia Madaris

5. TELEPHONE
   703-488-4522

6. AGENCY CERTIFICATION
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.

<table>
<thead>
<tr>
<th>DATE</th>
<th>SIGNATURE OF AGENCY REPRESENTATIVE</th>
<th>TITLE</th>
</tr>
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<tr>
<td>09-14-2004</td>
<td>Sandra Liddell</td>
<td>Management Analyst, SARR</td>
</tr>
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7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION |
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<tbody>
<tr>
<td>1</td>
<td>DFN: 601-37 - Original Electronic Surveillance Media</td>
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**LEAVE BLANK** (NARA use only)

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<tr>
<th>JOB NUMBER</th>
<th>DATE RECEIVED</th>
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<tr>
<td>N1 - 170 - 04-10</td>
<td>Sept. 22, 2004</td>
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</tbody>
</table>

**NOTIFICATION TO AGENCY**

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

<table>
<thead>
<tr>
<th>DATE</th>
<th>ARCHivist of the United States</th>
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<tbody>
<tr>
<td>1-3-05</td>
<td>[Signature]</td>
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</table>

**STANDARD FORM 115 (REV. 3-91)**

Prescribed by NARA
36 CFR 1228
Identifying Information:

Description: Electronic media maintained by offices of the Drug Enforcement Administration (DEA) are the products of a variety of audio, video, and other electronic technology. The Wire surveillance media addressed in this document are produced under the direction of DOJ/DEA, in accordance with statutory, regulatory and other official policy requirements including, but not limited to the following:

1. Consent of one party, Title 18, United States Code (USC), Section 2511(c) consensual monitoring;
2. Court order issued in accordance with Title 18, USC, Section 2518 (other wise known as “Title III);
3. Court order issued in accordance with Rule 41(b) of the Federal Rules of Criminal Procedure and the All Writs Act Title 28, USC Section 1651; and
4. Attorney General Guidelines for Procedures for Lawful Warrantless Interceptions of Verbal Communications

Specific Restrictions: Highly sensitive law enforcement information

Privacy Act: All records relating to Electronic Surveillance media are subject to privacy act issues.

Vital Record: Yes.


Disposition Information:

1. Electronic medium (i.e. analog audio and video cassettes, compact disks, and digital audio and video storage medium regardless of format) with or without sound generated during an investigation and authorized by court order or other appropriate authorizing official. In addition other examples of electronic medium include Technical Investigative Equipment, Radio Communications Equipment, Communications Security (COMSEC) Equipment, and Special technical Equipment.

Temporary: Retain media and related control documents 10 years from the date of the court order sealing the evidence.

Destroy when there is no longer an agency or court interest in the media, and after securing any necessary authorization for destruction from a court of competent jurisdiction.
2. Electronic medium (i.e. analog audio and videocassettes, compact disks, and digital audio and video storage medium regardless of format) generated pursuant to consent of at least one of the participants.

Temporary:
- **Retain** media and related control documents *10 years from the date of the court order* sealing the evidence.
- **Destroy** when there is no longer an agency or court interest in the media, and after securing any necessary authorization for destruction from a court of competent jurisdiction.

3. Electronic medium (i.e. analog audio and video cassettes, compact disks, and digital audio and video storage medium regardless of format) without sound authorized by the Special Agent in Charge or other appropriate authorizing official.

Temporary:
- **Retain** media and related control documents *10 years from the date of the court order* sealing the evidence.
- **Destroy** when there is no longer an agency or court interest in the media, and after securing any necessary authorization for destruction from a court of competent jurisdiction.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

**TO:** NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. **FROM (Agency or establishment):**
   Department of Justice

2. **MAJOR SUBDIVISION:**
   Drug Enforcement Administration

3. **MINOR SUBDIVISION:**
   Office of Diversion Control

4. **NAME OF PERSON WITH WHOM TO CONFER:**
   Stephen Via

5. **TELEPHONE:**
   202-307-8294

6. **AGENCY CERTIFICATION:**
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,
   - [ ] is not required;
   - [ ] is attached; or
   - [ ] has been requested.

   **DATE:** 1/3/06
   **SIGNATURE OF AGENCY REPRESENTATIVE:** Jean Sadlowe
   **TITLE:** Records Officer, 202-307-7715

7. **ITEM NO.**

8. **DESCRIPTION OF ITEM AND PROPOSED DISPOSITION:**
   - DFN: 630-17
     Chemical Transaction Analysis System (CTRAINS)
   - Records relating to Port Import Export Reporting
     System (PIERS) module
   - Update to N1-170-03-8

9. **GRS OR SUPERSEDED JOB CITATION:**

10. **ACTION TAKEN (NARA USE ONLY):**

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**LEAVE BLANK (NARA use only)**

**JOB NUMBER:** N1-170-06-1

**DATE RECEIVED:** January 3, 2006

**NOTIFICATION TO AGENCY:**
   In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

**DATE:** 1/3/06

**ARCHIVIST OF THE UNITED STATES:** [Signature]

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**STANDARD FORM 115 (REV. 3-91)**

Prescribed by NARA
36 CFR 1228
DFN: 630-17

Chemical Transaction Analysis System (CTRANS)

Program: Office of Diversion Control

Applicability: Office of Diversion Control

Identifying Information:

Description: The CTRANS is a data warehouse used for the data entry and retrieval of chemical transactions obtained from various sources by the Drug Enforcement Administration. The Mail Order System (MOS) contains transactions of the domestic distribution of non-prescription drug products that contain certain List I Chemicals from mail order pharmacies to individuals. The MOS was developed to support the Comprehensive Methamphetamine Control Act (CMCA) of 1996. The Import/Export (IMEX) System contains transactions of the imports into the United States and exports from the United States of listed chemicals. The IMEX was developed to support the Chemical Diversion and Trafficking Act (CDTA) of 1988. The Chemical Handlers Enforcement Management System (CHEMS) contains information on and about domestic and international chemical handlers. The information in this module is obtained from various sources such as cables (DEA Form-6) and Sources of Information (SOI). The CHEMS was developed to support the Domestic Chemical Diversion Control Act (DCDCA) of 1993. The Port Import Export Reporting System (PIERS) is used to capture and store commercially available cross-border transaction data of listed chemicals for selected countries. This data is analyzed to understand international trade in listed chemicals and is used in conjunction with other CTRANS modules to identify suspicious activities. The information contained in these modules of the CTRANS is used to monitor and track the distribution of listed chemicals and identify suspicious transactions and relationships between chemical distributors from the wholesale level to the retail level. Basically, the CTRANS tracks the distribution of listed chemicals that can be used in illicit drug production and provides this information for analysis and reporting through online access via the Firebird network.

