

DCAAM 5015.1
January 1972



**FILES
MAINTENANCE
& DISPOSITION
MANUAL**

DEPARTMENT OF DEFENSE
DEFENSE CONTRACT AUDIT AGENCY

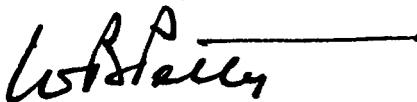
DCAA FILES MAINTENANCE AND DISPOSITION MANUAL

FOREWORD

This Manual implements the requirements of DCAAR 5015.1 by providing instructions for the maintenance and disposition of DCAA files. Its provisions are applicable to all elements of DCAA, and govern the maintenance and disposition of all DCAA records.

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

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

A handwritten signature in black ink, appearing to read 'W. B. Petty', with a horizontal line extending to the right from the end of the signature.

WILLIAM B. PETTY
Director

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CHAPTER 1

GENERAL

I. PURPOSE

To provide an official Agency medium for issuing policy statements and instructions relative to the maintenance and disposition of all DCAA records. (41 CFR 101-11.2)

II. STATUTORY AUTHORITY

- A. Files Maintenance. The statutory authority and the delegation of that authority are contained in DCAAR 5015.1, Records Management.
- B. Disposal of Records. The disposal of records of the United States Government which have insufficient administrative, legal, research, or other value to warrant their further preservation is governed by the provisions of section 505(a) and 506(b) of the Federal Records Act of 1950 (44 USC 2904, 3102) and the Records Disposal Act (44 USC 3301, 3309). Records accumulated by DCAA 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 USC 2071).

III. POLICY

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

- A. Planning for the organizational placement of files; assigning responsibility for their maintenance; arranging files to facilitate their use; establishing procedures for complete and accurate documentation; and establishing procedures to promote efficient and economical use of files equipment, personnel, supplies, and space.
- B. Ensuring preservation of records of continuing value and systematic disposal of all other records.
- C. Removing, when possible, less active records from office space to low-cost storage space at the expiration of their utility.
- D. Providing safeguards against loss or unauthorized removal of DCAA records.

IV. RESPONSIBILITIES

- A. Records Administrator, DCAA in addition to those responsibilities assigned in DCAAR 5015.1, will:
1. Review and grant approvals, when justified by local situations, to retain files beyond the prescribed disposal date. When records are so retained, a copy of the directive authorizing such retention shall be furnished to the Administrator, GSA, and such records shall be disposed of as soon as is administratively practicable.
 2. Ensure the submission of the consolidated DCAA Annual Summary of Records Holdings as prescribed in Section VI.
- B. Records Management Officers in addition to those responsibilities assigned in DCAAR 5015.1, will:
1. Exercise staff supervision over the program for the maintenance and disposition of DCAA records.
 2. Ensure that provisions of this DCAAM are followed in the maintenance and disposition of DCAA records.
 3. Request authority of the Records Administrator, DCAA to retain files beyond the prescribed disposal date, when justified by local conditions in the interest of economy and in cases of emergency.
 4. Ensure that records are properly arranged and packed prior to retirement to the appropriate Federal Records Center.
 5. Submit recommendations to the Records Administrator, DCAA to establish appropriate disposal standards for categories of files not specifically identified in this Manual that accumulate at the rate of one or more cubic feet annually. Each such recommendation will include the title of the file, a description of the functions the file documents, recommended retention period, and a citation to any DCAA or higher authority regulation(s) related to the functions reflected in the file.
 6. Submit to the Records Administrator, DCAA the consolidated Regional Annual Summary of Records Holdings as prescribed in Section VI.
 7. Review requests for files equipment and supplies prior to the initiation of supply action.

V. DEFINITIONS

- A. Records. The term "records" includes the same material as is included in the definition of the term "files", except that "records" is the more inclusive term, covering the document from the time of its creation until the time of its destruction.
- B. Files. The term "files" includes all books, papers, maps, photographs, or other documentary material, regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or on shelves and occupying DCAA office or storage space. The following materials will not be considered as files: Publications and blank forms stocked for filling requisitions; reference materials and books in formally organized and officially designated libraries; and reproduction materials such as stencils, master ditto, and multilith plates.
- C. Current Files Area. Active files space, normally office space, utilized by the office or unit which creates the files, or files space of a records unit which maintains files for the offices or units creating them.
- D. Inactive Files Area. An area set aside in less expensive space by a DCAA office for the purpose of maintaining inactive or cutoff records pending retirement to a Federal Records Center or destruction.
- E. Federal Records Center. A General Services Administration activity established for the storage, servicing, security, and processing of records that need not be retained in office equipment and space, but which must be preserved for varying periods of time.
- F. Cutoff. The termination of files at regular intervals to permit their disposal in complete file blocks. Under this process, a file is terminated regularly at the end of a specified period of time or after an event and a new file is established.
- G. Retirement. The movement of files from the current or inactive files area to a Federal Records Center.
- H. Transfer. The movement of files to another Government agency, exclusive of the Federal Records Center.
- I. Destroy. The destruction of files.
- J. Disposal. The salvage or destruction of files.

- K. Disposition. A comprehensive term which includes cutoff, retirement, transfer, or destroy.
- L. Disposition Standard. A time period for cutoff, retirement, transfer, or destruction of a file. The term is used collectively to include the terms "cutoff standard," retirement standard," and "disposal standard."

VI. REPORTS

- A. Annual Summary of Records Holdings has been assigned reports control symbol RCS: CA-CM(A)25. This report will be prepared annually as of June 30 and will be submitted to reach the Records Administrator, DCAA not later than July 15. The Records Administrator, DCAA will submit a consolidated DCAA report to GSA not later than August 1. (See Chapter 6.)
- B. Regional Records Management Officers will submit a consolidated regional report to the Records Administrator, DCAA.
- C. Reports will be prepared on Standard Form 136, Annual Summary of Records Holdings, containing the data provided for by headings on the SF 136 supplemented by the following:
 - 1. Records which are in the physical custody of Federal Records Centers will not be reported as on hand.
 - 2. The reverse side of SF 136 contains a guide for computing cubic feet of records. In determining the amount of records on hand, visual estimates rather than precise measurements will produce sufficiently reliable totals. Make necessary adjustments for partially filled containers. Fractions will be rounded out to the nearest whole foot.

VII. INSTALLING THE DCAA FILES SYSTEM

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

- A. Calendar-Year Files
 - 1. Cut off all current calendar-year files December 31, 1971, and begin using the DCAA Files System for all records created on and after January 1, 1972.

2. By July 1, 1972, all DCAA elements will reorganize and relabel, as applicable, those files cut off on December 31, 1971, to conform to the files numbers and disposition standards contained herein.

B. Fiscal-Year Files

1. Cut off all fiscal-year files June 30, 1972, and begin using the DCAA Files System for all records created on and after July 1, 1972.
2. By December 31, 1972, all DCAA elements will reorganize and relabel, as applicable, those files cut off on June 30, 1972, to conform to the files numbers and disposition standards contained herein.

C. Files Cut Off Prior to December 31, 1971

1. By October 31, 1972, or before scheduled retirement, whichever is earlier, all DCAA elements will relabel, as applicable, all records in the current or inactive files areas which were cut off prior to December 31, 1971.
2. If changing only the primary file disposition control label will achieve adequate control for disposition and reference purposes, individual folder labels for file subdivisions need not be changed.
3. In instances when a prior file number contains material which, under this Manual would be filed under two or more numbers, the file series need not be physically separated or renumbered if the primary files disposition label is changed to reflect a disposal date equating the longer retention period prescribed for the pertinent new file numbers. However, if the material under the old file number includes material now identified as "permanent" such material will be physically separated and arranged as a separate file series and properly identified; the remaining temporary material will then be identified as to proper disposition.

- D. Files Retired to Federal Records Centers Prior to December 31, 1971. By January 1, 1973, records management officers, in coordination with operating elements will advise the Federal Records Centers as to applicable disposal dates for records which were retired prior to December 31, 1971.



CHAPTER 2

FILES PLANNING

I. FILES PLANNING

- A. Purpose. Planning the proper location of files is the first step in complying with the Federal Records Act of 1950: that DCAA documentation is adequate and proper and that all DCAA records are economically and efficiently managed. Proper location will reduce the volume of records created and maintained by reducing the number of duplicate copies generated; simplify correspondence practices by reducing the number of copies prepared; increase the accessibility of records; conserve files space; and minimize the need for files personnel, equipment, and supplies.
- B. Concept. As a general rule, a file should be maintained as near as practicable to the organizational element that uses it most frequently (Office-of-Record File Stations). However, particular records in an office of record are not always complete by themselves because of the sharing of responsibility for an action between two or more offices with each office being concerned with a different aspect of the action; but when compiled with those of other offices of record they can tell the complete story (Central File Stations). Files are created and maintained to serve as administrative tools and many records must be excluded from central files; therefore, a coordinated network of central and office-of-record file stations may be required. Local situations based on efficiency, economy, and adequate documentation of functions, will determine requirements for file stations.
- C. Establishing File Stations
 1. Office-of-Record File Stations. Office-of-record file stations are necessary when records must be excluded from central files. When establishing office-of-record file stations, Records Management Officers will be guided by the following criteria:
 - a. Office-of-record file stations will be officially designated as such and will be assigned responsibility for the custody and maintenance of the permanent and temporary current records of the offices served.

- b. Avoid locating the records of offices unrelated by function in one office-of-record file station. The maintenance of records by the office primarily concerned with the function makes the files more useful, improves documentation of functions, and facilitates disposition of records.
 - c. Records will be sufficiently accessible to the users to preclude the maintenance of duplicate files within the offices served. Maintenance of duplicate copies by users is prohibited. (Reading files are not considered to be duplicate copies of files.)
 - d. Locate the station at the point of greatest activity for convenience of the users. If the records of an organizational element are normally used only by that element, it should be designated as the office-of-record file station.
 - e. Records Management Officers will prepare a file station directory to serve as a connecting link between network stations. This listing of all active stations and their authorized records holdings will be distributed to records users for help in identifying the station maintaining a particular record. (See Chapter 6.)
2. Central File Stations. When establishing central file stations, Records Management Officers will be guided by the following criteria:
- a. Central file stations will be officially designated as such and will be assigned responsibility for the custody and maintenance of the permanent and temporary current authorized records holdings.
 - b. Separate central file stations will be established for classified and unclassified records.
 - c. Locate the station at the point of greatest activity for convenience of users.
 - d. The central file station will serve as a central reference unit responsible for maintaining, in the form of a master index, up-to-date information on the location of all current inactive records within the scope of the network. (See Chapter 6.)

- e. Creating offices are responsible for providing copies of those records designated to be filed in the central files.
3. Inactive Files Stations. Local situations will determine location and control of inactive file stations.
4. Federal Records Center. Although outside the jurisdiction of the Agency, the Federal Records Center is an integral part of the DCAA files network. (See Chapter 4.)

II. FILES EQUIPMENT

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

- A. Conservation. Maximum utilization of available files equipment will be accomplished through the following means:
 1. Used or reconditioned correspondence filing cabinets will be utilized in meeting requirements for additional correspondence filing cabinets.
 2. Files equipment which becomes excess to local needs will be used to fill requirements of other elements in the same headquarters or field offices.
 3. Files will be retired to records centers or destroyed in accordance with applicable instructions contained in this Manual.
 4. Filing cabinets will not be used to maintain blank forms, publications, and office supplies except when the volume is small and it is advantageous to utilize otherwise empty unneeded file drawers.

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

1. Letter size cabinets will be used to the maximum extent practicable for maintaining file material.
2. Legal size cabinets may be substituted for letter size cabinets when only legal size are available from existing stock.
3. Security filing cabinets will not be used for unclassified material except as provided in Chapter 3, Section V
4. Key lock cabinets will not be used except when material to be filed is required by regulations to be maintained under lock and key.
5. Filing cabinets will not be used for material which at the time of filing is eligible for destruction.

C. Standard Equipment.

1. The following items of filing equipment are standard:
 - a. Filing cabinet, letter size, steel, gray, sectional type, 5 drawers high, 1 drawer wide, 28 inches deep, 57½ inches high, 14 7/8 inches wide.
 - b. Filing cabinet, legal size, steel, gray, sectional type, 5 drawers high, 1 drawer wide, 28 inches deep, 57½ inches high, 18½ inches wide.
 - c. Filing cabinet, card size, 3 by 5 inches, steel, 1 drawer high, 1 drawer wide, 5½ inches wide, 16 inches deep, 5 inches high OR 1 drawer high, 1 drawer wide, 11 inches wide, 16 inches deep, 5 inches high.
 - d. Filing cabinet, tabulating card size, 3½ inches by 7½ inches, steel, 11 drawers high, 2 compartment drawers, 1 drawer wide, 57 inches high, 19½ inches wide, 28 inches deep.

- e. Filing cabinet, card size, 5 by 8 inches, steel, 1 drawer wide, 1 drawer high, 8 3/4 inches wide, 16 inches deep, 6 inches high OR 1 drawer high, 2 drawers wide, 20 inches wide, 16 inches deep, 6 inches high.
 - f. Map and plan filing cabinets:
 - (1) Tops, steel, map and plan filing cabinets, 3/4 by 42 1/2 by 53 3/4 inches.
 - (2) Five drawer sections, 15 3/8 by 41 7/16 by 53 3/4 inches, for drawings up to 48 by 36 inches.
 - (3) Base, steel, map and plan filing cabinet, 4 by 41 7/16 by 53 3/4 inches.
 - g. Bookcase sections:
 - (1) Top, bookcase section, steel, gray, 33 inches wide by 13 inches deep by 2 1/2 inches high.
 - (2) Bookcase section, steel, gray, in the following sizes, with or without glass door. Because of the lower cost, those without doors are standard for use in areas where the dust factor is not significant. For general use, the largest size should be procured; the two smaller sizes should be procured only when it is known that such sizes will be suitable on a continuing basis:
 - 33" wide x 13" deep x 13 1/2" high
 - 33" wide x 13" deep x 15 1/2" high
 - 33" wide x 13" deep x 17 1/2" high
 - (3) Base, bookcase section, steel, gray, 33 inches wide by 13 inches deep by 10 inches high.
 - h. Security filing equipment required by security regulations to be used for housing classified documents.
2. All future requisitions initiated for letter or legal size filing cabinets will request issuance of 5-drawer cabinets described above; however, supply officers may substitute 4-drawer cabinets if they are available. Five-drawer cabinets will not be requisitioned solely for the purpose of replacing other types of cabinets now in use or on hand.

3. Prior to recommending supply action, records management officers will assure that the requirement cannot be filled by better utilization of equipment by destruction or retirement of records.
- D. Nonstandard Equipment. Requests for files equipment not listed as standard equipment will be submitted to the local records management officer who will review the file and file operations involved prior to recommending supply action. This review will include consideration of the factors listed below:
1. The type of file and its disposition instructions and the present equipment and its condition.
 2. Basic file operations that are involved.
 3. Total man-hours required daily for the operations utilizing present equipment versus man-hours required utilizing proposed equipment.
 4. Estimated annual net increase in volume.
 5. Maximum capacity of present and proposed equipment.
 6. Accessories, such as stands, covers, locks, or others necessary for the operation of the proposed equipment.
 7. Unit and total cost of the proposed equipment.
 8. Disposition of the present equipment.
 9. Comparison of the equipment of two or more manufacturers which generally meet the requirements of the file operation involved.
 10. Such other factors as may be considered necessary to assure selection of the most efficient and economical equipment.

III. FILES SUPPLIES

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

- A. Conservation. Folders and guides will be conserved by:
1. Limiting the volume of material placed in folders and file drawers to the maximum servicing capacity of the folders and drawers so that material can be inserted and withdrawn without damaging the folders and guides.

2. Placing folders and guides in a drawer so that their bottom edges rest flat on the bottom of the file drawer. This prevents damage to top edges when the drawer is closed.
 3. Avoiding the use of guides in files which can be readily identified through the proper use of folder labels.
 4. Utilizing letter size folders for files series which contain predominately letter size documents even though legal size cabinets are in use.
 5. Reusing folders and guides when a file is destroyed whenever this is economical.
- B. Standard Supplies. The files supplies described below will be used for maintaining letter and legal size files unless otherwise prescribed by regulation or approved for use under the provisions of Section III C. below.

1. Folders

- a. Folder, file, manila, vertical, plain bottom, scored, 9.5 point, 3/4 inch expansion, 9½ by 11 3/4 inches, square cut.
- b. Folder, file, manila, vertical, plain bottom, scored, 9.5 point, 3/4 inch expansion, 9½ by 14 3/4 inches, square cut.

2. Guides

- a. Card, guide, file, pressboard, gray, unprinted, 25 point, self-tab, 1/3 cut, first position, without lower projection, 9½ by 11 3/4 inches.
- b. Card, guide, file, pressboard, gray, unprinted, 25 point self-tab, 1/3 cut, first position, without lower projection, 9½ by 14 7/8 inches.

3. Labels. Labels, file folder, pressure-sensitive as follow:

| <u>Federal Stock Number</u> | <u>Color</u> |
|-----------------------------|--------------|
| 7530-577-4368 | Light Blue |
| 7530-577-4369 | Green |
| 7530-577-4371 | Dark Red |
| 7530-577-4373 | Goldenrod |
| 7530-577-4376 | White |

(NOTE: Existing stocks of the previously standard gummed labels are to be used until supply is exhausted. In files

series where the color of labels used has a functional significance and that color is not available in the new standard labels, use the most closely related color, e.g., buff in place of goldenrod; pink in place of dark red).