Relevant records or any relevant facts derived there from may be disclosed to the following categories of uses for the purposes stated:

- Other Federal law enforcement and regulatory agencies for law enforcement for regulatory purposes
- State and local law enforcement and regulatory agencies for law enforcement and regulatory purposes
- International Narcotics Control Board as required by treaty obligations
- News media and the public pursuant to 28 CFR 50.2, unless it is determined that the release of specific information in the content of a particular case would constitute an unwarranted invasion of personal privacy
- Members of Congress or staff acting upon the Member’s behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record
National Archives and Records Administration (NARA) and to the General Services Administration (GSA) in records management inspections conducted under the authority of 44 U.S.C. 2904 and 2906

Specific Restrictions: Access to the system is restricted to DEA employees on a 'need to know' basis who have appropriate security clearances.

Vital Record: No

Specific Legal Requirements:
1. Chemical Diversion and Tracking Act of 1988
2. Domestic Chemical Diversion Control Act of 1993

Disposition Information: CTRANS currently consists of three fully functional modules for the collection of data relating to the imports/exports of listed chemicals and domestic mail order sales of certain List I Chemicals. These modules are the Mail Order System (MOS) module, the Import/Export System (IMEX) module, and the Chemical Handlers Enforcement Management System (CHEMS) module.

A. System Inputs: Documentation used for data entry.

1. Mail Order System (MOS). There is no standard form required for system input. The documentation which supports the MOS is provided by drug companies in various media and formats.

Temporary. Destroy upon data input and verification in MOS or when no longer needed for reference purposes, whichever is later.

2. Import/Export System (IMEX). The primary source document for system input used by IMEX is the Import / Export Declaration (Form DEA 486).

Temporary. Destroy upon after data input and verification in IMEX or when no longer needed for reference purposes, whichever is later.

3. Chemical Handlers Enforcement Management System (CHEMS). The documentary source used for system input by CHEMS is the Report of Investigation (Form DEA-6).

Temporary. Destroy upon data input and verification in CHEMS or when no longer needed for reference purposes, whichever is later.

4. Port Import Export Reporting System (PIERS). There is no standard form required for system input. The data is provided by Commonwealth Business Media, Inc. and received by DEA electronically in a spreadsheet format.
Temporary. Destroy upon data input and verification in PIERS or when no longer needed for reference purposes, whichever is later.

B. System Data: Data received/extracted from online pharmaceutical companies, chemical companies, company invoices, import/export declarations, and DEA investigative reports. The system contains records dating back to 1988 relating to CHEMS data. Most records date from 1996 to present.

1. Mail Order System (MOS) module. The MOS module documents non face-to-face transactions of non-prescription drug orders. Data elements include buyer name and address, seller information, chemical, shipping information, volume, and the lot number for the chemical.

Temporary. Delete when 5 years old or when no longer needed for reference purposes, whichever is later.

2. Import/Export System (IMEX) module. The IMEX module contains transaction information of imports and exports of List I and List II chemicals in-to and out-of the United States. The U.S. importer/exporter is required to submit the transaction information to the DEA on DEA Form 486 prior to the transaction. This information is shared daily with the U.S. Customs Service.

Temporary. Delete when 5 years old or when no longer needed for reference purposes, whichever is later. (Supercedes FFS: 630-12, N1-170-94-1)

3. Chemicals Handlers Enforcement Management System (CHEMS) module. The CHEMS module consolidates chemical handler data collected from many sources to support the regulation of certain chemicals under the Chemical Diversion and Trafficking Act of 1988. CHEMS provides DEA users with an effective means by which to manipulate data regarding companies and their shipments of precursor chemicals that indicate a potential for suspect drug activity.

Temporary. Delete when 25 years old or when no longer needed for reference purposes, whichever is later.

4. Port Import Export Reporting System (PIERS). The PIERS module contains cross-border shipping/transaction data of listed chemicals for selected countries of interest. The shipping data is commercially available and is purchased from Commonwealth Business Media, Inc. The data is received by DEA electronically in a spreadsheet format. The data is transferred to the master PIERS database and the original spreadsheet is deleted.

Temporary. Delete when 5 years old or when no longer needed for reference purposes, whichever is later.
C. **System Outputs**: Ad hoc queries, statistical analysis across modules, and management reports.

   *Temporary*. Destroy/delete when no longer needed or when superceded.

D. **System Documentation**: System design manual, user manual, maintenance manual, and development documents.

   *Temporary*. Maintain for life of system and destroy when no longer needed for operational purposes, whichever is later.

E. **Email and Word-processing System Copies**:

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

   *Temporary*. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   *Temporary*. Destroy/delete when dissemination, revision, or updating is completed.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

**TO:** NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. **FROM (Agency or establishment)**  
   DRUG ENFORCEMENT ADMINISTRATION

2. **MAJOR SUBDIVISION**  
   Office of Operations Management

3. **MINOR SUBDIVISION**  
   Policy and Procedures Section

4. **NAME OF PERSON WITH WHOM TO CONFER**  
   Jean Sadlowe  
   202-307-7715

---

**6. AGENCY CERTIFICATION**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

- [ ] is not required;  
- [ ] is attached; or  
- [ ] has been requested.

**DATE**  
6/26/06  
Jean Sadlowe  
202-307-7715  
Records Officer

---

**7. ITEM NO.**  

**8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION**

- DFN: 601-38  
- Evidence Files
Evidence Files

Nondrug Evidence and Bulk Drug Evidence

The evidence file series establishes a chain of custody for investigative property in DEA’s custody. The files consist of copies of source documents related to the property maintained by an evidence custodian. Nondrug evidence may be acquired during an investigation through a variety of circumstances. Documents related to physical evidence and nondrug evidence may consist of drugs, precursor chemicals, equipment, packaging, documents, fingerprints, money, negotiable instruments, ledger books, or any other tangible property used to establish a violation of law. Once acquired, physical evidence will be handled, stored, presented, and disposed of in such a manner as to assure its accountability and integrity remain in tact.

A. Nondrug Evidence

1. Evidence Custodian Housekeeping Files. These files contain policy and interim policy correspondence(s), designation of evidence custodian correspondence(s) and forms for requesting equipment, supplies, and services for the management of the evidence.

Disposition: Temporary. Cutoff at the close of the inventory file annually. Destroy 2 years after close of file.

2. Nondrug Property. These files consist of various DEA forms (DEA-7a, DEA-7b, DEA-12, DEA-48a), ENEDS/CERTS printouts, abandonment correspondence(s), inventory records and other relevant information for tracking seized or abandoned nondrug property. Also included in these records are the court orders and other correspondence(s) related to Title III material.

Disposition: Temporary. Cutoff at the close of the file annually. Destroy 2 years after close of file.

3. High Value Property. These files consist of various DEA forms (DEA-7a, DEA-7b, DEA-12, DEA-48a and Standard Seizure Form [SSF]), ENEDS/CERTS and Brower-based Consolidated Asset Tracking System printouts, abandonment correspondence(s), inventory records, and other relevant information for tracking seized or abandoned high value nondrug property.

Disposition: Temporary. Cutoff at the close of the file annually. Destroy 6 years after close of file.
4. Seized Monies. These files consist of various DEA forms (DEA-7a, DEA-7b, DEA-12, DEA-48a and Standard Seizure Form [SSF]), ENEDS/CERTS and Brower-based Consolidated Asset Tracking System printouts, abandonment correspondence(s), inventory records, and other relevant information for tracking seized or abandoned monies.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after close of file.

5. Recovered Monies. These files consist of various DEA forms (DEA-7a, DEA-7b, DEA-12, DEA-48a, DEA-127, Transmittal of Negotiable Instruments and Deposit Tickets), ENEDS/CERTS, and Miscellaneous Receipts Log, MRL printouts, inventory records, and other relevant information for tracking recovered official advanced funds.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after close of file.

6. Audits. These files consist of quarterly reports such as the Quarterly High Value Evidence and Safekeeping Report (HVESR) and the related correspondence(s).

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after close of file.

7. Inventories. These files consist of copies of inventory correspondence(s) and copies of inventory printouts from the Centralized Evidence Reporting and Tracking System (migration of ENEDS).

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 2 years after close of file.

8. Nondrug Ledger Book. Utilized to maintain a log of transactions of nondrug property acquired, disposed of, and checked in/out vault by the Nondrug Evidence Custodian.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after all exhibits in the book have been disposed.

9. Overnight Nondrug Ledger Book. Utilized to maintain a log of transactions for Nondrug property deposited during off-duty hours.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after all exhibits in the book have been disposed.
10. High Value Items and Seized/Recovered Monies Ledger Book. Utilized to maintain a log of transactions of nondrug property valued at \( \geq \$1,000 \) acquired, disposed of, and checked in/out vault by the High Value Item and Seized/Recovered Monies Custodian.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after all exhibits in the book have been disposed.

**B. Bulk Drug Evidence**

1. Evidence Custodian Housekeeping Files. These records establish the procedure for handling bulk drug evidence and the tracking of the evidence. They consist of policy and interim policy correspondence(s), designation of evidence custodian correspondence(s), travel and purchase order documents, and destruction documents for bulk drug evidence and related correspondence(s).

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 2 years after close of file.

2. Bulk Drug Evidence. These files consist of various DEA forms (DEA-7, DEA-12, DEA-48 and Standard Seizure Form [SSF]), ENEDS/CERTS and Brower-based Consolidated Asset Tracking System printouts, abandonment correspondence(s), inventory records, laboratory correspondence(s), and other relevant information for tracking seized or abandoned bulk drug evidence. Also included in these records are the 60 day Memorandums from the Special Agent in Charge to the United States Attorney (USAO) advising that DEA will destroy bulk drugs 60-days from the date of the letter unless the USAO objects. **6 years and 3 months**

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after close of file.

3. Stockpile Drugs. These files consist of various DEA forms (DEA-12 and DEA-48) and correspondence(s) related to the acquisition, transfer, and destruction of stockpiled drugs.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 2 years after close of file.

4. Audits. These files consist of quarterly Stockpile Drug and Bulk Drug reports and related supporting documents and correspondence(s). **6 years and 3 months**

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after close of file.
5. Inventories. These files consist of inventory correspondence(s) and related files.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 2 years after close of file.

6. Stockpile Ledger Book. Utilized by the Bulk Drug Custodian to maintain a log of transactions of stockpile drugs acquired, disposed of, and checked in/out vault.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after all exhibits in the book have been disposed.

7. Bulk Drug Ledger Book. Utilized by the Bulk Drug Custodian to maintain a log of transactions of bulk drugs acquired, disposed of, and checked in/out vault.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after all exhibits in the book have been disposed.

8. Temporary Drug Ledger Book. Utilized to maintain a log of transactions for bulk drug property deposited during off-duty hours.

Disposition: **Temporary.** Cutoff at the close of the file annually. Destroy 6 years after all exhibits in the book have been disposed.
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
DRUG ENFORCEMENT ADMINISTRATION

2. MAJOR SUBDIVISION  
Intelligence Division

3. MINOR SUBDIVISION  
Intelligence Policy and Liaison Section

4. NAME OF PERSON WITH WHOM TO CONFER  
Douglas Poole

5. TELEPHONE  
202-307-8096

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  

- is not required;  
- is attached; or  
- has been requested.