4. Fasteners

- a. Fastener, paper, spaced prong type, base only without compressor, 2 3/4 inches between prongs, steel, 1 or 2 inch capacity, 100 per box.
- b. Compressor, spaced prong, paper fastener, metal 2 3/4 inches between prongs, 100 per box.

5. Binders. Three-ring type, 1 or 2 inch capacity, canvas or black levant covers; and label holders for such binders.

C. Nonstandard Supplies. Supplies other than those described above are nonstandard. Each requisition for nonstandard supplies will be accompanied by a statement giving the reason why it is impractical to use standard supplies. Prior to supply action the requisition will be reviewed by the records management officer, who will submit his recommendation to the supply official.

D. Forms. The following forms may be used for files maintenance and reference operations: (See Chapter 6.)

1. Optional Form 21 - Cross-Reference.
2. Optional Form 23 - Chargeout Record (Card).
3. Optional Form 24 - Shelf File Chargeout Record (letter size).
4. Optional Form 25 - Shelf File Chargeout Record (legal size).

CHAPTER 3

FILES MAINTENANCE

I. OFFICIAL RECORD COPY

One file copy of all outgoing correspondence will be prepared on a green tissue which will be the Official Record Copy. For documents prepared without a green tissue, the original, or a copy thereof, must be designated as the Official Record Copy.

II. AUTHORIZING RECORDS FOR FILE

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

III. PROCESSING RECORDS FOR FILE

- A. Inspection of Papers. Papers processed for file should be reviewed for file authority (if required), for completeness, and to eliminate unnecessary material.
 1. File Authority. Return papers, other than types identified in Section II.C, above, received without file authority to the office/originator responsible for the action.
 2. Completeness
 - a. Check for basic papers, enclosures, and other papers which should be included to complete the record.
 - b. Contact last action office for missing papers or copies, as that office is most likely to have retained the missing papers.

- c. If missing papers, or copies of such papers, cannot be obtained, place a note to that effect on the papers to be filed together with explanation as to efforts made to locate them.
3. Unnecessary Material. Discard unnecessary documents such as used envelopes, routing slips, unused drafts, and extra copies when the original of a paper is available; except that an extra copy containing coordination, concurrences, or other important information essential to the file will be retained and filed. DCAA Labels 1, 2, 3, and 4 will not be attached to a classified document when the document is filed in the security container.
- B. Assembly of Papers. Arrange file copies of correspondence as indicated below and file by the date of the latest action.
1. Separate Correspondence. A separate "chain" of correspondence consists of the basic papers (paper starting the action), any replies continuing the action, enclosures, and supporting papers forming a part of the whole action. The method for assembling such papers, in top-to-bottom order, is given below:
 - a. The latest action (by date) with enclosures, if any.
 - b. The basic paper with enclosures, if any.
 - c. Other comments and/or concurrences, beginning with the earliest paper with enclosures, if any.
 - d. Other replies with enclosures, if any.
 - e. Internal supporting papers with enclosures, if any.
 2. Related Papers. These are papers which are directly related or contain reference to earlier papers on the same subject or transaction.
 - a. When to Combine Related Papers. Combine papers of a later date which are directly related to or refer to papers of an earlier date only when reference requirements clearly require such action. Such papers as the following should be combined to assure complete documentation and to avoid split files: Replies with the basic communication; changes in a policy or procedure that is changed; and all papers regarding one individual, one contract, etc. These are commonly known as "case files."

- b. When Not to Combine Related Papers. A reference in later papers to earlier papers does not necessarily require that the papers be combined. Do not combine papers such as: Recurring reports with the policy document requiring the report; and papers on the same subject relating to different transactions, such as two separate requisitions for filing supplies or reports of inspections of two different organizations.
 - c. Combining Papers Dated in Different Years. Frequently, there are papers which clearly relate to and should be combined with earlier papers which are included in a file of a previous year (a cutoff file). Remove the earlier related papers, attach them back of the current papers and file in the current file.
 - d. How to Assemble and Combine Related Papers. Assemble related papers separately under the method prescribed in paragraph B.1., above. Then, staple the papers together and place them on top of the earlier case and place in file according to the date of the latest action. If cross-references have been made to earlier papers, it is desirable to either withdraw and update the cross-references or make a new cross-reference to file under the date the earlier papers were filed.
- C. Fastening. The fasteners described below will be used to hold assembled papers together. Straight pins, paper clips, and rubber bands will not be used for fastening papers which are filed. (A single set of assembled papers should normally be filed loose within the proper folder. Fastening together all papers within a folder is justified when the entire contents to be fastened together constitute a single case or when it is necessary to preserve a fixed arrangement necessary to facilitate utilization.)
1. Staples. Use wire staples to the maximum extent to fasten related loose papers together. They are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers. Stapling in the upper right and left corners will facilitate filing and searching within a folder.
 2. Prong Fasteners. Use to fasten related file material together only when the thickness of the material on a completed action, or related actions filed as a case, precludes the use of wire staples.

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

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

E. Files Numbering. Proper file numbers for documents will be determined as provided in Chapter 5.

F. Posting File Numbers

1. The file number is placed on a document at the time of typing, if known, or at the time it is processed for file. When the physical characteristics of a document make it self-identifying for filing purposes, posting the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are: Reference copies of publications, mail control forms, bills of lading, and documents appropriate only for filing in a specific type of case file such as the Official Personnel Folder. When posting the file number is required, write or type it in the upper right hand corner.

2. When the file material under a single file number is subdivided into several folders each having appropriate subtitles, a brief identification of the subtitle should also be written immediately after the file number.

3. If cross-references are necessary, they are indicated under and indented to the right of the file number. The cross-reference is preceded by an "X" to distinguish it from the file number and to indicate that it is a cross-reference.

G. Cross-References

1. A cross-reference is a paper filed under one file number and date to show the location of material filed elsewhere. Cross-references will be prepared only when essential to finding needs.

2. Frequently, an extra copy of a paper can be appropriately annotated to show where the original is filed and then filed under the cross-reference number. If this is not feasible, then Optional Form 21, Cross-Reference, may be used.

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

IV. LABELS

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

- A. Files Containers. File drawers or other containers should be identified, as a minimum, to show file number and year (if applicable) of the first item in the drawer or container.
- B. Guides. Standard file guides will be arranged in files so that the tabs are in a uniform position to the left side (first position) of the file drawer. Guides should always be used to separate primary functions, and may be used for further subdivisions if the volume is such that utilization of the files is facilitated by guides. Guides may be hand-lettered or typewritten labels may be used.
- C. Folders. Folders are used to keep papers relating to the same subject together, to provide a guide to those papers, and to protect the papers. When the material in any folder reaches the normal capacity (three-fourths of an inch) of the folder, a second folder should be prepared. The second folder should begin at a logical point, such as at the beginning of a month, calendar quarters, etc.
 1. Color of Folder Labels. While the standard prescribed folder labels are available in five different colors, using a variety of colors without specific reasons therefor is meaningless. However, the different colors may frequently be used to advantage. For example, buff may be used for files to be held in CFA until destroyed; pink, for files to be retired to the applicable FRC; blue, for permanent files; green, for contract folders as an aid to readily identify them when they are out of the file; etc.

2. Abbreviations on Folder Labels. In addition to other readily understood abbreviations, the following are prescribed for use in labeling folders:

| | |
|------|-----------------------------------|
| CIFA | Current or inactive files area |
| CFA | Current files area |
| COFF | Cut off |
| Dest | Destroy |
| FRC | Applicable Federal Records Center |
| PIF | Place in inactive file |
| Ret | Retire |

3. Content of Labels. Care will be taken to prepare these labels properly as errors could cause unauthorized disposal of records. Labels will show the file number, file title, year of the file (when applicable), and the disposition instructions applicable to the file. Appropriate abbreviations may be used, particularly those relating to cutoff and disposition. To determine the proper disposition instructions, it is necessary to translate the applicable cutoff and retirement criteria (Chapter 4, Section I) and the final disposition instructions (Chapter 5, Appendix B) into specific terms and dates applicable to the file involved. The following examples illustrate proper labeling on folders:

a. File With a 1-Year Disposal Standard

2355.05 Pubns. Coord. (FY 72) COFF 30 Jun 72,
Dest Jul 73

b. File With a 2-Year Disposal Standard

4200.03 Acctg. Corres. (FY 72) COFF 30 Jun 72,
Dest Dec 74

c. File With a 10-Year Disposal Standard

4220.03 Allotment Work Papers (FY 72) COFF 30 Jun 72,
Ret FRC 1 Jul 75, Dest Jul 82

d. File With a Permanent Disposal Standard

2355.03 Pubns. Record Set (CY 72) COFF 31 Dec 72,
Ret FRC 1 Jan 77. PERMANENT.

e. File To Be Destroyed Upon Occurrence Of Event

3306.02 Class. Stds., Dest when superseded

f. A current file for which the disposition is based on a specified period of time after the occurrence of an event

2365.03 Rpts. Mgmt. Case (Current)
PIF when rpt discontinued

g. An inactive file for which the disposition is based on a specified period of time after the occurrence of an event

2365.03 Rpts. Mgmt. Case (Inactive 71)
COFF 31 Dec 71, Dest Jan 73

4. Exceptions to Complete Labeling. When a file series consists of several folders, each containing a segment of the file series, only the first folder in the series need show the file number, title, and disposition instructions. Other folders need show only the file number, the series subtitle, and the year, if applicable. File numbers may be omitted from individual folders when a subdivided files series comprises one or more file drawers and the folders or documents therein are of a distinctive type or bear a distinctive identification (e.g., the name on a personnel records jacket or financial data records folder, the name of a contractor and/or contract number, voucher number, etc.). In these cases, the file series will be identified by complete labeling information at the beginning of the file series.

V. SECURITY CLASSIFIED RECORDS

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

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

VI. FILING BULKY MATERIAL

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

VII. FILES REFERENCE PROCEDURES

- A. General. The effectiveness of any file or file room operation can be judged in large measure by the speed and accuracy with which requested files or information can be found and furnished. To the maximum extent practicable, only specifically designated personnel should file and withdraw papers from the file. This saves time, limits misfiled papers, and provides a control over the papers in the file.
- B. Chargeout Procedures. A chargeout record may be made and substituted for all papers removed from a file for reference purposes. Information entered on the chargeout record is used for locating material that is removed from the file and also serves as a "suspense" control. Placing the chargeout card in the file also facilitates finding the proper position in the file when refileing the papers. Normally, only the required papers are charged out (i.e., the folder itself and any other documents remain in the file series). However, in "case" filing when, because of special requirements, documents are attached to the folder (e.g., official personnel folders) the entire file should be charged out. In such instances, if it is necessary to accommodate papers received for adding to the file, an unlabeled folder should be used and the papers and the chargeout card filed therein.

1. Unclassified Files. For material filed in legal or letter size equipment:
 - a. Optional Form 23 (Chargeout Record). When papers are charged out for use, use this card-type form, making appropriate entries on the next available line. Place it in the filing location from which the file material is removed so that the word "OUT" is visible. When charged-out papers are refiled, line out the entries on the form and the form is then available for reuse. (NOTE: In the case of shelf files, Optional Form 24 or 25, as applicable should be used in lieu of Optional Form 23). (See Chapter 6.)
 - b. Suspense and Followup. Chargeout cards also serve as a suspense control on documents which have been charged out for use. Chargeout cards in the file should be checked periodically to ensure that file material is not kept out of the file for excessively long periods. A uniform followup tracing time for charged-out material should be established (normally, 5 to 10 working days). Papers which have been out of file longer than the established date should be traced, normally verbally, to prevent loss.
 - c. Local Procedures. When the files are not of the type maintained in legal or letter size containers, the above methods for charging out files may be used if feasible; if not, other appropriate methods may be devised.
2. Security Classified Files. The procedures above for unclassified files may be used also to charge out classified files; however, when used, they must be supplemented by procedures prescribed for the control and receipting of classified material.

VIII. CUTTING OFF FILES

Files will be cut off at given intervals, as prescribed in Chapter 4, Section I, and a new file begun. This technique facilitates files reference by keeping files in smaller-sized and more easily managed blocks, and also facilitates the proper disposition of the files at later dates.

CHAPTER 4

FILES DISPOSITION

I. SPECIFIC DISPOSITION PROCEDURES

- A. The cutoff intervals indicated are minimum requirements. More frequent cutoff is authorized when such would be beneficial.
- B. The holding periods indicated before retirement are maximum unless an exception has been granted as provided for in Chapter 1, Section IV.A.1.
- C. Specific time periods for the cutoff and disposition of files are as follows, except as otherwise indicated in Section V.D. and Chapter 5, Appendix B:
 1. Event or Action. Files which are disposable upon the occurrence of an event, such as supersession or obsolescence or the accomplishment of an administrative action will be withdrawn from the current file upon the event or accomplishment and destroyed.
 2. Time Period After an Event or Action. Files which are disposable after a specified retention period following the occurrence of an event (such as audit, final payment, completion of a project, or separation from service) will be withdrawn from the current files upon occurrence of the event and placed in an inactive file. Further disposition will be effected by applying appropriate criteria in paragraphs 3 through 10, below.
 3. One Month. Files having a retention period of 1 month will be cut off at the end of each month, held 1 month in the current or inactive files area, then destroyed.
 4. Three Months. Files having a retention period of 3 months will be cut off at the end of each quarter, held 3 months in the current or inactive files area, then destroyed.
 5. Six Months. Files having a retention period of 6 months will be cut off semiannually, as of June 30 and December 31 of each year, held 6 months in the current or inactive files area, then destroyed.
 6. One Year. Files having a retention period of 1 year will be cut off at the end of the calendar or fiscal year, as applicable, held 1 year in the current or inactive files area, then destroyed.

7. Two Years. Files having a retention period of 2 years will be cut off at the end of the calendar or fiscal year, as applicable, held 2 years in the current or inactive files area, then destroyed.
8. Three Years. Files having a retention period of 3 years will be cut off at the end of the calendar or fiscal year, as applicable, held 3 years in current or inactive files area, then destroyed.
9. Temporary Files With a Retention Period of Four or More Years. Temporary files having a retention period of 4 or more years will be cut off at the end of the calendar or fiscal year, as applicable, held 3 years in current or inactive files area, then retired to appropriate Federal Records Center.
10. Permanent Files. Permanent files will be cut off at the end of the calendar year, fiscal year, or event or action, as appropriate, held 5 years in the current or inactive files area, then retired to the appropriate Federal Records Center.

II. TRANSFER PROCEDURES

- A. Intra-DCAA Transfers. Records may be transferred from one DCAA activity to another when required in the conduct of official business. Records so transferred will be cut off and new files begun, to the extent feasible.
- B. Intra-DoD Transfers. The transfer of files from a DCAA activity to another DoD activity is authorized only when such records accompany a transfer of functions. Similarly, a DCAA activity may accept custody of records transferred to it with a transfer of functions. Records so received will be cut off and new files begun, to the extent feasible. The Records Administrator, DCAA, will be notified prior to such transfers.
- C. Transfer to Other Government Agencies. The regulations of the General Services Administration prohibit the transfer of files from one Government agency to another without the approval of the Archivist of the United States, unless the transfer of records or functions or both is required by statute, Executive Order, or Presidential reorganization plan, or by specific determinations made thereunder, or when the records are transferred to a Federal Records Center. When none of these conditions exist, a recommendation for transfer will be submitted to the Records Administrator, DCAA. Such recommendation will include a concise description of the files to be transferred including an estimate of the volume in cubic feet, name and location of the agency to which the files are to be transferred, and the reasons for the transfer.

III. ACCIDENTAL DESTRUCTION OF FILES

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

- A. Reconstruct as much of the lost or destroyed permanent files as possible. For example, a permanent record set of publications may be reconstructed by replacing the lost or destroyed publications with copies withdrawn from reference sets or by obtaining copies of the publications from stocks or from other organizations.
- B. When it is not possible to reconstruct permanent records, they will be identified on the appropriate records retirement list at the time of retirement of records of the same date period to the records center. Along with the description of the records, an explanatory note regarding the accidental disposal of the records will be included.

IV. DESTRUCTION OF FILES

- A. Unclassified Files. Unclassified files authorized for destruction will be sold as waste paper or destroyed. Such files will be reported to the property disposal officer who will determine whether they will be destroyed or sold as waste paper; however, contracts for the sale of files as waste paper will prohibit their resale unless they have been treated in such a manner as to destroy their content.
- B. Classified and Registered Documents. Classified and registered documents authorized for destruction under disposal standards in Chapter 5, Appendix B, will be destroyed in the manner prescribed in DCAA security regulations. Security regulations do not constitute authority for disposal of such documents, but only prescribe the manner or method by which such documents are to be destroyed.

V. RETIREMENT OF FILES

Noncurrent DCAA files which are not authorized for retention in current or inactive files areas until eligible for destruction will be retired to the appropriate regional Federal Records Center of the General Services Administration. Section VII shows the areas served and the address of each Federal Records Center.