DATE  
04-14-2006  
SIGNATURE OF AGENCY REPRESENTATIVE  
Jean Sadlowe, 202-307-7715  
TITLE  
Records Officer

<table>
<thead>
<tr>
<th>ITEM NO.</th>
<th>DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>DFN: 1220-68</td>
<td>Centers for Drug Information (CDI) Database</td>
</tr>
</tbody>
</table>

LEAVE BLANK (NARA use only)

JOB NUMBER  
NI-170-06-3

DATE RECEIVED  
4-19-06

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
04-14-2006  
ARCHIVIST OF THE UNITED STATES  
[Signature]

115-109

PREVIOUS EDITION NOT USABLE  
STANDARD FORM 115 (REV. 3-91)  
Prescribed by NARA  
36 CFR 1228
Centers for Drug Information (CDI) Database

Program: Intelligence Division

Applicability: Office of Intelligence Policy and Management; Intelligence Policy and Liaison Section

Identifying Information:

Description: The purpose of the system is to support the disruption of illegal drug trafficking through the sharing of operational and tactical law enforcement information among foreign law enforcement officials via the Internet.

Specific Restrictions: Access is restricted to foreign nations that have signed the Centers for Drug Information Memorandum of Understanding, and DEA staff and other United States government personnel on a "need to know" basis.

Vital Record: No

Specific Legal Requirements:

Reorganization Plan No. 2 of 1973
Single Convention on Narcotic Drugs, 1961
Title 21 USC, Controlled Substances Act
1988 United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances

Disposition Information:

A. System Inputs:
   Documentation used for data entry comes from standardized collection forms completed by authorized foreign counterpart participants. Forms include daily activity reports, summary and statistical reports, and forms used for coordination of investigative activity.

   Temporary. Destroy/Delete after input and verification into the CDI database.
B. System Data:
This system contains information related to drug trafficking and other transnational crimes, suspects/detainees, vehicles and other transportation used for criminal purposes, search and seizure of illegal substances, weaponry, currency, and other related items connected with the investigation of illicit trade in controlled substances and chemicals. This system also provides case origination or other information useful in tracking the status of an investigation.

Temporary: Destroy/delete 25 years after data input.

C. System Outputs:
Daily Activity Reports, Summary Reports and Program Statistics Reports and Coordination Forms, ad hoc queries and reports.

Temporary. Destroy/delete when no longer needed for administrative or reference purpose.

D. System Documentation:
The system design manual, user manual, maintenance manual, and development documents.

Temporary. Maintain for life of system and destroy when no longer needed for operational purposes.

E. E-Mail and Word Processing System Copies:
Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. 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 has been produced.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision, or updating is completed.
# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

<table>
<thead>
<tr>
<th>1</th>
<th>FROM (Agency or establishment)</th>
<th>DRUG ENFORCEMENT ADMINISTRATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>MAJOR SUBDIVISION</td>
<td>ADMINISTRATIVE OPERATIONS SECTION</td>
</tr>
<tr>
<td>3</td>
<td>MINOR SUBDIVISION</td>
<td>PROPERTY MANAGEMENT UNIT</td>
</tr>
<tr>
<td>4</td>
<td>NAME OF PERSON WITH WHOM TO CONFER</td>
<td>John Cunningham</td>
</tr>
<tr>
<td>5</td>
<td>TELEPHONE</td>
<td>202-307-9629</td>
</tr>
<tr>
<td>6</td>
<td>AGENCY CERTIFICATION</td>
<td>I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required, is attached, or has been requested</td>
</tr>
<tr>
<td>7</td>
<td>ITEM NO</td>
<td>8</td>
</tr>
<tr>
<td>---</td>
<td>-----</td>
<td>---</td>
</tr>
<tr>
<td>1</td>
<td>1</td>
<td>Official records that are created by the Property Management Unit in accordance with the DEA Records Schedule</td>
</tr>
<tr>
<td>2</td>
<td>File No. 1101-16</td>
<td>Accountable Personal Property Files</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Documents related to accountable asset purchase, payment, maintenance and disposal. Documents include, but are not limited to, requests, purchase orders, transfer orders, invoices, credit card receipts, DEA-16 (Receipt for Property, maintenance agreements, and receipts, vendor recycle receipt, and destruction certificates)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Disposition. Cut-off upon disposition of asset</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Destroy 6 years, 3 months after cut-off</td>
</tr>
<tr>
<td>9</td>
<td>GRS OR SUPERSEDED JOB CITATION</td>
<td>File No 1101-01 (NCl-170-77-1) is superseded</td>
</tr>
</tbody>
</table>

DATE RECEIVED: 2/29/12

NOTIFICATION TO AGENCY:
In accordance with the provisions of 44 USC 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE: 2/29/12

ARCHIVIST OF THE UNITED STATES:

STANDARD FORM 115 (REV 3-91) PREVIOUS EDITION NOT USABLE

115-109

NSN 7540-00-634-4064

36 CFR 1228
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

| TO | NATIONAL ARCHIVES \& RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408 |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>FROM (Agency or establishment)</td>
<td>DRUG ENFORCEMENT ADMINISTRATION</td>
</tr>
<tr>
<td>MAJOR SUBDIVISION</td>
<td></td>
</tr>
<tr>
<td>MINOR SUBDIVISION</td>
<td>OFFICE OF CHIEF COUNSEL</td>
</tr>
<tr>
<td>NAME OF PERSON WITH WHOM TO CONFER</td>
<td>BETTIE E. GOLDMAN</td>
</tr>
<tr>
<td>TELEPHONE</td>
<td>202-307-8049</td>
</tr>
</tbody>
</table>

**LEAVE BLANK (NARA use only)**

| JOB NUMBER | NI-170-12-4 |
| DATE RECEIVED | 2/29/12 |

**NOTIFICATION TO AGENCY**

In accordance with the provisions of 44 USC 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

**6 AGENCY CERTIFICATION**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached one page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

[ ] is not required,  [ ] is attached, or  [ ] has been requested

| DATE | 2/13/12 |
| SIGNATURE OF AGENCY REPRESENTATIVE | JANET M. HENDEN |
| TITLE | Acting Records Officer |

**7 ITEM NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION**

| DFN 330-11 |
| Freedom of Information/Privacy Act Litigation Files |

**9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY)**

| | |

115-109  NSN 7540-00-634-4064  STANDARD FORM 115 (REV 3-91)  PREVIOUS EDITION NOT USABLE  36 CFR 1228
**Freedom of Information/Privacy Act Litigation Files**

**DFN:** 330-11

**Program:** Office of Chief Counsel

**Applicability** Administrative Law Section

**Vital Record:** No

**Identifying Information:**

Description: Documents related to legal proceedings in which DEA is an interested party. Included are copies of complaints, affidavits, declarations, responses to motions, interrogatories, legal research and memoranda accumulated during the course of the prosecution or defense of FOI/PA actions, and files created during the FOI/PA administrative process.

**Specific Legal Requirements:**

Freedom of Information Act (FOIA) 5 U S C § 552
Privacy Act (PA) 5 U S C § 552a

**Disposition:** Temporary. Office of Chief Counsel Transfer to Federal Records Center 3 years after close of case Destroy when 15 years old
# Request for Records Disposition Authority

**Records Schedule Number**: DAA-0170-2013-0004  
**Schedule Status**: Approved  

**Agency or Establishment**: Drug Enforcement Administration  
**Record Group / Scheduling Group**: Records of the Drug Enforcement Administration  
**Records Schedule applies to**: Agency-wide  
**Schedule Subject**: Investigative Management Program and Case Tracking (IMPACT)  
**Internal agency concurrences will be provided**: No  

**Background Information**: These files relate to those activities of drug/narcotic enforcement pertaining to criminal/regulatory investigations, drug abuse prevention, and other enforcement-related operations.

## Item Count

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
</tr>
</tbody>
</table>

**GAO Approval**
Outline of Records Schedule Items for DAA-0170-2013-0004

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>IMPACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Numbered Investigative Case Files Disposition Authority Number: DAA-0170-2013-0004-0001</td>
</tr>
<tr>
<td>1.2</td>
<td>General Investigative Files Disposition Authority Number: DAA-0170-2013-0004-0002</td>
</tr>
</tbody>
</table>
## Records Schedule Items

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>IMPACT</th>
<th>Numbered Investigative Case Files</th>
<th>General Investigative Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 IMPACT</td>
<td>IMPACT is a mission critical, on-line interactive application that facilitates the management of investigative records.</td>
<td>DEA Reports of investigation concerning offenses related to violations of drug/narcotic laws and required inspections of registrant activities. Included are DEA reports investigation (DEA Form 6) and supporting documents.</td>
<td>DEA reports of investigation that are limited in scope concerning individuals, firms, ships, or related subjects pertinent to violations of drug narcotic laws or DEA registrant activities. Included are numbered and unnumbered general investigative files. Name and program general files procedures are outlined in Chapter 62 of the DEA Agents Manual.</td>
</tr>
<tr>
<td>Disposition Authority Number</td>
<td>DAA-0170-2013-0004-0001</td>
<td>N1-170-94-1, 601-07, and NC1-170-77-1, 601-08</td>
<td>DAA-0170-2013-0004-0002</td>
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<tr>
<td>Final Disposition</td>
<td>Temporary</td>
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<td>Temporary</td>
</tr>
<tr>
<td>Item Status</td>
<td>Pending</td>
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<td></td>
</tr>
<tr>
<td>Is this item media neutral?</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do any of the records covered by this item exist as structured electronic data?</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disposition Instruction</td>
<td>Cut off at close of case.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cutoff Instruction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Retention Period</td>
<td>Destroy 25 year(s) after close of case</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional Information</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GAO Approval</td>
<td>Not Required</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GRS or Superseded Authority Citation</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

## Additional Information
- GAO Approval: Not Required
- Retention Period: Destroy 25 year(s) after close of case
<table>
<thead>
<tr>
<th>Item Status</th>
<th>Pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is this item media neutral?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do any of the records covered</td>
<td>Yes</td>
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<tr>
<td>by this item currently exist in</td>
<td></td>
</tr>
<tr>
<td>electronic format(s) other than</td>
<td></td>
</tr>
<tr>
<td>email and word processing?</td>
<td></td>
</tr>
<tr>
<td>Do any of the records covered</td>
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</tr>
<tr>
<td>by this item exist as structured</td>
<td></td>
</tr>
<tr>
<td>electronic data?</td>
<td></td>
</tr>
<tr>
<td>GRS or Superseded Authority</td>
<td>N1-170-94-1, 601-08, and NC1-170-77-1, 601-08</td>
</tr>
<tr>
<td>Citation</td>
<td></td>
</tr>
<tr>
<td>Disposition Instruction</td>
<td></td>
</tr>
<tr>
<td>Cutoff Instruction</td>
<td>Cut off 6 years after last activity or last date of correspondence.</td>
</tr>
<tr>
<td>Retention Period</td>
<td>Destroy 25 year(s) after cutoff.</td>
</tr>
<tr>
<td>Additional Information</td>
<td></td>
</tr>
<tr>
<td>GAO Approval</td>
<td>Not Required</td>
</tr>
</tbody>
</table>
Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
<th>By</th>
<th>Title</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/11/2013</td>
<td>Certify</td>
<td>Janet Gardner</td>
<td>Chief, records Management Unit</td>
<td>Drug Enforcement Administration - Records Management Unit</td>
</tr>
<tr>
<td>09/02/2014</td>
<td>Submit for Concur rence</td>
<td>Elizabeth Greenberg</td>
<td>Appraiser</td>
<td>National Archives and Records Administration - Records Management Services</td>
</tr>
<tr>
<td>09/04/2014</td>
<td>Concur</td>
<td>Margaret Hawkins</td>
<td>Director of Records Management Services</td>
<td>National Records Management Program - Records Management Services</td>
</tr>
<tr>
<td>09/04/2014</td>
<td>Concur</td>
<td>Laurence Brewer</td>
<td>Director, National Records Management Program</td>
<td>National Archives and Records Administration - National Records Management Program</td>
</tr>
<tr>
<td>09/04/2014</td>
<td>Approve</td>
<td>David Ferriero</td>
<td>Archivist of the United States</td>
<td>Office of the Archivist - Office of the Archivist</td>
</tr>
</tbody>
</table>
Request for Records Disposition Authority

Records Schedule Number: DAA-0170-2014-0001
Schedule Status: Approved
Agency or Establishment: Drug Enforcement Administration
Record Group / Scheduling Group: Records of the Drug Enforcement Administration
Records Schedule applies to: Agency-wide
Schedule Subject: Intelligence Case Support Files
Internal agency concurrences will be provided: No

Background Information: Records are primarily created by the Office of Intelligence to include the intelligence function absorbed from the National Drug Intelligence Center (NDIC).