- A. Combining Central Files and Office of Record Files. Prior to packing for retirement, the Records Management Officer and the Central Files Personnel will combine records of the Central Files and the Office of Record Files, discarding duplicate records.
- B. Liaison With Federal Records Centers. To the extent feasible, direct contact with Federal Records Center representatives is

encouraged. Most problems can be resolved by informal contacts; however, informal negotiations will not be used as a substitute for the requirements of formal documentation specified in this Manual.

- C. Retirement Rule. Normally, small quantities of records (less than 1 cubic foot) should be retained at the Agency location until at least one cubic foot accumulates.
- D. Retirement of Classified Files
1. General. Security classified files will not be retired to an inactive files area unless the inactive files area meets the security requirements for the storage of classified files.
 2. TOP SECRET Files. Files bearing this security classification will not be retired to an inactive files area or to a Federal Records Center until reduced to a lower classification.
 3. CONFIDENTIAL and SECRET Files. Files bearing these security classifications will be retired to the appropriate Federal Records Center when eligible for retirement under the provisions of Section I, above; however, prior to retirement, these files will be reviewed for downgrading or declassification in accordance with appropriate security regulations.
 4. Classified records will be retired as separate retirement actions from unclassified records. Separate transmittal documents will be prepared and separate accession numbers will be obtained. This procedure will apply even when the retirement of both classified and unclassified records is physically handled by the same shipment.
- E. Combined Retirements of Permanent and Temporary Files. DCAA activities retiring temporary records will retire such records as separate retirement actions from their permanent records. Separate transmittal documents will be prepared and separate accession numbers will be obtained. This procedure will apply even when the retirement of both permanent and temporary records is physically handled by the same shipment.
- F. Shipping Containers and Supplies
1. The containers and supplies described below will be used for packing and shipping files to Federal Records Centers:
 - a. Box, corrugated (fiberboard); style RCS; metal stapled overlap joint; 200-pound test; size 15 by 12 by 10 inches; FSN 8115-290-3379. In addition to this standard size, comparable quality boxes may be used for other than legal and letter size files.

- b. Tape, pressure sensitive, water resistant, paper, 120-yard roll, 3 inches wide, FSN 8135-397-6656.
 - c. Standard Form 135, Records Transmittal and Receipt, and Standard Form 135a, Records Transmittal and Receipt (Continuation). (See Chapter 6.)
2. Requisitioning Shipping Containers and Supplies. Shipping containers and supplies will be obtained through regular supply channels.
- G. Preparation of Transmittal Documents (SF 135, SF 135a)
1. Standard Form 135, any continuation thereof (SF 135a) and a sufficient number of carbon copies to meet the following requirements will be prepared when retiring records to Federal Records Centers.
 - a. The original and first carbon copy will be transmitted to the appropriate Federal Records Center prior to the time of shipment of the records.
 - b. The second carbon copy will be placed in an envelope and filed as the first item in the first container of the shipment.
 - c. The third carbon copy will be retained by the preparing office as a suspense and reference copy pending return of a receipted copy from the records center.
 - d. When retiring records at the field office level, a carbon copy will be forwarded to the Regional Records Management Officer for retention.
 - e. When retiring permanent records, a carbon copy will be forwarded to the Records Administrator, DCAA, for retention.
 2. The following instructions govern the entry of information on Standard Form 135 and 135a:
 - a. "ACCESSION NO." block. Activities in the Washington, DC area will obtain accession number in advance and enter the number on the transmittal document and the records boxes. Other activities are encouraged to obtain such numbers in advance when the servicing records center operates in this manner. Some records centers assign the number only upon receipt of the records.
 - b. "RECORD GROUP NO." block. Enter "372." This number has been assigned by GSA to identify records of DCAA.

- c. "FROM" block. Enter the full name and address of the DCAA activity retiring the records. (Note that the internal organizational elements which created and maintained the files are indicated in Item 13).
- d. "TO" block. Enter the address of the records center to which the records are being retired. When retiring records to the Washington National Records Center the words "Federal Records Center, GSA" need not be deleted.
- e. Item 1. If the records are security classified, see paragraph 3 below. If the records include "For Official Use Only" material, enter "FOUO - Unclassified." Otherwise, enter "Unclassified." If any special restrictions are imposed on the use of the records, these also should be entered.
- f. Items 2 and 3. No entries required.
- g. Item 4. Enter the total cubic feet of records covered by the transmittal. When all the containers are the standard records boxes, this entry is identical to the total number of boxes.
- h. Items 5, 6, and 7. Self-explanatory.
- i. Item 8. Normally, this item will be checked in the "yes" block; however, if there is any reason for feeling that possibly the records should not be disposed of on the projected disposal date, the "no" block should be checked. Activities retiring files will promptly notify the records center if unforeseen events indicate that any records series should not be destroyed on a projected disposal date.
- j. Items 9, 10, and 11. To be completed by the responsible records management officer or his designee.
- k. Item 12. Enter box numbers in consecutive sequence opposite the first line describing its contents, e.g., 1/12, 2/12, etc. See paragraph H.3., below.
- l. Item 13. As the first entry in this column, indicate the complete name of the organizational element creating and maintaining the files; normally the activity retiring the files. If the files were "inherited" from a predecessor organization, also identify that organization and explain. Following this information, enter the

description of records being retired. Enter the file number, title, year(s) of accumulation for each file series. Titles of files subdivisions, or an indication of method of subdivision, will be shown as appropriate to facilitate later references to the files. When a series extends into more than one box, the file description need not be repeated but the inclusive contents of each box normally will be indicated (e.g., A-K, L-Z, or 1-250, 251-500). In lieu of this normal "box-by-box" listing, the inclusive numbers (e.g., 10/48 - 44/48) may be indicated, provided that the boxes themselves are labeled (marked) as to their respective inclusive contents. This method is sometimes desirable with regard to large volumes of a single records series having a low reference rate. In the case of more active records, box-by-box listings on the SF 135 is desirable as it permits the retiring office to specify the specific box number involved when making reference requests, thus facilitating the reference service.

- m. Item 14. Enter at the top of this column "DCAAM 5015.1." Opposite each description in Item 13, enter the month and year that the files will become eligible for disposal; or if permanent records, enter "Permanent."
3. Transmittal Documents for Classified Files. Classified files which are authorized for retirement will be described on transmittal documents in a manner similar to that prescribed in paragraph 2, above. In addition, the following instructions apply to such retirements:
- a. Classified files will be identified on a separate set of transmittal documents, and treated as a separate files retirement action.
 - b. The highest security classification of any document included in the retirement will be shown immediately following the description of records in Item 13.
 - c. The inclusion of classified information on the Standard Form 135 will be avoided, insofar as possible. If classified information is shown, the Standard Form 135 will be classified accordingly.
 - d. A separate listing of individual SECRET documents will be prepared on DCAA Form 5205-3, Classified Multiple Document Receipt And/Or Tracer. This listing will show

container number, file number, folder title and thereunder identifying descriptions of specific documents. This listing will be prepared in triplicate. The original will be attached to the original Standard Form 135. The first carbon copy will be transmitted with the records, receipted for by the addressee, and returned to the preparing office. The second carbon copy will be retained by the preparing office as a suspense copy pending return of the receipted copy.

H. Packing Procedures

1. Arrangement. Files will be packed in boxes in such a manner that the original filing arrangement is retained for each office retiring files. Folders will be placed in an upright position with letter size folders the 12-inch way facing the front of the box; legal size folders will face the left side of the box. Regardless of the size of the folders, the unstitched 12-inch side of the container is considered the front. Containers will be filled to capacity but not so tightly as to hinder later files reference service. Records which have been charged out should be recalled prior to packing records for retirement insofar as practical. When charged-out records are not recalled, adequate space must be left in the appropriate box to permit refiling after retirement.
2. Partially Filled Containers. When it is necessary to retire partially filled boxes, the space between the files and the inner walls of the box will be packed with crumpled or wadded paper or other suitable packing material to prevent movement of the contents. Excelsior, shredded paper, wax paper, additional file material or surplus file folders will not be used as packing material.
3. Numbering Boxes. Boxes will be numbered consecutively for each retirement. The numbering of boxes will include the consecutive number of the box, a diagonal, and the total number of boxes in the retirement. Thus, box number 12 of a retirement of 42 boxes will be shown as "12/42." Packages of odd-sized files will be included in their respective sequence within the numbering system. The indicating of the box numbers is a part of the labeling process described in the next paragraph.

4. Labeling Boxes. Boxes retired to a records center will be marked in the following manner using a heavy black or blue crayon or marking pen. On the front of the box (unstitched 12-inch side), in the upper left corner, boldly print the box number. Immediately below this, boldly print the accession number, if applicable. If accession number is not known, the office symbol of the retiring activity will be printed as an aid to assuring that boxes do not become intermingled with other retirements. Labeling as to contents is required only when boxes are not individually listed as to contents on the transmittal forms; when required, such information should be written on the end of the box, if feasible, or a gummed label with handwritten or typed entries may be used.

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

I. Shipping Procedures

1. Unclassified Files

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

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

"The agreed and declared value of the property is hereby specifically stated by the shipper to be not exceeding 3½¢ per pound."

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

2. Classified Files. In addition to the packing and shipping procedures specified above, the following procedures will be followed in making shipments of security classified records. Nothing in this manual will be construed as superseding or compromising current security directives or regulations issued by HQ, DCAA, or higher authority. In the event of conflict, the governing security directive will be followed.
 - a. Files classified SECRET or CONFIDENTIAL of sufficient volume to warrant use of the records shipping box will be wrapped in two packages of approximately equal size with heavy brown paper and sealed with tape. The outside of each wrapper will be marked with designation of the sender and addressee and proper security markings. These packages will be placed in the shipping box, and the box will be sealed. No indication of the classified nature of the contents will be placed on the outside of the shipping box.
 - b. When shipment by commercial means is necessary, files classified SECRET or CONFIDENTIAL will be shipped by REA Express, using Armed Surveillance Service, after advance arrangements have been made with REA Express for special protection from the time the files leave the hands of the consignor until delivered to the consignee. Files containing cryptographic material may be shipped by REA Express provided that in all instances they are accompanied by an officer courier in addition to armed guard(s).

- c. Small quantities of SECRET or CONFIDENTIAL files not warranting the use of the records shipping container will be packed for transmission in two covers. The inner cover will completely cover the files, preventing their disclosure to view, and will be sealed and marked in accordance with security procedures for transmitting security classified mail. SECRET material (excluding cryptographic) may be transmitted by U. S. Post Office registered mail. CONFIDENTIAL material (except cryptographic) may be transmitted by U. S. Post Office certified mail. SECRET and CONFIDENTIAL cryptographic material will be transmitted by courier of the Armed Forces Courier Service.

VI. RECORDS CENTER REFERENCE AND RETRIEVAL SERVICE

- A. Records can be readily retrieved from Federal Records Centers. Routine requests should be made by completing Optional Form 11, "Reference Request - Federal Records Centers." (See Chapter 6.) When requesting this service:
 1. Furnish complete delivery information to include name, telephone number, office code, room number, building name, and street address, city, state, and ZIP.
 2. Identify the records by accession number, box number in which records are filed, and precise description of records required. If available, the location number should be furnished.
 3. Boxes or individual folders (if properly identified) may be obtained. Generally, records centers will also provide information from unclassified files over the telephone if specific record is sufficiently identified.
 - a. If a complete box is needed, write or type "All" in the "File Item or Information Requested" column of the OF 11.
 - b. If several boxes are needed prepare a separate OF 11 for each box.
 - c. If a file folder is needed, type or write title of folder, number of folder and descriptive information in the "File Item or Information Requested" column.

- d. If several file folders are needed, prepare a separate OF 11 for each folder, as the last copy (yellow) of the OF 11 is used by the records center as a chargeout card.
- B. The information required in preparing the Optional Form 11 is obtained from the Standard Form 135.
- C. Withdrawn records should be returned in the order in which they were originally sent. When necessary to withdraw original documents for legal or other purposes, substitute copies should be provided to complete the file. Return the file to the records center promptly with a list of the original documents retained. The borrower is responsible for returning the original documents when they are no longer needed.

VII. FEDERAL RECORDS CENTERS

| <u>GSA</u> <u>Region</u> | <u>Area Served</u> | <u>Mailing Address</u> |
|-----------------------------|--|--|
| | Designated records of the Military Departments and the U.S. Coast Guard | National Personnel Records Center 9700 Page Blvd. St. Louis, MO 63132 |
| | Entire Federal Government (for personnel and pay records of separated Civilian employees; and other designated records | National Personnel Records Center 111 Winnebago Street St. Louis, MO 63118 |
| 1 | Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island | Federal Records Center 380 Trapelo Road Waltham, MA 02154 |
| 2 | New York, New Jersey, Puerto Rico, and the Virgin Islands | Federal Records Center 641 Washington Street New York, NY 10014 |
| 3 | Delaware and Pennsylvania east of Lancaster | Federal Records Center 5000 Wissahickon Avenue Philadelphia, PA 19144 |
| | Pennsylvania except areas east of Lancaster | Federal Records Center Naval Supply Depot Bldg. 308 Mechanicsburg, PA 17055 |
| | District of Columbia, Maryland, West Virginia and Virginia | Washington National Records Center Washington, DC 20409 |

| <u>GSA Region</u> | <u>Area Served</u> | <u>Mailing Address</u> |
|-----------------------|---|--|
| 4 | North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky | Federal Records Center 1557 St. Joseph Avenue East Point, GA 30044 |
| 5 | Illinois, Wisconsin, and Minnesota | Federal Records Center 7201 South Leamington Avenue Chicago, IL 60638 |
| | Indiana, Michigan, and Ohio | Federal Records Center 2400 West Dorothy Lane Dayton, OH 45439 |
| 6 | Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area | Federal Records Center 2306 East Bannister Road Kansas City, MO 64131 |
| | Greater St. Louis area (Missouri only) | National Personnel Records Center 111 Winnebago Street St. Louis, MO 63118 |
| 7 | Texas, Oklahoma, Arkansas, Louisiana, and New Mexico | Federal Records Center Post Office Box 6216 Fort Worth, TX 76115 |
| 8 | Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota | Federal Records Center Building 48 Denver Federal Center Denver, CO 80225 |
| 9 | Nevada except Clark County, California except Southern California and Pacific Ocean areas | Federal Records Center Building 1 100 Harrison Street San Francisco, CA 94105 |
| | Arizona; Clark County, Nevada; Southern California (counties of San Luis Obispo, Kern, San Bernar- dino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, San Diego). | Federal Records Center 4747 Eastern Avenue Bell, CA 90201 |

GSA
Region

Area Served

Mailing Address

10 Washington, Oregon, Idaho, and
Alaska

Federal Records Center
6125 Sand Point Way
Seattle, WA 98115

CHAPTER 5

DCAA FILES SYSTEM

I. PURPOSE

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

II. CONCEPT

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

III. ORGANIZATION

A. The system is organized into five primary functional areas as follows:

| <u>Number</u> | <u>Functional Area</u> |
|---------------|--------------------------|
| 1000 | General Administration |
| 2000 | Planning and Management |
| 3000 | Personnel Administration |
| 4000 | Financial Management |
| 7000 | Auditing Services |

B. File numbers consist of six digits which represent a progressive subdivision of the primary functional area. Only six-

digit numbers will be used as file numbers. Four digits serve only as guides leading to specific file numbers. For example:

| | |
|------------------|---|
| <u>4000</u> | Financial Management (Primary Function) |
| <u> 200</u> | Accounting (Secondary Function) |
| <u> 20</u> | Allotments (Tertiary Function) |
| <u> .05</u> | Disbursement Vouchers (Quaternary Function) |

- C. Subdivisions of Quaternary Functions. Documents filed under a single file number will be subdivided as necessary to facilitate filing and reference. When due to the general nature of the function represented by the file number or when the volume of papers under a file number is or is expected to be in excess of one folder, the material should be subdivided under whatever means will best serve reference requirements. One of the basic sequence methods for files subdivision specified below should be selected.
1. Subject Arrangement. This term describes the arrangement of files by topics denoting the subject involved. Such topical titles may also need to be further divided by sub-subjects or by any of the various other means described below. Subdividing files by subject arrangement is most frequently useful in "general" files. ("General" files usually have the last two digits ".01").
 2. Numerical Arrangement. This system is used to subdivide records that are normally identified and referred to by number such as bills of lading, requisitions, contracts, etc. Other records, such as accounting documents, are often arranged by allotment numbers, voucher numbers, etc.
 3. Chronological Arrangement. This system is used to arrange documents in date sequence when the date is the primary means of reference. It is the most useful method for keeping documents in small manageable groups, usually by year, month, and day. Chronological arrangement is frequently used in conjunction with other systems. Reading and suspense files are examples of records which are generally arranged by date.
 4. Geographical Arrangement. This is a file arrangement by geographical location such as area, country, state, county, etc. It is used when the geographical location is of primary importance in referring to records. Usually the file is arranged in alphabetical sequence first by the name of the main geographical division such as a "state," then by the next most important subdivision required for reference purposes such as "counties," or "cities."

5. Organizational Arrangement. This file arrangement is used when the grouping of documents by the name of the organization is of primary importance in referring to the records. Organizational arrangement is fundamentally an alphabetical and/or numerical arrangement of organizations as they relate to each other. They are arranged by particular levels of command subdivided by subordinate elements arranged alphabetically and/or numerically by the designations of the organizations.
6. Alphabetical Arrangement. This arrangement is used to file documents by names of persons, companies, agencies, etc., in alphabetical order. It is used when the name is of primary importance in referring to the records, as in the case of Official Personnel Folders.

IV. ADDITION OF FILE NUMBERS

Numerous gaps have been left between numbers assigned to permit future expansion of the System; however, such additional numbers may not be added locally, but will be approved by the Records Administrator, DCAA.

V. DISPOSITION INSTRUCTIONS

Final disposition instructions are added as parenthetical statements after each file description. In those instances where cutoff and/or retirement instructions are not included, determinations as to proper cutoff intervals and/or holding periods before retirement or destruction will be made as provided in Chapter 4, Section I.

VI. SELECTING FILE NUMBERS

- A. In selecting file numbers, it is important to keep in mind the "functional" approach discussed in Section II above; to think in terms of the primary functions and the significance of the paper in connection with those functions. Thus, the process involved in finding the proper file number is one of progression from the primary functional area through the pertinent subdivisions thereunder to the specific file number having a description appropriate to the paper being filed.
- B. So that the System will provide basic file numbers for all categories of documents the first file number in most primary functions, and many subfunctions, is a "general" file. Such numbers are to be used only when there is no other file number within the group appropriate for filing of the paper. Future experience will indicate the areas where additional file numbers, descriptions, and disposition standards are needed.

- C. A files outline (Appendix A) has been prepared as an aid to finding applicable file numbers. After finding the appropriate four-digit number, the descriptive matter in the text (Appendix B) must be consulted to affirm that the proper subgroup has been found and to select the proper number for the paper to be filed.
- D. Most offices will need to use only a relatively few of the file numbers contained in the DCAA Files System; however, all offices probably will require those files listed in the 1000 series. For purposes of initially installing the system and for day-to-day files operating purposes, most offices will find it helpful to develop and keep current a file plan. Such a plan should show the file number, file title, and a brief description of each file required by that office. In addition, when appropriate, information as to the specific subdivisions or subtitles in use or the method of subdivision should be included in such lists. Do not set up guides and folders for categories until the need is indicated.

APPENDIX A

OUTLINE OF DCAA FILES SYSTEM

1000 ADMINISTRATION

1000.01 Administration (General)

1010 OFFICE REFERENCE

1010.01 Suspense

1010.02 Policy and Precedent

1010.03 Reading

1010.04 Transitory or Reference Papers

1010.05 Reference Publications

1010.06 Background, Control, and Intermediary Documents

1010.07 Technical Material Reference

1020 OFFICE ADMINISTRATION

1020.01 Office Internal Management

1020.02 Office Finance

1020.03 Office Supply

1020.04 Office Facilities

1100 SPACE AND MAINTENANCE

1100.01 Space and Maintenance (General)

1100.02 Space and Maintenance Policies and Procedures

1100.03 Directory of Offices Listings

1110 SPACE UTILIZATION

1110.01 Space Assignments

1110.02 Space Reports

1120 BUILDING MANAGEMENT

1120.01 Building Management

1130 FAMILY HOUSING

1130.01 Family Housing

1140 VISITOR AND VEHICLE IDENTIFICATION

1140.01 Parking Permits and Vehicle Registration

1140.02 Temporary Passes and Permits for Visitors and Vehicles

1200 PROCUREMENT AND SUPPLY

- 1200.01 Procurement and Supply (General)
- 1200.02 Procurement and Supply Policies and Procedures
- 1200.03 Purchasing and Contracting Case Files

1210 PROPERTY ADMINISTRATION

- 1210.01 Property Administration (General)
- 1210.02 Property Administration Policies and Procedures
- 1210.03 Property Officer Designations
- 1210.04 Property Inventory Records
- 1210.05 Property Adjustment Approvals
- 1210.06 Excess Personal Property
- 1210.07 Hand Receipts

1300 COMMUNICATIONS SERVICES

- 1300.01 Communications Services (General)
- 1300.02 Communications Policies and Procedures
- 1300.03 Communications Accounts

1310 POSTAL AND MAIL SERVICE

- 1310.01 Postal Directory
- 1310.02 Mail Control
- 1310.03 Accountable Mail Receipts
- 1310.04 Lost and Rifled Mail

1320 TELECOMMUNICATIONS SERVICES

- 1320.01 Telecommunications Service Systems
- 1320.02 Teletype and Teletypewriter
- 1320.03 Telephones and Interphones
- 1320.04 Telephone Toll Call Records
- 1320.05 Message Logs and Registers

1400 PUBLICATIONS SERVICES

- 1400.01 Accountable Publications Receipt and Issue Records
- 1400.02 Accountable Forms Receipt and Issue Records
- 1400.03 Publications Initial Distribution Files
- 1400.04 Publications and Blank Forms Stock Records
- 1400.05 Publications and Blank Forms Supply Files
- 1400.06 Requisitions on the Public Printer
- 1400.07 Printing and Duplicating Requisitions
- 1400.08 Graphics and Visual Aids

1500 SECURITY AND INTELLIGENCE

- 1500.01 Security and Intelligence (General)
- 1500.02 Security and Intelligence Policies and Procedures
- 1500.03 Defense Investigative Program
- 1500.04 Defense Investigative Program Register
- 1500.05 Security Recurring Reports
- 1500.06 Designation of Security Control Officers

1510 SAFEGUARDING CLASSIFIED INFORMATION

- 1510.01 Safeguarding Classified Information (General)
- 1510.02 Security Classification Management
- 1510.03 Notices of Regrading and Declassification
- 1510.04 TOP SECRET Access Records
- 1510.05 Classified Documents Register
- 1510.06 Classified Document Receipt and/or Tracer
- 1510.07 Internal Classified Document Receipt
- 1510.08 Classified Document Destruction Certificate
- 1510.09 Classified Document Inventory
- 1510.10 Security Container Information
- 1510.11 Safe or Cabinet Security Records
- 1510.12 Classified Titles Index
- 1510.13 Security Inspection Scheduling
- 1510.14 Security Inspection Reports
- 1510.15 Security Training and Orientation
- 1510.16 Security Violations (Administrative)
- 1510.17 Security Violations (Major)

1520 NON-CLASSIFIED OFFICIAL INFORMATION

- 1520.01 Protection and Control of FOUO Information

1530 PERSONNEL SECURITY

- 1530.01 Personnel Security (General)
- 1530.02 Personnel Security Case Files (HQ, DCAA Only)
- 1530.03 Central Clearance Group
- 1530.04 Personnel Security Adjudications
- 1530.05 Case Resumes
- 1530.06 Clearance Request Files
- 1530.07 Security Clearance Certification
- 1530.08 Personnel Security Accreditations (HQ, DCAA Only)
- 1530.09 Authorized Couriers
- 1530.10 Background Investigation Programs
- 1530.11 Personnel Security Liaison

- 1530.12 Special Access Security Programs
- 1530.13 Special Access Security Clearance
- 1530.14 Security Briefings
- 1530.15 Security Debriefings
- 1530.16 Notifications of Visits
- 1530.17 Notifications of Security Clearance Status
- 1530.18 Security Status Master List (HQ, DCAA Only)
- 1530.19 Investigation Control (HQ, DCAA Only)
- 1530.20 Defensive Security
- 1530.21 Foreign Visitor Records

1540 PHYSICAL SECURITY

- 1540.01 Physical Security (General)
- 1540.02 DCAA Facility Security Data
- 1540.03 Key Control Records
- 1540.04 Lost and Found Files

1550 INTELLIGENCE

- 1550.01 Intelligence Summaries
- 1550.02 Intelligence Reference Material

1600 TRAVEL AND TRANSPORTATION

- 1600.01 Travel and Transportation (General)
- 1600.02 Travel and Transportation Policies and Procedures
- 1600.03 Transportation Officer

1610 PERSONNEL TRAVEL ARRANGEMENTS AND SERVICES

- 1610.01 Travel Orders
- 1610.02 Transportation Requests
- 1610.03 Transportation Requests Register
- 1610.04 Dependents' Travel

1620 LOCAL TRAVEL

- 1620.01 Local Travel (General)
- 1620.02 Local Transportation Authorization
- 1620.03 Bus Passes

1630 ADMINISTRATIVE-USE MOTOR VEHICLES

- 1630.01 Motor Vehicle Authorizations
- 1630.02 Motor Vehicle Reports

1700 DCAA HISTORICAL PROGRAM

- 1700.01 DCAA Historical Program (General)
- 1700.02 DCAA Histories
- 1700.03 Historical Background and Reference Materials
- 1700.04 Activity Historical Files

2000 PLANNING AND MANAGEMENT

- 2000.01 Planning and Management (General)
- 2000.02 Delegations of Authority

2100 PREPAREDNESS PLANNING

- 2100.01 International Planning
- 2100.02 War and Emergency Support Planning
- 2100.03 Emergency Tests and Exercises
- 2100.04 Fire Evacuation Plans
- 2100.05 Bomb Threat Plans
- 2100.06 Serious Incident Reports

2200 PLANNING

- 2200.01 Planning (General)
- 2200.02 Cross-Service Support Agreements
- 2200.03 DCAA Advisory Council
- 2200.04 DCAA Annual Report
- 2200.05 DCAA Executive Conference
- 2200.06 Staff Meetings
- 2200.07 DCAA Regional and FAO Conferences
- 2200.08 Regional HQ Visits to FAO's

2210 DCAA INSPECTIONS

- 2210.01 DCAA Inspections (General)
- 2210.02 DCAA Inspection Policies and Procedures
- 2210.03 Inspection Planning
- 2210.04 Inspection Reports
- 2210.05 Inspection Background Data
- 2210.06 Special Studies

2220 EXTERNAL INSPECTIONS AND INVESTIGATIONS

- 2220.01 General Accounting Office Investigations and Audits
- 2220.02 Office of Secretary of Defense Inspections
- 2220.03 Inspector General
- 2220.04 Inspections of Other Agencies

2300 MANAGEMENT

2300.01 Management (General)

2305 MANAGEMENT IMPROVEMENT

2305.01 Management Improvement (General)
2305.02 Management Improvement Policies and Procedures
2305.03 Management Surveys
2305.04 Management Survey Background Data
2305.05 Management Improvement Projects
2305.06 Management Improvement Reports
2305.07 Cost Reduction/Economic Analysis

2310 ORGANIZATIONS AND FUNCTIONS

2310.01 Defense Contract Audit Agency
2310.02 Headquarters, Defense Contract Audit Agency
2310.03 Regional Headquarters
2310.04 Field Audit Offices
2310.05 Other Activities

2320 SYSTEMS AND EQUIPMENT

2320.01 Systems and Equipment Management (General)
2320.02 Systems and Equipment Policies and Procedures
2320.03 ADP Time-Sharing Systems Development and Evaluation
2320.04 ADP Systems Implementation
2320.05 Equipment Evaluation Case Files
2320.06 Systems and Equipment Reports
2320.07 Data Standardization

2330 COMMITTEES

2330.01 Committees (General)
2330.02 Committee Management Policies and Procedures
2330.03 Committee Case Files

2355 PUBLICATIONS AND PRINTING

2355.01 Publications and Printing (General)
2355.02 Publications and Printing Policies and Procedures
2355.03 Publications Record Set
2355.04 Publications Background Papers
2355.05 Publications Coordination Files
2355.06 Implementation of DoD Issuances (HQ, DCAA Only)
2355.07 Publications Manuscripts and Art Work
2355.08 Publications and Printing Reports

2360 FORMS

- 2360.01 Forms Management (General)
- 2360.02 Forms Management Policies and Procedures
- 2360.03 Forms Management Reports
- 2360.04 Forms Numerical File (Internal)
- 2360.05 Forms Numerical File (External)
- 2360.06 Forms Register
- 2360.07 Forms Functional File

2365 REPORTS

- 2365.01 Reports Management (General)
- 2365.02 Reports Management Policies and Procedures
- 2365.03 Reports Case Files
- 2365.04 Reports Control Symbol Register

2370 CORRESPONDENCE

- 2370.01 Correspondence Management (General)
- 2370.02 Correspondence Policies and Procedures

2375 MAIL

- 2375.01 Mail Management (General)
- 2375.02 Mail Policies and Procedures

2380 RECORDS

- 2380.01 Records Management (General)
- 2380.02 Records Disposition
- 2380.03 Records Disposition Control
- 2380.04 Records Management Reports
- 2380.05 Files Equipment and Supplies
- 2380.06 Records Utilization Control

2400 LEGAL MATTERS

- 2400.01 Legal Matters (General)
- 2400.02 Statements of Employment and Financial Interests
- 2400.03 Legal Opinions
- 2400.04 Fraud and Irregularities

2410 CLAIMS, APPEALS, AND LITIGATION

- 2410.01 Claims, Appeals, and Litigation Policies and Procedures
- 2410.02 Contract Claims and Litigation
- 2410.03 Contract Appeals
- 2410.04 Claims and Litigation, Other Than Contractual
- 2410.05 Potential Claims

2420 INVENTIONS, PATENTS, AND COPYRIGHTS

- 2420.01 Inventions, Patents, and Copyrights Policies and Procedures
- 2420.02 Inventions, Patents, and Copyrights Case Files

2600 LEGISLATIVE AND CONGRESSIONAL

- 2600.01 Legislative and Congressional (General)
- 2600.02 Legislation
- 2600.03 Congressional Liaison
- 2600.04 Congressional Investigations and Hearings

2700 PUBLIC AFFAIRS

- 2700.01 Public Affairs (General)
- 2700.02 Public Affairs Policies and Procedures
- 2700.03 Published Articles
- 2700.04 Speeches
- 2700.05 Community Relations
- 2700.06 Biography Files
- 2700.07 Public Ceremonies
- 2700.08 Charity Contributions
- 2700.09 Blood Donor Program

3000 PERSONNEL ADMINISTRATION

- 3000.01 Personnel Administration (General)

3100 MANPOWER

- 3100.01 Manpower (General)
- 3100.02 Manpower Policies and Procedures
- 3100.03 Personnel Authorizations
- 3100.05 Personnel Control
- 3100.06 Personnel Strength Reports
- 3100.07 Manpower Surveys
- 3100.08 Manpower Requirements and Utilization Review

3200 MILITARY PERSONNEL

- 3200.01 Military Personnel (General)
- 3200.02 Ready Reserve

3300 CIVILIAN PERSONNEL

- 3300.01 Civilian Personnel (General)
- 3300.02 Civilian Personnel Servicing Agreements
- 3300.03 Civil Service Commission Inspections
- 3300.04 Personnel Reports
- 3300.05 Personnel Conferences

3301 PERSONNEL POLICIES AND OBJECTIVES

- 3301.01 Delegation of Authority
- 3301.02 Personnel Policies and Procedures
- 3301.03 Personnel Program Objectives

3306 POSITION CLASSIFICATION AND PAY MANAGEMENT

- 3306.01 Position Classification and Pay Management (General)
- 3306.02 Classification Standards
- 3306.03 Standards Development
- 3306.04 Position Descriptions (Master File)
- 3306.05 Position Description Number Log
- 3306.06 Position Descriptions (Extra Copies)
- 3306.07 Position Description Organization File
- 3306.08 Position Surveys
- 3306.09 Wage Board Administration
- 3306.10 Special Salary Rates
- 3306.11 Salary and Wage

3311 RECRUITING AND HIRING

- 3311.01 Recruiting and Hiring (General)
- 3311.02 Civil Service Certificates
- 3311.03 Applicant Supply Files
- 3311.04 Applications
- 3311.05 Job Opportunities
- 3311.06 Paid Advertising
- 3311.07 Priority Placement (Stopper) Lists
- 3311.08 Overseas Returnee Lists

3312 STUDENT TRAINEE PROGRAM

- 3312.01 Student Trainee Program (General)
- 3312.02 Student Trainee Case Files
- 3312.03 Student Record of Training

3315 CAREER MANAGEMENT

- 3315.01 Career Management (General)
- 3315.02 Career Programs
- 3315.03 Qualifications and Appraisals
- 3315.04 Referral Lists
- 3315.05 Career Management Board Activities

3321 TRAINING

- 3321.01 Training (General)
- 3321.02 Training Plans
- 3321.03 Individual Record of Training

3322 DCAA TRAINING

- 3322.01 Local Training
- 3322.02 DCAA Courses
- 3322.03 DCAA Course Development
- 3322.04 DCAA Course Evaluation
- 3322.05 Students and Instructors
- 3322.06 Non-DCAA Participation

3323 NON-DCAA TRAINING

- 3323.01 Other Government Training
- 3323.02 Non-Government Training

3330 PROFESSIONAL ACTIVITIES

- 3330.01 Professional Activities (General)
- 3330.02 CPA Accreditation
- 3330.03 CPA Accreditation Background Data
- 3330.04 CPA Preparation
- 3330.05 Report on Professional Activities
- 3330.06 Regional Summaries

3336 PROMOTION, QUALIFICATION, AND PLACEMENT

- 3336.01 Promotion, Qualification, and Placement (General)
- 3336.02 Qualification Standards
- 3336.03 Applications for Promotion
- 3336.04 Promotion Register and Record
- 3336.05 Reemployment Rights

3337 REASSIGNMENTS, JOB ROTATION, AND DETAILS

- 3337.01 Reassignments, Job Rotation, and Details (General)
- 3337.02 Case Files