Item Count

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>1</td>
<td>0</td>
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</table>

GAO Approval
Outline of Records Schedule Items for DAA-0170-2014-0001

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Records Description</th>
<th>Disposition Authority Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Intelligence Case Support Files</td>
<td>DAA-0170-2014-0001-0001</td>
</tr>
</tbody>
</table>
### Records Schedule Items

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Intelligence Case Support Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

**Disposition Authority Number**  
DAA-0170-2014-0001-0001

Copies of field requests, responses by the Office of Intelligence, and finished products created from intelligence file reviews, telephone toll analyses, informant briefings and defendant questionings, document analysis, link analysis charts, case analyses, and financial intelligence assessments. The original documents are filed in investigative files (601-07, 601-08, and 601-09). These files may be in electronic or hardcopy (non-electronic), or both.

**Final Disposition**  
Temporary

**Item Status**  
Active

**Is this item media neutral?**  
Yes

**Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?**  
Yes

**Do any of the records covered by this item exist as structured electronic data?**  
Yes

<table>
<thead>
<tr>
<th>Manual Citation</th>
<th>Manual Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>701-01</td>
<td>DEARIS, Intelligence Case Support Files</td>
</tr>
</tbody>
</table>

**GRS or Superseded Authority Citation**  
N1-170-89-1, item 701-01

**Disposition Instruction**  
Destroy when 90 days old or whenever no longer needed for reference, whichever is sooner.

**Additional Information**  
Not Required
Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
<th>By</th>
<th>Title</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/29/2013</td>
<td>Certify</td>
<td>Janet Gardner</td>
<td>Chief, records Management Unit</td>
<td>Drug Enforcement Administration - Records Management Unit</td>
</tr>
<tr>
<td>02/10/2015</td>
<td>Submit for Concur</td>
<td>Elizabeth Greenberg</td>
<td>Appraiser</td>
<td>National Archives and Records Administration - Records Management Services</td>
</tr>
<tr>
<td>02/10/2015</td>
<td>Concur</td>
<td>Margaret Hawkins</td>
<td>Director of Records Management Services</td>
<td>National Records Management Program - Records Management Services</td>
</tr>
<tr>
<td>02/10/2015</td>
<td>Concur</td>
<td>Laurence Brewer</td>
<td>Director, National Records Management Program</td>
<td>National Archives and Records Administration - National Records Management Program</td>
</tr>
<tr>
<td>02/11/2015</td>
<td>Approve</td>
<td>David Ferriero</td>
<td>Archivist of the United States</td>
<td>Office of the Archivist - Office of the Archivist</td>
</tr>
</tbody>
</table>
Request for Records Disposition Authority

Records Schedule Number: DAA-0170-2014-0002
Schedule Status: Approved
Agency or Establishment: Drug Enforcement Administration
Record Group / Scheduling Group: Records of the Drug Enforcement Administration
Records Schedule applies to: Agency-wide
Schedule Subject: Records Amendments and/or Corrections File
Internal agency concurrences will be provided: No

Background Information: These files document the adjudication and administrative actions taken regarding requests for corrections, amendments or removal of records, files or information in a system. These requests do not include requests brought by individuals under the Privacy Act, 5 U.S.C. 552a.

Note that investigative case files in the IMPACT system are under a separate disposition authority (DAA-0170-2013-0004).

Item Count

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0</td>
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<td>0</td>
</tr>
</tbody>
</table>

GAO Approval
Outline of Records Schedule Items for DAA-0170-2014-0002

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Records Amendments and/or Corrections Files</td>
</tr>
<tr>
<td></td>
<td>Disposition Authority Number: DAA-0170-2014-0002-0001</td>
</tr>
</tbody>
</table>
### Records Schedule Items

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Records Amendments and/or Corrections Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Disposition Authority Number: DAA-0170-2014-0002-0001</td>
</tr>
</tbody>
</table>

**Files contain copies of case control sheets, requests, memoranda, supporting documentation, and correspondence related to the adjudication of the request.**

**Final Disposition:** Temporary

**Item Status:** Active

**Is this item media neutral?** Yes

**Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?** Yes

**Do any of the records covered by this item exist as structured electronic data?** Yes

**Disposition Instruction:** Date of administrative action

**Cutoff Instruction:** Destroy 3 year(s) after date of administrative action

**Retention Period:**

**Additional Information:**

**GAO Approval:** Not Required
Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
<th>By</th>
<th>Title</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/31/2013</td>
<td>Certify</td>
<td>Janet Gardner</td>
<td>Chief, records Management Unit</td>
<td>Drug Enforcement Administration - Records Management Unit</td>
</tr>
<tr>
<td>06/04/2014</td>
<td>Submit for Concur rence</td>
<td>Rania Mahmoud</td>
<td>Appraisal Archivist</td>
<td>National Archives and Records Administration - Records Management Services</td>
</tr>
<tr>
<td>06/09/2014</td>
<td>Concur</td>
<td>Margaret Hawkins</td>
<td>Director of Records Management Services</td>
<td>National Records Management Program - Records Management Services</td>
</tr>
<tr>
<td>06/10/2014</td>
<td>Concur</td>
<td>Laurence Brewer</td>
<td>Director, National Records Management Program</td>
<td>National Archives and Records Administration - National Records Management Program</td>
</tr>
<tr>
<td>06/12/2014</td>
<td>Approve</td>
<td>David Ferriero</td>
<td>Archivist of the United States</td>
<td>Office of the Archivist - Office of the Archivist</td>
</tr>
</tbody>
</table>
Request for Records Disposition Authority

Records Schedule Number: DAA-0170-2014-0003
Schedule Status: Modified Approved Version

Agency or Establishment: Drug Enforcement Administration
Record Group / Scheduling Group: Records of the Drug Enforcement Administration
Records Schedule applies to: Agency-wide
Schedule Subject: Expunction Order Files
Internal agency concurrences will be provided: No

Background Information:
These files relate to a Federal Court Order to expunge/eradicate records, information in a record or information in a system related to legal proceedings brought pursuant to 18 U.S.C. subsection 3606, 21 U.S.C. subsection 844, 5 U.S.C. subsection 552a in which DEA is a party.