3341 INCENTIVE AND ACCOMPLISHMENT AWARDS

- 3341.01 Incentive and Accomplishment Awards (General)
- 3341.02 Incentive Awards Reports
- 3341.03 Register of Honorary and Monetary Awards (Except Suggestions)
- 3341.04 Incentive Awards Boards
- 3341.05 Nominations for Awards
- 3341.06 Service Recognition
- 3341.07 Civilian Service Emblem Control Files
- 3341.08 Employee Suggestion Register
- 3341.09 Employee Suggestions

3346 EQUAL EMPLOYMENT OPPORTUNITY

- 3346.01 Equal Employment Opportunity (General)
- 3346.02 Equal Employment Opportunity Policies and Procedures
- 3346.03 Equal Employment Opportunity Reports
- 3346.04 Equal Employment Opportunity Complaints

3347 LABOR-MANAGEMENT RELATIONS

- 3347.01 Labor-Management Relations (General)
- 3347.02 Labor-Management Policies and Procedures
- 3347.03 Employee Organization Case Files
- 3347.04 Labor Relations

3348 STANDARDS OF CONDUCT

- 3348.01 Standards of Conduct (General)
- 3348.02 Standards of Conduct Policies and Procedures
- 3348.03 Standards of Conduct Operations

3349 EMPLOYEE RELATIONS

- 3349.01 Employee Relations (General)
- 3349.02 Reduction in Force (General)
- 3349.03 Competitive Levels
- 3349.04 Retention Registers

3358 EMPLOYEE GRIEVANCES AND APPEALS

- 3358.01 Employee Grievances and Appeals (General)
- 3358.02 Employee Grievance and Appeal Policies and Procedures
- 3358.03 Employee Grievance and Appeal Case Files

3361 EMPLOYEE BENEFITS

- 3361.01 Employee Benefits

3371 PERSONNEL RECORDS

- 3371.01 Personnel Records (General)
- 3371.02 Personnel Identification Media
- 3371.03 Personnel Identification Registers
- 3371.04 Payroll Liaison
- 3371.20 Official Personnel Folders (Civilian Personnel Office Only)
- 3371.21 Locator Records (Civilian Personnel Office)
- 3371.22 Personnel Authorizations (Civilian Personnel Office Only)
- 3371.23 Service Record File (Civilian Personnel Office Only)
- 3371.24 Inactive Service Records (Civilian Personnel Office Only)
- 3371.25 Departure Clearances (Civilian Personnel Office Only)
- 3371.26 Group Action Requests (Civilian Personnel Office Only)
- 3371.27 Chronological Journal (Civilian Personnel Office Only)
- 3371.50 Employee Records
- 3371.51 Position Descriptions
- 3371.52 Separations, Military Service
- 3371.53 Request for Personnel Action
- 3371.54 Civilian Personnel Information

3381 PROGRAM PLANNING AND EVALUATION

- 3381.01 Program Planning and Evaluation (General)
- 3381.02 Program Planning and Evaluation Reports

3382 STAFF ASSISTANCE TO SUPERVISORS

- 3382.01 Staff Assistance to Supervisors (General)
- 3382.02 DCAA Surveys of Civilian Personnel Administration

3388 DCAA SAVINGS BOND PROGRAM

- 3388.01 DCAA Savings Bond Program (General)
- 3388.02 Savings Bond Reports

3400 MORALE, WELFARE, AND RECREATION

- 3400.01 Morale, Welfare, and Recreation

3500 SAFETY PROGRAM

- 3500.01 Safety Program (General)
- 3500.02 Safety Program Policies and Procedures
- 3500.03 Safety Program Reports
- 3500.04 Individual Accident Case Files

4000 FINANCIAL MANAGEMENT

- 4000.01 Financial Management (General)
- 4000.02 Financial Management Policies and Procedures
- 4000.03 Financial Management Surveys

4100 BUDGET

- 4100.01 Budget (General)
- 4100.02 Budget Policies and Procedures
- 4100.03 Budget Estimates

4110 BUDGET PROGRAM DATA

- 4110.01 Budget Program Data (General)
- 4110.02 Five-Year Defense Program
- 4110.03 Workload and Performance
- 4110.04 Reimbursable Audits

4120 BUDGET FORMULATION AND REVIEW

- 4120.01 Budget Formulation and Review (General)
- 4120.02 OSD/OMB Budget Estimate Submissions
- 4120.03 President's Budget Submission
- 4120.04 Congressional Hearing Backup Data
- 4120.05 Apportionment

4130 BUDGET EXECUTION

- 4130.01 Budget Execution (General)
- 4130.02 Expense Operating Budget
- 4130.03 Operating Budget Authorizations
- 4130.04 Quarterly Operating Budget
- 4130.05 Operating Budget Requests and Estimates
- 4130.06 Financial Management Report
- 4130.07 Budget Execution Background Data

4140 BUDGET RECURRING REPORTS

- 4140.01 Reports to Higher Authority
- 4140.02 Internal Reports

4200 ACCOUNTING

- 4200.01 Accounting (General)
- 4200.02 Accounting Policies and Procedures
- 4200.03 Accounting Correspondence
- 4200.04 Surety Bonding
- 4200.05 Imprest Funds

4210 GENERAL ACCOUNTS LEDGERS

- 4210.01 Fund Authorizations from OSD
- 4210.02 General Ledgers

4220 ALLOTMENT RECORDS

- 4220.01 Cash Disbursements Ledger
- 4220.02 Obligation Control Ledger
- 4220.03 Allotment Working Papers
- 4220.04 Fund Authorizations from HQ, DCAA
- 4220.05 Disbursement Vouchers

4230 POSTING AND CONTROL MEDIA

- 4230.01 Accounts Receivable Bills, Subsidiary, and Collection Ledgers
- 4230.02 Accounts Receivable Collection Vouchers
- 4230.03 Operating Budget Control and Status Ledgers
- 4230.04 Journal Vouchers (SF 1017G)
- 4230.05 Cancelled Obligating Documents

4240 ACCOUNTING REPORTS

- 4240.01 Reports to Higher Authority (HQ, DCAA Only)
- 4240.02 Internal Reports
- 4240.03 Field Activity Reports
- 4240.04 Transactions for Defense Agencies Disbursement Reports

7000 AUDITING SERVICES

- 7000.01 Auditing Policies and Procedures
- 7000.02 DCAA Policy File (HQ, DCAA Only)
- 7000.03 Audit Management Evaluation
- 7000.04 Post Reviews for DCAA Policy Conformity
- 7000.05 Post Reviews of Non-DCAA Publications
- 7000.06 Audit Seminar and Conference
- 7000.07 Non-DCAA Audit Report Review
- 7000.08 Audit Management Reference

7100 AUDIT PROGRAM REPORTING SYSTEM

- 7100.01 Audit Program Reporting Policies and Procedures
- 7100.02 Audit Program Reporting System Reference
- 7100.03 Program Plan
- 7100.04 Quarterly Performance Report
- 7100.05 Audit Program Reporting Summary and Evaluation
- 7100.07 Employee Monthly Time Report
- 7100.09 Assignment Control Record
- 7100.11 Quarterly Inventory Report
- 7100.13 Quarterly Reports on Defective Pricing Reviews
- 7100.15 Reports on Net Savings From Costs Questioned and Costs
Unsupported
- 7100.17 Reports of Significant Audit Savings
- 7100.19 Reports on Audit Status of Major Contractors

7200 PROCUREMENT LIAISON

- 7200.01 Procurement Liaison
- 7200.02 Field Procurement Liaison
- 7200.03 Procurement Liaison Reference

7300 AUDIT GUIDANCE

- 7300.01 Audit Guidance on ASPR Cost Principles
- 7300.02 Audit Guidance on Accounting and Cost Principles
- 7300.03 Audit Guidance Program
- 7300.04 Testimony Before Judicial or Quasi-Judicial Bodies
- 7300.05 Technical Data Bank
- 7300.06 Audit Guidance Reference
- 7300.07 Armed Services Procurement Regulations Committee

7400 AUDIT RESEARCH AND DEVELOPMENT FILES

- 7400.01 New Audit Techniques
- 7400.02 Statistical Sampling
- 7400.03 Case Studies in Advanced Audit Techniques
- 7400.04 Audit Studies
- 7400.05 Research and Development Reference

7600 AUDIT OPERATIONS

- 7600.01 Audit Operations General Supervision
- 7600.02 Audit Operations Scheduling
- 7600.03 Contractor Background
- 7600.05 Contractor Cost Records
- 7600.07 Contractor Correspondence
- 7600.09 Contract Audit Cases
- 7600.11 Assist Audits
- 7600.13 Pre-Award Contract Advisory Files
- 7600.15 Special Audits
- 7600.16 Special Audit Supervision
- 7600.17 Audit Interface
- 7600.18 Contractor Records Access
- 7600.19 Audit Indoctrination and Improvement
- 7600.20 Audit Operations Evaluation
- 7600.21 Audit Operations Reference

7700 CONTRACT AUDIT COORDINATOR PROGRAM FILES

- 7700.01 Contract Audit Coordination
- 7700.03 Contract Audit Coordinator Conference
- 7700.05 Contract Audit Coordinator Status Reports
- 7700.09 Contract Audit Coordinator Cases
- 7700.11 Contract Audit Coordinator Program Reference

7800 STANDING PART 2, SECTION XV, ASPR SUBCOMMITTEE

- 7800.01 Standing Part 2, Section XV, ASPR Subcommittee Cases
- 7800.02 Standing Part 2, Section XV, ASPR Subcommittee Reference

APPENDIX B

FILE SERIES IDENTIFICATION AND DISPOSITION STANDARDS

1000 - ADMINISTRATION

This series is related to general administration programs, functions, and services. It includes office administration and reference; communications services; publications services; security and intelligence; historical; travel and transportation; procurement, supply, and property; and facilities.

1000.01 Administration (General). Records relating to administrative matters which, due to their general nature, cannot be logically filed elsewhere in the 1000 series or under other primary functional groups. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

1010 OFFICE REFERENCE. Files which are comprised primarily of extra copies of papers, publications, and other records which are maintained for reference rather than for documenting official business transactions.

1010.01 Suspense. Papers or forms arranged in chronological order as a reminder that an action is required on a given date; a reply to an action is expected and if not received should be traced on a given date; or a transitory paper being held for reference which can be destroyed on a given date. Official record copies will not be placed in this file. (A note, suspense form, or reminder to submit a report or take other action will be destroyed after the action is taken. An annotated extra copy of a communication will be destroyed when the reply is received. Reference papers will be destroyed on the date under which suspended.)

- 1010.02 Policy and Precedent. Extra copies of documents used as reference to effect fast and efficient location of certain materials which establish policy and precedent for carrying out the responsibilities of the accumulating office. Included are copies of correspondence which establish policy or precedent; delegations of authority; examples of typical cases; and other documents of a similar nature duplicated elsewhere in functional files. Original or official record copies will not be placed in this file. (Destroy when the office accumulating the documents is discontinued or when the documents become obsolete or are no longer needed for operating or reference purposes.)
- 1010.03 Reading. Files of extra copies of outgoing communications arranged chronologically and maintained for periodic review by staff members or for convenience of reference. (Cut off in annual or more frequent blocks, hold not in excess of 1 year, then destroy. EXCEPTION: The Director's and Regional Manager's chronological file of outgoing communications comprising copies of letters signed personally by the Director, Deputy Director or Regional Manager and copies of significant communications dispatched at lower levels but forwarded for personal information of the Director or Regional Manager - Permanent.)
- 1010.04 Transitory or Reference Papers. Copies of correspondence, messages, and other documents maintained by an office for temporary reference purposes. Included are copies of letters, memoranda, messages, and other documents received by an office which are of an informative or transitory nature which require no official action; letters of transmittal not necessary for filing with the document transmitted; routine requests for information and replies thereto requiring no administrative decision, no policy decision, and no special compilations or research; and acknowledgments and transmittals of requests that have been referred elsewhere for reply. (To the maximum extent possible, reference and transitory papers will be destroyed without filing. When such papers are needed less than 30 days they will be filed in 1010.01, Suspense; when needed more than 30 days they should be filed under this number (1010.04) and destroyed when no longer needed.)

- 1010.05 Reference Publications. Extra copies of publications issued by elements of the Department of Defense (including DCAA), other Government agencies, and non-Government organizations, maintained in organized collections for reference purposes. These publications include but are not limited to regulations, directives, instructional and informational material, catalogs, and similar material in published form. For official record sets see 2355. (Destroy when superseded, obsolete, or no longer needed for reference, except that accountable publications will be returned to the source of supply.)
- 1010.06 Background, Control, and Intermediary Documents. Documents such as (1) rough drafts, notes, feeder reports, and similar papers accumulated in the preparation of a communication, study, or other document; excluding coordination actions, recommendations, and other papers which contributed to, or reflect concurrence with the document and are therefore filed therewith; and (2) control and intermediary documents which facilitate or control work in progress within the office. (Destroy when purpose has been served or within 1 year of completion of the action.)
- 1010.07 Technical Material Reference. Extra copies of motion pictures, sound recordings, still photographs, maps, and similar materials maintained for reference purposes. (Destroy when superseded, obsolete, or no longer needed for reference, except that accountable or reusable material will be returned to the source of supply.)
- 1020 OFFICE ADMINISTRATION. Records accumulated in individual offices relating to the internal office management and resources of the office. Excludes documents relating to actions pertinent to the assigned mission of the office which will be filed under the appropriate functional number and administrative personnel documents relative to personnel assigned to the office which are filed under 3371.

- 1020.01 Office Internal Management. Records relating to the internal management of an office including responsibilities of individuals and sub-elements of the office; standard operating procedures; participation in community affairs such as the blood donor program and charitable contributions. (Destroy when superseded, obsolete, or after 1 year, as appropriate.)
- 1020.02 Office Finance. Records relating to the participation of offices in matters concerning the expenditure of funds including itineraries and cost estimates for travel; requests and authorizations for advice as to funds available for required services; authorized timekeeper lists; payroll work files; receipts for employee pay checks and bonds; and similar documents. (Destroy when superseded, obsolete, or after 1 year, as appropriate.)
- 1020.03 Office Supply. Records relating to internal supply and office equipment requirements including requests to local supply sources, receipts for supplies, requests for blank forms and publications, and similar documents. (Destroy when superseded, obsolete, or after 1 year, as appropriate.)
- 1020.04 Office Facilities. Records relating to office space and utilities, including requests for office space; office layouts and installation of telephones; office services such as lighting, heating, and cleaning; parking controls and automobile registrations; and similar documents. (Destroy when superseded, obsolete, or after 1 year, as appropriate.)

- 1100 SPACE AND MAINTENANCE. Relates to acquisition, allocation, and utilization of space and includes related correspondence and reports; requests for building and facility services; compilation of directory of offices; and correspondence files reflecting the activities of the office responsible for handling space and space-related matters.
- 1100.01 Space and Maintenance (General). Correspondence files of the office responsible for space and maintenance matters pertaining to its own administration and operation. (Destroy after 2 years.)
- 1100.02 Space and Maintenance Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on space and maintenance matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 1100.03 Directory of Offices Listings. Correspondence, forms, and other records relating to the compilation of the DCAA Directory of Offices. (Destroy 2 months after issuance of Directory.)
- 1110 SPACE UTILIZATION. Records relating to leasing, allocation, utilization, and release of space.
- 1110.01 Space Assignments. Documents relating to space assignments, agreements, building plans, requests for building and equipment alterations and maintenance, and related records accumulated in space planning, assignment, and adjustment. (Destroy 2 years after termination of assignment.)
- 1110.02 Space Reports. Correspondence and reports regarding space occupied in Metropolitan Washington and outside the District of Columbia. (Destroy after 2 years.)
- 1120 BUILDING MANAGEMENT
- 1120.01 Building Management. Documents relating to building management matters accumulated when a DCAA office has such responsibility, excluding physical security - see 1500. (Destroy 2 years after termination of responsibility.)

1130 FAMILY HOUSING

1130.01 Family Housing. Documents relating to the utilization of military family housing by DCAA civilian employees. (Destroy when superseded, obsolete, or after 2 years, as appropriate.)

1140 VISITOR AND VEHICLE IDENTIFICATION

1140.01 Parking Permits and Vehicle Registration. Documents relating to the allotment of parking spaces and the registering of privately owned vehicles. (Destroy when superseded, obsolete, or 1 year after revocation.)

1140.02 Temporary Passes and Permits for Visitors and Vehicles. Documents which reflect the request for, issuance of, and use of visitor passes and vehicle permits to gain access to and exit from Government facilities on a one-time basis, including visitor registers and personal property passes. (Destroy 3 months after return to issuing office.)

- 1200 PROCUREMENT AND SUPPLY. Relates to the functions performed by DCAA offices serving as liaison between DCAA and purchasing and contracting officers for supplies, equipment, and services. Excludes financial aspects - see 4000.
- 1200.01 Procurement and Supply (General). Documents relating to procurement and supply which, due to their general nature, cannot be logically filed elsewhere in the 1200 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1200.02 Procurement and Supply Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on procurement and supply matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 1200.03 Purchasing and Contracting Case Files. Documents relating to obtaining individual purchasing and contracting services through interservice agreements. (Destroy after 3 years.)
- 1210 PROPERTY ADMINISTRATION. Relates to property administration matters, such as accountability, inventory, storage, maintenance, and disposal.
- 1210.01 Property Administration (General). Documents relating to property administration which, due to their general nature, cannot be logically filed elsewhere in the 1210 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1210.02 Property Administration Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on property administration matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)

- 1210.03 Property Officer Designations. Documents reflecting designation of property officers, including letters of appointment or termination. (Destroy 2 years after termination of appointment.)
- 1210.04 Property Inventory Records. Files and records maintained which reflect the receipt, inventory, and disposition of personal property. (Destroy 1 year after all adjustment vouchers have been prepared and have reached final approval and the next comparable inventory has been completed.)
- 1210.05 Property Adjustment Approvals. Documents reflecting the circumstances concerning the loss, unserviceability, or destruction of property and serving to determine pecuniary or other responsibility for the absence or condition of the articles, and the writing off of property from accountability by reason of theft, loss, etc. (Destroy after 3 years.)
- 1210.06 Excess Personal Property. Relates to reports of personal property which has been determined to be excess to the needs of a particular activity and to the release of excess or surplus personal property to a property disposal officer or by donation to authorized non-Government agencies. (Destroy after 3 years.)
- 1210.07 Hand Receipts. Files on property loaned and to be returned. (Destroy when property is returned.)

- 1300 COMMUNICATIONS SERVICES. Records relating to the utilization of telecommunications services; and the operation of postal, mail, and courier or messenger systems. This file series is intended primarily for Agency offices responsible for providing communications services; those offices concerned with requesting or receiving such services should use 1020.04, Office Facilities Files.
- 1300.01 Communications Services (General). Documents relating to communications which, due to their general nature, cannot be logically filed elsewhere in the 1300 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1300.02 Communications Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on communications matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 1300.03 Communications Accounts. Informational copies of documents relating to communications service charges and payments such as copies of invoices; toll statements and service authorizations; and other records relating to the leasing and payment for telephones, teletypewriters, or other communications services. (Destroy after 4 years.)
- 1310 POSTAL AND MAIL SERVICE. Relates to the operation of postal and other mail service.
- 1310.01 Postal Directory. Documents utilized in maintaining a locator system to facilitate delivery of mail to individuals, such as locator cards; copies of assignment or transfer orders; and similar documents. (Destroy 6 months after departure of individual.)
- 1310.02 Mail Control. Documents relating to the control of incoming and outgoing mail including routing and suspense slips, delivery receipts, record of messenger trips, reports of overdue correspondence, and similar documents. Excluded are documents receipting for or controlling classified mail, registered, certified, or insured mail - see 1310.03. (Destroy after 1 year.)

- 1310.03 Accountable Mail Receipts. Records relating to the handling, accounting, receipting for, and dispatch of registered, certified, or numbered insured mail. (Destroy after 1 year.)
- 1310.04 Lost and Rifled Mail. Records relating to and reporting of the loss or rifling of mail. (Destroy after 1 year.)
- 1320 TELECOMMUNICATIONS SERVICES. Relates to the use and control of telecommunications facilities and systems.
- 1320.01 Telecommunications Service Systems. Documents relating to the use of Federal Telecommunications System (FTS), Defense Telephone System (DTS-W), Wide Area Telephone (WATS), inward-dial facilities, AUTOVON, and similar systems. (Destroy when superseded, obsolete or 1 year after discontinuance of use of system.)
- 1320.02 Teletype and Teletypewriter. Documents reflecting procurement, usage, controls, reports and procedures relative to teletype and teletypewriter services. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1320.03 Telephones and Interphones. Documents relating to location, usage, installation, and service for telephones and interphones. (Destroy after 1 year, or when superseded or obsolete.)
- 1320.04 Telephone Toll Call Records. Documents relating to authorized, official toll and long distance telephone calls, including reports of such usage. (Destroy after 3 months or upon completion of any required action, whichever is later.)
- 1320.05 Message Logs and Registers. Relates to documents used to record the assignment of DCAA message numbers or to index messages prior to submission to message centers. (Destroy after 1 year.)

- 1400 PUBLICATIONS SERVICES. This series is intended primarily for use by offices responsible for providing these services; those concerned with requesting or receiving such services should use 1020.03. For record sets of publications and for printing and publications management records see 2355.
- 1400.01 Accountable Publications Receipt and Issue Records. Receipt cards or other forms showing the receipt or issuance of accountable publications (i.e., Contract Audit Manual) which are subject to special control. (Destroy upon turn-in of publication.)
- 1400.02 Accountable Forms Receipt and Issue Records. Receipt cards or other forms showing the receipt or issuance of blank accountable forms which are subject to special control by reason of the monetary value of the form, such as transportation requests and transportation request identification cards. (Hold in current files area for 2 years, then destroy.)
- 1400.03 Publications Initial Distribution Files. Documents accumulated from the automatic distribution of publications and blank forms based on indicated requirements or advance requisitioning. (Destroy when superseded or obsolete, except that documents indicating changes may be destroyed upon completion of posting to the current distribution listing.)
- 1400.04 Publications and Blank Forms Stock Records. Control records maintained to ensure maintenance of stocks on hand to meet requirements. (Destroy after card or listing is filled, or on supersession, rescission, or obsolescence of items indicated thereon, whichever is earlier.)
- 1400.05 Publications and Blank Forms Supply Files. Requisitions, shipping orders, transfer requests, and related documents accumulated from the process of requisitioning publications and blank forms from the source of supply or the filling of requisitions from stocks on hand. (Destroy after requisition is filled.)

- 1400.06 Requisitions on the Public Printer. Copies of requisitions, invoices, specifications, and related documents concerning requisitions on the Public Printer. (Destroy 4 years after completion or cancellation of requisition.)
- 1400.07 Printing and Duplicating Requisitions. Work orders, cost records, and requisitions for printing services of printing plants and duplicating work performed in other than printing plants. (Destroy after 2 years.)
- 1400.08 Graphics and Visual Aids. Documents relating to requisitions, specifications, and related material for graphics, art work, and visual aids. (Destroy after 2 years.)

- 1500 SECURITY AND INTELLIGENCE. Records relating to security and intelligence matters including the safekeeping, control, and dissemination of classified information and other sensitive information, security classification management; personnel security investigation and clearance, special access programs; physical security; special personnel identification; visits of foreign nationals, and related security and intelligence matters.
- 1500.01 Security and Intelligence (General). Records relating to security and intelligence matters which, due to their general nature, cannot be logically filed elsewhere in the 1500 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1500.02 Security and Intelligence Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on security and intelligence matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 1500.03 Defense Investigative Program. Records relating to development and administration of Agency-wide implementation of the Defense Investigative Program, excluding the records described under 1500.02, and 1500.04. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1500.04 Defense Investigative Program Register. Register of all plans, programs, regulations, and related records pertaining to the areas included in the Defense Investigative Program. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1500.05 Security Recurring Reports. Records relating to statistical or recurring reports of a security or intelligence nature. (Destroy after 3 years.)

- 1500.06 Designation of Security Control Officers. Documents relating to the designation or assignment of individuals as security control officers, documents control officers, and custodians of classified documents. (Destroy when superseded or obsolete.)
- 1510 SAFEGUARDING CLASSIFIED INFORMATION. Relates to the general administration of the security classification system and the measures required to safeguard classified Defense information.
- 1510.01 Safeguarding Classified Information (General). Records relating to the safeguarding of classified information which, due to their general nature, cannot be logically filed elsewhere in the 1510 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1510.02 Security Classification Management. Records relating to the management of a security classification or grading system involving regrading or downgrading of documents, including correspondence on downgrading and related records, excluding other records described in this section. (Destroy after 3 years.)
- 1510.03 Notices of Regrading and Declassification. Records relating to request for or notification of regrading or declassification action. (Destroy after 3 years.)
- 1510.04 TOP SECRET Access Records. Forms used to ensure positive control of TOP SECRET documents, showing security classification, date of the document, distribution dates, intra-office routing data, and names of persons handling the documents. (Destroy 5 years after documents are downgraded, transferred, or destroyed.)
- 1510.05 Classified Documents Register. Forms maintained to reflect the receipt, dispatch, destruction, or other disposition of all classified documents, including TOP SECRET, received or generated by a DCAA office. (Remove individual pages from register when all classified documents thereon have been destroyed, declassified, transferred, or when all active entries have been transferred to a new register. Place in an inactive file, hold 5 years, then destroy.)

- 1510.06 Classified Document Receipt and/or Tracer. Classified document receipts used for the transfer of all classified documents, including TOP SECRET, outside DCAA. (Place in inactive file when the classified document register page on which the document is recorded is also placed in inactive file, hold 5 years, then destroy.)
- 1510.07 Internal Classified Document Receipt. Classified document receipts used for the transfer of classified documents inside the DCAA office of custody. (Destroy signed copy upon return of classified document; duplicate, unsigned copy may be retained until no longer needed for reference.)
- 1510.08 Classified Document Destruction Certificate. Certificates reflecting the destruction of all classified documents, including TOP SECRET. (Place in inactive file when the classified document register page on which the document is recorded is also placed in inactive file, hold 5 years, then destroy.)
- 1510.09 Classified Document Inventory. Records reflecting inventories of all classified documents, including TOP SECRET. (Destroy 1 year after next comparable inventory.)
- 1510.10 Security Container Information. Records of combinations and related information identifying security safes, cabinets, or other containers, including the names, addresses, and other information of individuals having knowledge of combinations. (Destroy upon change of combination or when the container is no longer utilized for storage of classified material.)
- 1510.11 Safe or Cabinet Security Records. Forms placed upon tops of safes containing classified documents, used for recording the unlocking, locking, and checking of the container. (Destroy 90 days following the last entry except all forms will be retained until completion of any investigation of a security violation involving the container concerned.)

- 1510.12 Classified Titles Index. A cross-reference listing of classified documents, the titles or subjects of which are classified, containing the classified document control number as a means of ready identification. (Destroy listings when all classified titles or subjects of the documents listed thereon are declassified or when the documents are declassified, transferred, or destroyed.)
- 1510.13 Security Inspection Scheduling. Records relating to the scheduling of security inspections. (Destroy when no longer needed for reference.)
- 1510.14 Security Inspection Reports. Records relating to security inspections, including report, security inspection checklists, correspondence regarding recommendations and corrective actions taken, and related documents. (Destroy upon completion of next comparable inspection.)
- 1510.15 Security Training and Orientation. Records reflecting security training and orientation of Agency personnel, special security training for Agency Security Control Officers, and related documents, including training schedules, rosters of attendance, and training materials. (Destroy 2 years after completion of training, except that training material may be destroyed when superseded, obsolete, or no longer needed for reference.)
- 1510.16 Security Violations (Administrative). Case files relating to investigations of alleged security violations, excluding records concerning disciplinary action filed in Official Personnel Folders. Included are records created in determining the conditions leading to minor security violations where no possibility of the compromise of classified information exists. (Destroy 2 years after completion of final, corrective or disciplinary action.)

- 1510.17 Security Violations (Major). Records relating to investigation and circumstances surrounding security violations involving loss or possible compromise of classified Defense information. Included are initial report of violation; original orders of appointment of investigating officers; report of investigation; original exhibits; and all material pertinent to the investigation, excluding records concerning disciplinary action filed in Official Personnel Folders. (Original Report, Security Officer, DCAA - Permanent. Other copies - Destroy 2 years after completion of final corrective or disciplinary action.)
- 1520 NON-CLASSIFIED OFFICIAL INFORMATION. Relates to the protection and control of non-classified official information exempted from public disclosure.
- 1520.01 Protection and Control of FOUO Information. Records relating to the protection and control of records considered to be "For Official Use Only." (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1530 PERSONNEL SECURITY. Relates to the administration of the personnel security program involving the clearance of personnel of DCAA.
- 1530.01 Personnel Security (General). Records relating to personnel security matters which, due to their general nature, cannot be logically filed elsewhere in the 1530 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1530.02 Personnel Security Case Files (HQ, DCAA Only). Reports of investigation furnished by investigative agencies, case resumes, security evaluations, waiver of investigative requirements, clearance information, and similar documents relating to the initiation, processing, and completion of personnel security investigations and the issuance of security clearance. (Upon separation of individual, return CSC reports of investigation in accordance with provisions of FPM 736; other investigative reports will be disposed of in accordance with instructions of the investigating agency; destroy remaining documents after 2 years.)

- 1530.03 Central Clearance Group. Records relating to the Central Clearance Group, including list of members, operating procedures, policies, register of cases referred, and related documents, excluding records described in 1530.05. (Destroy when superseded, obsolete, or after 5 years, as appropriate.)
- 1530.04 Personnel Security Adjudications. Chronological records of security case summaries, evaluations, conclusions, and recommendations on reports of investigation submitted to the Central Clearance Group. (Destroy when no longer needed for reference.)
- 1530.05 Case Resumes. Resumes of reports of investigation prepared by the Security Officer, DCAA which are furnished the regional manager for information and/or action. (Regional Security Control Officer - Return to Security Officer, DCAA upon separation or intra-Agency transfer of individual. Security Officer, DCAA - Destroy or forward to gaining region, as appropriate.)
- 1530.06 Clearance Request Files. Records accumulated as a result of requesting security approval for the appointment of individuals and processing of requests for security investigation and clearance. Included are information copies of notices of proposed appointments, requests for security clearance, and related documents, excluding case resumes and certificates of security clearance filed elsewhere in the 1530 series. (Destroy upon receipt of final security clearance.)
- 1530.07 Security Clearance Certification. Copies of interim and final certificates of security clearance maintained by Agency security control officers as a means of attesting to the clearance of personnel under their jurisdiction. (Destroy interim clearance upon receipt of final clearance; destroy final clearance upon separation from Agency employment; forward regional and field office copies to gaining Regional Security Control Officer upon intra-Agency transfer.)

- 1530.08 Personnel Security Accreditations (HQ, DCAA Only). Records relating to the accreditation of Agency personnel to other agencies for access to security or intelligence information. (Destroy upon revocation of accreditation.)
- 1530.09 Authorized Couriers. Records relating to Agency employees authorized to act as couriers for the receipt and delivery of classified material, including correspondence and notifications to other agencies indicating authorization and clearance information and related documents, excluding records described in 1530.08. (Destroy upon revocation of authorization.)
- 1530.10 Background Investigation Programs. Records relating to sources for securing background investigations; reinvestigation of incumbents of critical sensitive positions; and other background investigative matters, excluding specific reports of investigation. (Destroy when superseded or obsolete.)
- 1530.11 Personnel Security Liaison. Records reflecting liaison and agreements with investigative agencies for the conduct of personnel security investigations; retrieval and return of investigative material; and other related documents. (Destroy 2 years after supersession, obsolescence, or cancellation of agreement.)
- 1530.12 Special Access Security Programs. Records relating to a variety of special access programs, including procedural instructions, investigative and clearance requirements prescribed by agencies responsible for such programs, and related documents, excluding records described in 1530.13 and 1530.14. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

- 1530.13 Special Access Security Clearance. Records which constitute authorization for employees to have access to special access information, including requests for access, access approvals, rosters of personnel granted access, and related documents, excluding special access briefing and debriefing statements which are filed under 1510.14 and 1510.15, respectively. (Cut off special access rosters at end of calendar year, update listing, transfer names to current year roster; hold 2 years in current files, then destroy. Destroy special access clearance 2 years after debriefing.)
- 1530.14 Security Briefings. Security acknowledgments and special access briefing statements and defensive security briefing certificates executed by individuals upon being granted security clearance, access to special access information, and prior to certain overseas travel. (Destroy 2 years after termination of employment.)
- 1530.15 Security Debriefings. Security termination statements and special access debriefing statements executed by employees. (Destroy 2 years after completion of debriefing.)
- 1530.16 Notifications of Visits. Copies of correspondence or forms indicating security clearance information on DCAA employees and notification of visits by DCAA personnel to Defense contractors, Government agencies, and other agencies, either on a one-time basis or recurring basis. (Destroy upon expiration of notification, except that unexpired notifications will be updated at least annually, as required, and retained in current files; destroy prior year notifications.)
- 1530.17 Notifications of Security Clearance Status. Notifications to Agency offices that do not receive certificates of security clearance that specific individuals have been granted security clearance as indicated. (Destroy when superseded or upon transfer or termination of employee.)

- 1530.18 Security Status Master List (HQ, DCAA Only). Maintained as a master list of all Agency personnel cleared for access to classified information. (Destroy 2 years after termination of employee.)
- 1530.19 Investigation Control (HQ, DCAA Only). Maintained as a means of controlling the processing of security investigations and issuance of security clearances. (Destroy after completion of final action.)
- 1530.20 Defensive Security. Records relating to conducting defensive security briefings for Agency personnel assigned or traveling in foreign countries. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1530.21 Foreign Visitor Records. Records relating to visits of foreign nationals to DCAA activities, including requests and authorizations to visit or receive training, notifications of security clearances, itineraries, reports, and related documents. (Retain in current files and destroy after 2 years.)
- 1540 PHYSICAL SECURITY. Relates to physical security measures designed to protect personnel, equipment and facilities.
- 1540.01 Physical Security (General). Records relating to physical security matters which, due to their general nature, cannot be logically filed elsewhere in the 1540 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1540.02 DCAA Facility Security Data. Records accumulated which furnish information pertaining to office location, key security personnel, classified document holdings, classified document containers, and physical security measures provided at Federal buildings, contractor facilities, etc., where DCAA offices are located. Included are incident reports; after-action reports; duplicate copies of security inspections; reports of security violations; reports of security investigations; and related documents. (Update annually. Destroy upon deactivation of office or relocation of office to other premises.)