Item Count

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdawn Disposition Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
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</table>

GAO Approval
Outline of Records Schedule Items for DAA-0170-2014-0003

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Description</th>
<th>Disposition Authority Number</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Expunction Order Files</td>
<td>DAA-0170-2014-0003-0001</td>
</tr>
<tr>
<td>2</td>
<td>Correspondence</td>
<td>DAA-0170-2014-0003-0002</td>
</tr>
</tbody>
</table>
## Records Schedule Items

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Expunction Order Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>DAA-0170-2014-0003-0001</td>
</tr>
</tbody>
</table>

Records, files, or information in a system relating to the defendant's arrest to be expunged pursuant to a Federal Court Order. The expunction files will contain the orders of the court, pleadings, the original of the expunged record(s), and copies of the changed or modified records.

- **Final Disposition**: Temporary
- **Item Status**: Active
- **Is this item media neutral?**: Yes
- **Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?**: Yes
- **Do any of the records covered by this item exist as structured electronic data?**: Yes

### Disposition Instruction
- **Retention Period**: Destroy immediately.

### Additional Information
- **GAO Approval**: Not Required

### Correspondence
- **Disposition Authority Number**: DAA-0170-2014-0003-0002
- **Correspondence**: Documenting efforts to order to comply with the court order, including certification of compliance.

- **Final Disposition**: Temporary
- **Item Status**: Active
- **Is this item media neutral?**: Yes
- **Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?**: No

### Disposition Instruction
<table>
<thead>
<tr>
<th>Cutoff Instruction</th>
<th>Date of Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Destroy 3 year(s) after Date of Certification</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Required</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Additional Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>GAO Approval</td>
</tr>
<tr>
<td>Not Required</td>
</tr>
</tbody>
</table>
Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

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<th>Action</th>
<th>By</th>
<th>Title</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/31/2013</td>
<td>Certify</td>
<td>Janet Gardner</td>
<td>Chief, records Management Unit</td>
<td>Drug Enforcement Administration - Records Management Unit</td>
</tr>
<tr>
<td>07/01/2014</td>
<td>Submit for Concur rence</td>
<td>Rania Mahmoud</td>
<td>Appraisal Archivist</td>
<td>National Archives and Records Administration - Records Management Services</td>
</tr>
<tr>
<td>07/07/2014</td>
<td>Concur</td>
<td>Margaret Hawkins</td>
<td>Director of Records Management Services</td>
<td>National Records Management Program - Records Management Services</td>
</tr>
<tr>
<td>07/08/2014</td>
<td>Concur</td>
<td>Laurence Brewer</td>
<td>Director, National Records Management Program</td>
<td>National Archives and Records Administration - National Records Management Program</td>
</tr>
</tbody>
</table>
Request for Records Disposition Authority

Records Schedule Number: DAA-0170-2014-0004
Schedule Status: Approved

Agency or Establishment: Drug Enforcement Administration
Record Group / Scheduling Group: Records of the Drug Enforcement Administration
Records Schedule applies to: Agency-wide
Schedule Subject: Registration Application Files
Internal agency concurrences will be provided: No

Background Information: These files relate to the control of legally manufactured drugs.

Item Count

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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</tr>
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</table>

GAO Approval
Outline of Records Schedule Items for DAA-0170-2014-0004

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Registration Application Files</th>
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<tbody>
<tr>
<td>1</td>
<td>Registration Application Files</td>
</tr>
<tr>
<td>1.1</td>
<td>Disposition Authority Number: DAA-0170-2014-0004-0001</td>
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## Records Schedule Items

<table>
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<tr>
<th>Sequence Number</th>
<th>Registration Application Files</th>
<th>Disposition Authority Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>These Files relate to the control of legally manufactured drugs.</td>
<td>DAA-0170-2014-0004-0001</td>
</tr>
<tr>
<td>1.1</td>
<td>Registration Application Files</td>
<td></td>
</tr>
</tbody>
</table>

**Disposition Authority Number**

DAA-0170-2014-0004-0001

**An electronic system of individuals and/or companies who currently do or propose to manufacture, distribute, import, export or dispense controlled substances. Handlers of controlled substances are required to register under the Comprehensive Drug Abuse Prevention and Control Act of 1970. Note: All inputs, outputs and system documentation are covered by GRS 20.**

**Final Disposition**

Temporary

**Item Status**

Active

**Is this item media neutral?**

Yes

**Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?**

Yes

**Do any of the records covered by this item exist as structured electronic data?**

Yes

### Manual Citation

<table>
<thead>
<tr>
<th>Manual Citation</th>
<th>Manual Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>630-05</td>
<td>DEA Records Information System (DEARIS) Handbook</td>
</tr>
</tbody>
</table>

**GRS or Superseded Authority Citation**

NC1-170-77-1 / 1220-09

N1-170-89-1 / 630-05

N1-170-89-1 / 1220-44

**Disposition Instruction**

**Cutoff Instruction**

Date placed in historical file

**Retention Period**

Destroy 15 year(s) after date placed in historical file

**Additional Information**

Not Required

**GAO Approval**

Not Required
### Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

### Signatory Information

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
<th>By</th>
<th>Title</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/09/2014</td>
<td>Certify</td>
<td>Janet Gardner</td>
<td>Chief, records Management Unit</td>
<td>Drug Enforcement Administration - Records Management Unit</td>
</tr>
<tr>
<td>08/26/2014</td>
<td>Submit for Concur rence</td>
<td>Rania Mahmoud</td>
<td>Appraisal Archivist</td>
<td>National Archives and Records Administration - Records Management Services</td>
</tr>
<tr>
<td>08/28/2014</td>
<td>Concur</td>
<td>Margaret Hawkins</td>
<td>Director of Records Management Services</td>
<td>National Records Management Program - Records Management Services</td>
</tr>
<tr>
<td>08/28/2014</td>
<td>Concur</td>
<td>Laurence Brewer</td>
<td>Director, National Records Management Program</td>
<td>National Archives and Records Administration - National Records Management Program</td>
</tr>
<tr>
<td>09/02/2014</td>
<td>Approve</td>
<td>David Ferriero</td>
<td>Archivist of the United States</td>
<td>Office of the Archivist - Office of the Archivist</td>
</tr>
</tbody>
</table>
Request for Records Disposition Authority

Records Schedule Number: DAA-0170-2015-0001
Schedule Status: Approved

Agency or Establishment: Drug Enforcement Administration
Record Group / Scheduling Group: Records of the Drug Enforcement Administration
Records Schedule applies to: Agency-wide
Schedule Subject: Training Media Files.
Internal agency concurrences will be provided: No

Background Information: These files relate to planning, conducting, supervising, and evaluating the DEA drug/narcotic enforcement program training.

Item Count

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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</tr>
</tbody>
</table>

GAO Approval
### Outline of Records Schedule Items for DAA-0170-2015-0001

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Item Description</th>
<th>Disposition Authority Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Training Media Files</td>
<td>DAA-0170-2015-0001-0001</td>
</tr>
<tr>
<td>1.1</td>
<td>Training Media Files</td>
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</tr>
</tbody>
</table>
### Records Schedule Items

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Training Media Files. These files relate to planning, conducting, supervising and evaluating the DEA drug/narcotic enforcement program training</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Training Media Files</td>
</tr>
<tr>
<td>Disposition Authority Number</td>
<td>DAA-0170-2015-0001-0001</td>
</tr>
<tr>
<td>Documents accumulated by activities engaged in training operations, particularly in the conduct of training. Included are training schedules, programs, lesson plans, and similar or related documents.</td>
<td></td>
</tr>
<tr>
<td>Final Disposition</td>
<td>Temporary</td>
</tr>
<tr>
<td>Item Status</td>
<td>Active</td>
</tr>
<tr>
<td>Is this item media neutral?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do any of the records covered by this item exist as structured electronic data?</td>
<td>Yes</td>
</tr>
<tr>
<td>Manual Citation</td>
<td>DFN 801-07</td>
</tr>
<tr>
<td>Manual Title</td>
<td>DEARIS</td>
</tr>
<tr>
<td>GRS or Superseded Authority Citation</td>
<td>NC1-170-77-1</td>
</tr>
<tr>
<td>Disposition Instruction</td>
<td></td>
</tr>
<tr>
<td>Cutoff Instruction</td>
<td>Fiscal year</td>
</tr>
<tr>
<td>Retention Period</td>
<td>Destroy 7 year(s) after end of fiscal year</td>
</tr>
<tr>
<td>Additional Information</td>
<td></td>
</tr>
<tr>
<td>GAO Approval</td>
<td>Not Required</td>
</tr>
</tbody>
</table>
# Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
<th>By</th>
<th>Title</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/01/2015</td>
<td>Return to Submitter</td>
<td>Janet Gardner</td>
<td>Chief, records Management Unit</td>
<td>Drug Enforcement Administration - Records Management Unit</td>
</tr>
<tr>
<td>04/01/2015</td>
<td>Certify</td>
<td>Janet Gardner</td>
<td>Chief, records Management Unit</td>
<td>Drug Enforcement Administration - Records Management Unit</td>
</tr>
<tr>
<td>05/15/2015</td>
<td>Submit for Concurrency</td>
<td>Elizabeth Greenberg</td>
<td>Appraiser</td>
<td>National Archives and Records Administration - Records Management Services</td>
</tr>
<tr>
<td>05/19/2015</td>
<td>Concur</td>
<td>Margaret Hawkins</td>
<td>Director of Records Management Services</td>
<td>National Records Management Program - ACNR Records Management Services</td>
</tr>
<tr>
<td>05/19/2015</td>
<td>Concur</td>
<td>Laurence Brewer</td>
<td>Director, National Records Management Program</td>
<td>National Archives and Records Administration - National Records Management Program</td>
</tr>
<tr>
<td>05/21/2015</td>
<td>Approve</td>
<td>David Ferriero</td>
<td>Archivist of the United States</td>
<td>Office of the Archivist - Office of the Archivist</td>
</tr>
</tbody>
</table>
Request for Records Disposition Authority

Records Schedule Number: DAA-0170-2015-0002
Schedule Status: Approved

Agency or Establishment: Drug Enforcement Administration
Record Group / Scheduling Group: Records of the Drug Enforcement Administration
Records Schedule applies to: Agency-wide
Schedule Subject: Non-actionable Items
Internal agency concurrences will be provided: No

Background Information: This schedule pertains to non-actionable information obtained pursuant to the service of a DEA Administrative Subpoena.

Item Count:

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>0</td>
</tr>
</tbody>
</table>

GAO Approval
Outline of Records Schedule Items for DAA-0170-2015-0002

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Non-actionable Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Disposition Authority Number: DAA-0170-2015-0002-0001</td>
</tr>
<tr>
<td>Sequence Number</td>
<td>Non-actionable Items</td>
</tr>
<tr>
<td>-----------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

**Disposition Authority Number:** DAA-0170-2015-0002-0001

**Non-actionable information received by the agency from the service of a DEA Administrative Subpoena. Records maybe kept electronically, on removable media or hardcopy (i.e., paper).**

**Final Disposition:** Temporary

**Item Status:** Active

**Is this item media neutral?** Yes

**Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?** Yes

**Do any of the records covered by this item exist as structured electronic data?** Yes

**Disposition Instruction:**

- **Cutoff Instruction:** Receipt date
- **Retention Period:** Destroy 3 year(s) after date of receipt.

**Additional Information:**

- **GAO Approval:** Not Required
**Agency Certification**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

**Signatory Information**

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<th>By</th>
<th>Title</th>
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<td>Certify</td>
<td>Janet Gardner</td>
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<td>Drug Enforcement Management Unit - Records Management Unit</td>
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<td>06/09/2015</td>
<td>Submit for Concur rence</td>
<td>Elizabeth Greenberg</td>
<td>Appraiser</td>
<td>National Archives and Records Administration - Records Management Services</td>
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<td>David Ferriero</td>
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