- 1540.03 Key Control Records. Records relating to the issue and control of keys used in connection with the physical security of an office. (Destroy 6 months after turn-in of key.)
- 1540.04 Lost and Found Files. Informational copies of papers relating to lost and found articles. (Destroy when no longer needed for reference.)
- 1550 INTELLIGENCE. Analyses of information about activities or conditions which potentially or actually threaten the internal security of the United States.
- 1550.01 Intelligence Summaries. Documents originated or compiled by other Government agencies and furnished to DCAA for information and guidance in operational planning or for emergency planning to protect personnel, property, and facilities. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 1550.02 Intelligence Reference Material. Published or processed materials of a classified nature used for reference purposes. (Destroy when superseded, obsolete, or no longer needed for reference.)

1600 TRAVEL AND TRANSPORTATION. Relates to the administration of travel and transportation services.

1600.01 Travel and Transportation (General). Documents relating to travel and transportation which, due to their general nature, cannot be logically filed elsewhere in the 1600 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

1600.02 Travel and Transportation Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on travel and transportation matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)

1600.03 Transportation Officer. Documents relating to the appointment of transportation officers and transportation agents. (Destroy 2 years after termination of appointment.)

1610 PERSONNEL TRAVEL ARRANGEMENTS AND SERVICES. Relates to the processes of authorizing, arranging for, and the filling of specific requirements for transportation of personnel.

1610.01 Travel Orders. Orders directing or authorizing travel to be performed, including, when applicable, requests for approval of such travel. (Destroy after 4 years.)

1610.02 Transportation Requests. Retained copies of transportation requests, including cancelled copies, with papers relating to the issue thereof. (Destroy after 4 years.)

1610.03 Transportation Requests Register. Registers containing data on each transportation request issued, such as number, date, name of carrier, name of traveler, cost, and similar matters. (Destroy after 4 years.)

- 1610.04 Dependents' Travel. Documents relating to arrangements for movements of dependents, such as applications for transportation, reservations and accommodations, notifications to dependents regarding eligibility to travel, and authorizations to obtain passports and port calls. (Destroy after 2 years.)
- 1620 LOCAL TRAVEL. Relates to the arranging for and providing of local transportation for personnel within or between local DCAA activities. Excludes administrative-use vehicles - see 1630.
- 1620.01 Local Travel (General). Documents relating to local travel which, due to their general nature, cannot be logically filed elsewhere in the 1620 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 1620.02 Local Transportation Authorization. Documents pertaining to the issuance of commercial bus, rail, ferry, or toll bridge tokens or tickets for official travel by Government personnel. (Destroy after 4 years.)
- 1620.03 Bus Passes. Documents reflecting the issuance of passes entitling personnel to board Government operated or contracted transportation facilities. (Destroy upon turn-in or replacement of pass.)
- 1630 ADMINISTRATIVE-USE MOTOR VEHICLES. Relates to the management and operation of administrative-use vehicles.
- 1630.01 Motor Vehicle Authorizations. Documents reflecting requisitions and requirements for administrative-use vehicles, justification therefor, and approvals and disapprovals. (Destroy after 2 years.)
- 1630.02 Motor Vehicle Reports. Reports reflecting the allocation and utilization of vehicles, showing the type, description, condition, and extent of utilization. (Destroy after 3 years.)

1700 DCAA HISTORICAL PROGRAM. Relates to the program for production of specific or general histories and the assignment of responsibilities for writing them, including implementing actions.

1700.01 DCAA Historical Program (General). Documents relating to the DCAA historical program which, due to their general nature, cannot be logically filed elsewhere in the 1700 series. (Destroy when superseded, obsolete, or after 2 years, as appropriate.)

1700.02 DCAA Histories. Formally prepared histories, including organizational and functional histories produced by DCAA historians or by others for DCAA. (Historian, DCAA - Permanent.)

1700.03 Historical Background and Reference Materials. Materials accumulated by historians or for historical purposes consisting of documents collected or maintained as source material, such as transcripts of interviews; maps, charts, and statistical compilations; special collections of policy directives and correspondence of exceptional importance; summaries of major problems and events submitted by operating officials; notes regarding organization of the historical material; indexes as to type and location of historical material located elsewhere; and manuscripts and comments relating thereto. NOTE: Official record copies of documents proper for filing elsewhere under the DCAA functional filing system will not be incorporated in this file; however, copies thereof may be included. (Destroy when no longer needed for historical reference purposes, except that materials maintained by the Historian, DCAA, relating to the creation and origin (Planning Group) of DCAA and its activities are permanent.)

1700.04 Activity Historical Files. Locally prepared or collected material appropriate for retention because of its local significance, potential use in production of future organizational and functional histories, or as a source of historical fact. (Destroy when no longer needed for activity historical reference purposes.)

2000 - PLANNING AND MANAGEMENT

This series relates to preparedness planning; overall planning functions, such as conferences, inspections and investigations; management functions, such as organizations and functions, systems, equipment, data standardization, committees, management improvement, publications and printing, forms, reports, correspondence, mail, and records; legal matters; legislative and congressional matters; and public relations.

- 2000.01 Planning and Management (General). Documents relating to planning and management, which, due to their general nature, cannot be logically filed elsewhere in the 2000 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2000.02 Delegations of Authority. Master file of memoranda delegating temporary authority, interim authority prior to publication in official DCAA policy publications, and authority to specific individuals to carry out designated programs. (Destroy when superseded or terminated.)

2100 PREPAREDNESS PLANNING. Relates to planning for preparedness to meet and respond to international, mobilization, war, and emergency situations or conditions.

- 2100.01 International Planning. Documents relating to planning involving foreign situations and problems of national defense planning and operations as they effect DCAA. (Transfer to inactive file when superseded or obsolete. Permanent.)
- 2100.02 War and Emergency Support Planning. Plans, policies, and procedures relating to the program objectives and preparedness measures taken for general or limited war, such as mobilization, continuity of operations, and civil defense; and emergency support for civil disturbances, natural disasters, etc. (Transfer to inactive file when superseded or obsolete. Permanent.)
- 2100.03 Emergency Tests and Exercises. Documents accumulated as a result of testing various emergency plans, including announcements of tests to be conducted, instructions to participants, staffing assignments, test messages, documents reflecting simulated situations and actions, reports, and similar documents. (Destroy when superseded, obsolete, or after 3 years, whichever is earlier.)
- 2100.04 Fire Evacuation Plans. Plans and other documents relating to exercises to ensure prompt action in safeguarding life and property in the event of fire. (Destroy when superseded or obsolete.)
- 2100.05 Bomb Threat Plans. Plans and other documents relating to exercises to ensure prompt action in safeguarding life and property in the event of bomb threats. (Destroy when superseded or obsolete.)
- 2100.06 Serious Incident Reports. Reports of serious incidents which could possibly activate emergency and preparedness plans. (Destroy 3 years after receipt of final report in each case or when no longer needed for reference.)

- 2200 PLANNING. Relates to planning for overall operation of DCAA.
- 2200.01 Planning (General). Documents relating to planning matters which, due to their general nature, cannot be logically filed elsewhere in the 2200 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2200.02 Cross-Service Support Agreements. Policy and procedures relating to interservice, interagency, and cross-service support agreements; memoranda of understanding; copies of agreements; and similar formal documentation covering acquisition or use of real property space, supply management relationships, and procurement agreements between DCAA and the servicing activity. Excludes civilian personnel servicing agreements which will be filed under 3300 and personnel security investigation agreements which will be filed under 1500. (Destroy 3 years after termination of agreement.)
- 2200.03 DCAA Advisory Council. Documents relating to the establishment, membership, functions, agenda, minutes, reports to, recommendations, and other actions pertaining to the DCAA Advisory Council. (Transfer to inactive file. Permanent.)
- 2200.04 DCAA Annual Report. Documents relating to the preparation and submission of the DCAA Annual Report. (Transfer to inactive file when superseded. Permanent.)
- 2200.05 DCAA Executive Conference. Documents relating to DCAA Executive Conferences. (Permanent.)
- 2200.06 Staff Meetings. Agenda and minutes of staff meetings called by heads of DCAA activities. (Director and Regional Manager - Permanent. Other offices - Destroy after 3 years or when no longer needed for reference, whichever is earlier.)
- 2200.07 DCAA Regional and FAO Conferences. Documents relating to conferences held by DCAA Regional Managers. (Destroy when no longer needed for reference or after 10 years, whichever is earlier.)
- 2200.08 Regional HQ Visits to FAO's. Documents relating to planning and accomplishing visits to FAO's by representatives of the regional headquarters for the purpose of surveying overall operations. Excludes surveys and visits prescribed under specific functions, such as security, personnel, etc. (Destroy after next comparable visit.)

- 2210 DCAA INSPECTIONS. Relates to documentation accumulated as a result of general purpose surveys by representative of HQ, DCAA (Office of Review and Evaluation), which provide for factual evaluation of the effectiveness and economy of DCAA operations, methods, and procedures.
- 2210.01 DCAA Inspections (General). Documents relating to DCAA inspection matters which, due to their general nature, cannot be logically filed elsewhere in the 2210 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2210.02 DCAA Inspection Policies and Procedures. Documents relating to the development of an inspection program, the establishment of policies and procedures for implementation of the program, program objectives, and analysis and evaluation of program effectiveness. (Upon supersession or obsolescence, place in inactive file. Permanent.)
- 2210.03 Inspection Planning. Documents accumulated in reviewing, controlling, and coordinating planned inspections. Included are schedules of proposed visits, itineraries, approvals, requests for changes, and related documents. (Destroy after 3 years.)
- 2210.04 Inspection Reports. Report of inspection; documents relating to actions initiated by findings in the report; requests for corrective action; and subsequent responses. (Office of Review and Evaluation - Permanent. Office inspected - Destroy after next comparable inspection or upon deactivation of the inspected office, whichever is earlier.)
- 2210.05 Inspection Background Data. Documents accumulated during the inspection process, such as work papers and background material. (Destroy when no longer needed for reference.)
- 2210.06 Special Studies. Records relating to special studies and analyses of specific problems in Agency operations. (Permanent.)

- 2220 EXTERNAL INSPECTIONS AND INVESTIGATIONS. Relates to inspections and investigations by non-DCAA activities, such as DASD(IS), DCIA, Inspector General, and GAO. Excludes investigations by Congress - see 2600; and GAO Audit Report Reviews - see 7000.
- 2220.01 General Accounting Office Investigations and Audits. Documents relating to investigations of DCAA conducted by the GAO, including reports and documents reflecting action thereon. (Destroy 10 years after date of report.)
- 2220.02 Office of Secretary of Defense Inspections. Documents relating to inspections of DCAA conducted by elements of the Office of the Secretary of Defense, including reports and documents reflecting action thereon. (Destroy 10 years after date of report.)
- 2220.03 Inspector General. Relates to inspections, investigations, and complaints handled by the IG that effect DCAA. (Destroy 10 years after date of report.)
- 2220.04 Inspections of Other Agencies. Records relating to inspections of activities other than DCAA in which DCAA has an interest. (Destroy when no longer needed for reference.)

2300 MANAGEMENT. Relates to administrative management functions, such as management improvement; determining and prescribing organization and functions; committees; systems and equipment; data standardization; and paper-work management regarding publications and printing, forms, reports, correspondence, mail, and records.

2300.01 Management (General). Documents relating to management matters which, due to their general nature, cannot be logically filed elsewhere in the 2300 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

2305 MANAGEMENT IMPROVEMENT. Relates to planning and carrying out an organized program for finding and installing more effective, efficient, and economical ways of doing work through simplification of work procedures and application of management analysis techniques.

2305.01 Management Improvement (General). Documents relating to the management improvement program which, due to their general nature, cannot be logically filed elsewhere in the 2300 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

2305.02 Management Improvement Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on management improvement matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)

2305.03 Management Surveys. Documents created in the systematic review of an organization or a functional area by a survey, including requests for or authorization to conduct the survey, the finished report, and actions taken as a result of the survey. (Destroy upon completion of next comparable survey or after 5 years, whichever is earlier.)

- 2305.04 Management Survey Background Data. Documents accumulated in the collection of data for or during a management survey, such as notes, statistical data, copies of standing operating procedures, organizational and functional charts, personnel data, and similar material collected for fact-finding and background purposes; and documents reflecting preliminary arrangements incident to the survey. (Destroy when no longer needed for reference.)
- 2305.05 Management Improvement Projects. Documents relating to specific proposals or projects to improve or simplify the manner or method of planning, directing, controlling, or doing work, such as proposals for improvement, flow process charts, work counts, motion economy studies, layout studies, procedures, drafts, and action taken on proposals. (Destroy after 5 years.)
- 2305.06 Management Improvement Reports. Reports on management improvement submitted to higher authority. (Transfer to inactive file when superseded. Permanent.)
- 2305.07 Cost Reduction/Economic Analysis. Documents relating to cost avoidance, cost reduction and economic analysis and savings and benefits derived from these and similar programs. Excludes records of an activity performing a single function wherein these records will be filed under the function documented. (Destroy when superseded, obsolete, no longer needed for reference, or after 6 years, whichever is earlier.)
- 2310 ORGANIZATIONS AND FUNCTIONS. Relates to the establishment of and changes in organizations and functions, activation and deactivation of offices.
- 2310.01 Defense Contract Audit Agency. Documents relating to the overall organization and functions of DCAA, including charts, manuals, similar documents, and rationale for significant changes. (Transfer to inactive file when superseded or cancelled. Charts and manuals - Permanent. Other related material - Destroy after 5 years.)

- 2310.02 Headquarters, Defense Contract Audit Agency. Documents relating to the organization and functions of HQ, DCAA, including charts and rationale for significant changes. (Transfer to inactive file when superseded or cancelled. Charts - Permanent. Other related material - Destroy after 5 years.)
- 2310.03 Regional Headquarters. Documents relating to the organization and functions of regional headquarters, including charts and rationale for significant changes. (Transfer to inactive file when superseded or cancelled. Charts - Permanent. Other related material - Destroy after 5 years.)
- 2310.04 Field Audit Offices. Documents relating to the activation and deactivation, organization and functions of field audit offices, including charts, correspondence relating thereto, and rationale for changes. (Transfer to inactive file when office is deactivated - Permanent.)
- 2310.05 Other Activities. Documents relating to the organization and functions of non-DCAA activities in support of the mission or functions of DCAA. Excludes specific support agreements. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 2320 SYSTEMS AND EQUIPMENT. Relates to the study of business machines and systems, such as electronic and mechanical data processing systems, time-sharing systems, and the selection and adoption of those best suited to DCAA operations; and the DoD Data Standardization Program.
- 2320.01 Systems and Equipment Management (General). Documents relating to systems and equipment management which, due to their general nature, cannot be logically filed elsewhere in the 2320 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

- 2320.02 Systems and Equipment Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on systems and equipment matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 2320.03 ADP Time-Sharing Systems Development and Evaluation. Case files containing correspondence, reports, studies, and related records concerning the study, selection, adoption, exploitation, and integration of electronic and mechanical data processing time-sharing systems in DCAA operations. Excludes informational or reference copies which will be filed under the 1000 series. (Staff Element of Primary Interest - Permanent.)
- 2320.04 ADP Systems Implementation. Documents accumulated in the process of implementing approved ADP systems, including coordination actions, orientation and training, dissemination of information, review of proposals for acquisition, progress reporting, feasibility studies, application studies, and monitorship of test applications. (Destroy when superseded, obsolete, no longer needed for guidance, or after 10 years, whichever is earlier.)
- 2320.05 Equipment Evaluation Case Files. Documents relating to the evaluation of specific items of business equipment and machines for use in particular applications, including correspondence regarding review and evaluation of the items, requests for approval of the use of the equipment, and related documents. (Destroy 5 years after completion of evaluation.)
- 2320.06 Systems and Equipment Reports. Documents relating to reporting of utilization and management of automatic data processing systems and equipment, including worksheets, report, and related correspondence. (Destroy after 3 years.)

2320.07 Data Standardization. Documents relating to the policies, procedures, and actions required to implement the Defense Standardization Program and in coordination with the Federal Standardization Program of GSA and other civil agencies. (Destroy when superseded, obsolete, or no longer needed for reference.)

2330 COMMITTEES. Relates to official interagency and interservice groups in which DCAA participates or has an interest that are established to consider, investigate, advise, take action, and report to the appointing authority. The term "committee" is considered to include councils, boards, commissions, subcommittees, panels, subpanels, task forces, and comparable corporate groups. Excludes committees relating to a single specific function.

2330.01 Committees (General). Documents relating to committee management matters which, due to their general nature, cannot be logically filed elsewhere in the 2330 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

2330.02 Committee Management Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on committee management matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)

2330.03 Committee Case Files. Documents relating to the establishment, organization, membership, operations, and dissolution of joint, interdepartmental, interagency or interservice committees, such as the DoD Blue Ribbon Panel, Commission on Government Procurement, Federal Executive Boards, etc. Excludes committees specifically identified under related function. (When DCAA holds chairmanship or secretariat, whichever is designated as "office of record" - Permanent. When DCAA has non-officer participation - Destroy 5 years after termination of participation.)

- 2355 PUBLICATIONS AND PRINTING. Relates to management and administration of publications and printing functions. Excludes operational records relating to local publications and printing services defined in the 1400 series.
- 2355.01 Publications and Printing (General). Documents relating to publications and printing management which, due to their general nature, cannot be logically filed elsewhere in the 2355 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2355.02 Publications and Printing Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on publications and printing matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 2355.03 Publications Record Set. A record copy of each numbered regulation, manual, instruction, handbook, pamphlet, or bulletin, and a copy of each change thereto, authenticated at Headquarters, DCAA or Regional Headquarters, maintained by a central authority. The changes need not be posted and the set will not be loaned for reference purposes. This set may be maintained as a part of 2355.04, Publications Background Papers. (Transfer to inactive file when superseded or cancelled. Permanent.)
- 2355.04 Publications Background Papers. Background papers relating to publications, such as communications and studies that provide a basis for the issuance, or that contribute to its content; documents reflecting coordination and earlier drafts which are pertinent from the standpoint of providing background as to the development of the publication. Included also may be the record copy of the printed publication and changes thereto, as indicated in 2355.03. Excluded are such papers retained by the proponent of the publication which will be filed under the appropriate functional numbers; thus, the use of 2355.03 and 2355.04 is restricted to those papers maintained by a central publication reviewing or approving authority. (Transfer to inactive file when superseded or cancelled. Permanent.)

- 2355.05 Publications Coordination Files. Documents retained by offices showing concurrences, nonconcurrences, and other pertinent comments relating to proposed publications for which another office has primary responsibility; the latter will use appropriate functional numbers. (Destroy after 1 year.)
- 2355.06 Implementation of DoD Issuances (HQ, DCAA Only). Documents reflecting the complete history of all actions taken by DCAA in the implementation or non-implementation of DoD Directives/Instructions, such as coordination actions on proposed issuances; published issuances and changes thereto; and all communications concerning implementation or non-implementation by DCAA. (Retain indefinitely in current files.)
- 2355.07 Publications Manuscripts and Art Work. Documents returned by the printer such as manuscripts, copies of publications and printer's galley proofs, photographs, drawings, maps, charts, and other art work prepared for illustrations in publications. (Destroy upon printing and distribution of the publication, except that those documents which would have continuing use in later revisions, related publications, or reuse in the event of reprinting will be destroyed when obsolete.)
- 2355.08 Publications and Printing Reports. Documents relating to reports which reflect progress in publications and printing activity, including reports, worksheets, and related correspondence. (Destroy after 3 years.)

2360 FORMS. Documents relating to forms management by controlling their use, standardization, construction, number, and distribution.

- 2360.01 Forms Management (General). Documents relating to forms management which, due to their general nature, cannot be logically filed elsewhere in the 2360 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2360.02 Forms Management Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on forms management matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 2360.03 Forms Management Reports. Documents relating to reports which reflect progress in forms management, including reports, worksheets, and related correspondence. (Destroy after 3 years.)
- 2360.04 Forms Numerical File (Internal). Documents accumulated in offices having authority to approve forms and resulting from the consideration, approval, control during existence, and revision or rescission of a specific form. Included are requests for approval of forms, justification, coordination papers, instructions governing use, and a copy of each edition of the form. (Transfer to inactive file when superseded or cancelled. Permanent.)
- 2360.05 Forms Numerical File (External). Documents accumulated regarding forms used within the jurisdictional area of the forms management office but approved by other agencies or offices. Included are copies of forms, instructions governing use, and coordination papers. (Destroy when form is discontinued, superseded, or cancelled.)

- 2360.06 Forms Register. A register or card system used to record and control the assignment of form numbers. (Destroy cards, registers, or pages when all forms listed thereon have been superseded or discontinued.)
- 2360.07 Forms Functional File. A collection of forms arranged by a functional category, used to assist in taking forms management actions such as determining whether new forms should be consolidated or replaced by other forms. (Destroy individual forms when they are discontinued.)
- 2365 REPORTS. Relates to the direction and operation of the reports management system which is designed to control reports; provide that reports are adequate, accurate, and timely; eliminate unnecessary reports; and standardize necessary related materials and procedures.
- 2365.01 Reports Management (General). Documents relating to reports management which, due to their general nature, cannot be logically filed elsewhere in the 2365 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2365.02 Reports Management Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on reports management matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 2365.03 Reports Case Files. Documents in case files reflecting actions taken relating to specific reports. Included are applications for approval of report, copies of pertinent directives and forms, or reference thereto, studies, and correspondence relating to interpretation of instructions or procedures and similar documents. (Transfer to inactive file when superseded or cancelled. Permanent.)

- 2365.04 Reports Control Symbol Register. A register used to control the assignment of reports control symbols and numbers. (Destroy register or individual pages when all reports listed thereon have been superseded or cancelled.)
- 2370 CORRESPONDENCE. Documents relating to the application of management techniques to correspondence practices to increase efficiency, improve the quality of appearance and content, and to reduce costs.
- 2370.01 Correspondence Management (General). Documents relating to correspondence management which, due to their general nature, cannot be logically filed elsewhere in the 2235 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2370.02 Correspondence Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on correspondence management matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 2375 MAIL. Documents relating to the application of management techniques to mail processing operations. These operations include receiving, sorting, opening, routing, distribution, delivery, control, pickup, and dispatch. For operational records - see 1300.
- 2375.01 Mail Management (General). Documents relating to mail management which, due to their general nature, cannot be logically filed elsewhere in the 2375 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2375.02 Mail Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on mail management matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)

- 2380 RECORDS. Documents relating to the program for the management of records, files systems and procedures, files equipment and supplies, and records disposition.
- 2380.01 Records Management (General). Documents relating to records management which, due to their general nature, cannot be logically filed elsewhere in the 2380 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2380.02 Records Disposition. Documents created in the formulation of DCAA policies and procedures for effecting the disposition of records by destruction or retirement to records centers, including criteria for utilization of records centers, records evaluation studies, establishment of records disposition standards, the obtaining of National Archives authorization to destroy records and the interpretation and application of records schedules. (Transfer to inactive file when superseded or obsolete. Permanent.)
- 2380.03 Records Disposition Control. Documents reflecting the movement of records to records centers, such as shipping lists, records transmittals and receipts, and related correspondence. (Place in an inactive file when all records listed thereon have been destroyed, hold 3 years, then destroy.)
- 2380.04 Records Management Reports. Reports reflecting progress in records management, such as reports of records holdings. (Destroy after 3 years.)
- 2380.05 Files Equipment and Supplies. Documents relating to the utilization of files equipment, the evaluation, selection, and requirements for specialized equipment and supplies. (Destroy after 3 years.)
- 2380.06 Records Utilization Control. Documents created in specific instances of furnishing or denying copies of records to specific individuals. (Destroy after 10 years.)

2400 LEGAL MATTERS. Relates to legal matters, such as the rendering of legal opinions; claims and litigation; contract appeals; inventions, patents, and copyrights; and statements of employment and financial interests.

2400.01 Legal Matters (General). Documents relating to legal matters which, due to their general nature, cannot be logically filed elsewhere in the 2400 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

2400.02 Statements of Employment and Financial Interests. THESE DOCUMENTS ARE MAINTAINED IN THE OFFICE OF COUNSEL, HQ, DCAA ONLY. DD Form 1555, DD Form 1555-1, and comparable statements. (Destroy 2 years after termination of employment.)

2400.03 Legal Opinions. Documents relating to legal opinions rendered. (Permanent.)

2400.04 Fraud and Irregularities. Documents relating to incidents and allegations of fraud, criminal conduct, collusive bidding, gratuities clause violations, and similar matters. When such cases involve or result in litigation, use appropriate numbers in the 2410 series. (Destroy after 10 years.)

2410 CLAIMS, APPEALS, AND LITIGATION

2410.01 Claims, Appeals, and Litigation Policies and Procedures. Documents relating to the establishment, review, and revision of policies and procedures regarding claims, appeals, and litigation, including significant background and supporting documents. (Transfer to inactive file when superseded or obsolete. Permanent.)

2410.02 Contract Claims and Litigation. Case files reflecting the processing of claims and litigation actions relating to contracts. (Office of Counsel - Destroy 10 years after final settlement of the claim or litigation. Other offices - To the extent feasible, file with and dispose of with related contract; when this is not feasible, destroy 6 years after final settlement of the claim or litigation.)

- 2410.03 Contract Appeals. Case files reflecting the processing of contractors' appeals and complaints submitted for consideration under the provisions of disputes or similar clauses in contracts. (Office of Counsel - Destroy 10 years after final action on the appeal or complaint. Other offices - To the extent feasible, file with and dispose of with related contract; when this is not feasible, destroy 6 years after final action on the appeal or complaint.)
- 2410.04 Claims and Litigation, Other Than Contractual. Case files relating to the processing of claims and litigation which are not related to contracts. (Destroy 10 years after final settlement.)
- 2410.05 Potential Claims. Documents relating to potential claims, such as reports of investigations of accidents or incidents involving DCAA activities from which claims may arise. If actual claims arise, such documents are transferred to 2410.02 or 2410.04, as applicable. (Destroy after 10 years.)

2420 INVENTIONS, PATENTS, AND COPYRIGHTS

- 2420.01 Inventions, Patents, and Copyrights Policies and Procedures. Documents relating to the establishment, review, and revision of policies and procedures regarding inventions, patents, and copyrights, including significant background and supporting documents. (Transfer to inactive file when superseded or obsolete. Permanent.)
- 2420.02 Inventions, Patents, and Copyrights Case Files. Documents relating to actions involving inventions, patents and copyrights. (Inventions and patents - Destroy after 26 years. Copyrights - Destroy after 56 years.)

- 2600 LEGISLATIVE AND CONGRESSIONAL. Relates to legislation, executive orders, proclamations, and to liaison with the Congress, excluding budgetary and appropriations matters - see 4000 series.
- 2600.01 Legislative and Congressional (General). Documents relating to legislative and congressional matters which, due to their general nature, cannot be logically filed elsewhere in the 2600 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2600.02 Legislation. Drafts of proposed legislation, executive orders, and proclamations; DCAA comments and recommendations relative to legislation, executive orders, and proclamations; background and supporting documents. (If proposed by DCAA - Permanent. If proposed by others - Destroy after 5 years.)
- 2600.03 Congressional Liaison. Correspondence and other papers accumulated as a result of inquiries from Members of Congress and Committees of Congress. (Permanent.)
- 2600.04 Congressional Investigations and Hearings. Documents relating to investigations and hearings by Congress (excluding budgetary and appropriations matters) including material relating to selection of witnesses to appear before and the presentation of evidence to Congressional Committees; Committee reports, analyses, and actions; and similar related material. (Permanent.)

- 2700 PUBLIC AFFAIRS. Relates to programs and functions involving relationships between DCAA and the public. Included are records pertaining to community relations, civilian ceremonies, charity contributions, blood donor programs, and similar matters.
- 2700.01 Public Affairs (General). Documents relating to public affairs matters which, due to their general nature, cannot be logically filed elsewhere in the 2700 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 2700.02 Public Affairs Policies and Procedures. Documents **relating to the** development, preparation, issuance, and interpretation of directives or regulatory instructions on public affairs matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 2700.03 Published Articles. Published or processed documents, such as Fact Sheets and press releases; documents relating to articles prepared for publication by DCAA personnel, including clearance of articles, and related material. (Those written by the Director, Deputy Director, and Regional Manager - Permanent. Written by other personnel - Destroy when no longer needed for reference or after 2 years, whichever is earlier.)
- 2700.04 Speeches. Official speeches by DCAA personnel; documents relating to requests, approvals, and similar material relating to platform appearances by DCAA personnel. Includes seminars and speeches before Government groups, professional societies, and educational institutions. (Those given by the Director, Deputy Director and Regional Manager - Permanent. Other personnel - Destroy when no longer needed for reference or after 2 years, whichever is earlier.)

- 2700.05 Community Relations. Documents relating to measures taken to promote good relations between DCAA activities and local communities, related reports and correspondence. (Destroy after 10 years.)
- 2700.06 Biography Files. Biographies, photographs, newspaper clippings and related documents pertaining to leading personalities. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 2700.07 Public Ceremonies. Documents relating to participation in public ceremonies and affairs, such as parades, public displays, fairs, celebrations, and observances of local and national holidays and comparable activities. (Destroy after 2 years.)
- 2700.08 Charity Contributions. Documents relating to DCAA participation in campaigns and drives of charitable organizations. (Destroy after 3 years.)
- 2700.09 Blood Donor Program. Documents relating to DCAA participation in blood donor programs. (Destroy after 3 years.)

3000 - PERSONNEL ADMINISTRATION

This series relates to the procurement, utilization, and control of manpower; to the administration of military and civilian personnel; and to matters and programs designed to benefit the morale, health, and welfare of personnel.

3000.01 Personnel Administration (General). Documents relating to the administration of military and civilian personnel matters which, due to their general nature, cannot be logically filed elsewhere in the 3000 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

3100 MANPOWER. Relates to the overall control of manpower resources and spaces in DCAA.

3100.01 Manpower (General). Documents relating to the administration of manpower matters which, due to their general nature, cannot be logically filed elsewhere in the 3100 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

3100.02 Manpower Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on manpower matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)

3100.03 Personnel Authorizations. Documents regarding the allotment, increase, or decrease of personnel spaces in DCAA activities; manpower authorization vouchers, tables of authorization reflecting by organizational element the grade category and number of civilian personnel allotted to DCAA activities. Includes drafts or proposed tables, justifications, coordinating actions, published tables, and correspondence relating thereto. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)

- 3100.05 Personnel Control. Documents accumulated in connection with techniques for keeping personnel strength, workloads, and grade structure in balance, including work measurement sheets, personnel yardsticks, charts of grades and ratings, and personnel workload reports. (Destroy 3 years after supersession or obsolescence.)
- 3100.06 Personnel Strength Reports. Documents regarding the reporting of the authorized and **actual** strength of civilian personnel in DCAA activities, strength by occupational specialty and grade, and similar personnel strength data. (Permanent.)
- 3100.07 Manpower Surveys. Documents accumulated in connection with manpower surveys and studies covering such subjects as personnel authorizations, manning levels, manpower analyses, workload factors, and emergency requirements. Includes inventory and appraisal reports, manpower survey reports and schedules, and comparable data. (Destroy upon completion of next comparable survey or after 5 years, whichever is earlier.)
- 3100.08 Manpower Requirements and Utilization Review. Documents establishing current and projected manpower requirements for budgeting purposes, including budget estimates and apportionment reviews; and for special committees, including congressional. (Budget Office, HQ, DCAA - Permanent.)

3200 MILITARY PERSONNEL

- 3200.01 Military Personnel (General). Documents relating to military personnel matters which, due to their general nature, cannot be logically filed elsewhere in the 3000 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3200.02 Ready Reserve. Documents relating to civilian members of the military ready reserve. (Destroy 5 years after supersession or obsolescence.)

3300 CIVILIAN PERSONNEL. Relates to the administration of civilian personnel matters within DCAA.

- 3300.01 Civilian Personnel (General). Documents relating to civilian personnel administration which, due to their general nature, cannot be logically filed elsewhere in the 3300 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3300.02 Civilian Personnel Servicing Agreements. Agreements between DCAA and non-DCAA activities for the provision of civilian personnel services. (Destroy 3 years after termination of agreement.)
- 3300.03 Civil Service Commission Inspections. Reports of inspections and audits of civilian personnel administration conducted by representatives of the Civil Service Commission. (Office inspected - Destroy after next comparable inspection, except that inspection reports containing job evaluation determinations which have the effect of grade level standards will, if still current, be filed under 3306.02.)
- 3300.04 Personnel Reports. Personnel reports containing statistical and/or narrative data regarding civilian personnel matters which cannot be filed under strength reports (3100.06) or specific functions in the 3300 series. (Destroy after 3 years.)
- 3300.05 Personnel Conferences. Documents relating to personnel conferences held at Headquarters, DCAA or regional headquarters. (Destroy after 3 years.)

3301 PERSONNEL POLICIES AND OBJECTIVES. Relates to the formulation of policies and procedures and the scope of the objectives of the DCAA Personnel Management Program.

- 3301.01 Delegation of Authority. Documents relating to the civilian personnel officer's basic authorities to act for the Director or Regional Manager in administering civilian personnel actions, such as signing personnel actions; administering oaths of office; authorities to deviate from CSC or DCAA requirements; documentation of the basis for the policies and practices, and procedures which are made under local authority; and records of actions or decisions which are precedent-setting for future operations. (Destroy when authority is discontinued.)
- 3301.02 Personnel Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on personnel matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. Excludes policies and procedures for Equal Employment Opportunity (3346), Labor-Management Relations (3347), and Employee Grievances and Appeals (3358). (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 3301.03 Personnel Program Objectives. Program documents reflecting the various elements and the scope of the civilian personnel program, such as Federal Executive Service, Executive Assignment System, Executive Evaluation System, Excepted Appointments, Special Employment Programs, and similar programs. (Destroy when superseded, obsolete, or after 10 years, as appropriate.)

3306 POSITION CLASSIFICATION AND PAY MANAGEMENT. Relates to the functions of determining pay rates and administering salary matters relating to civilian employees, excluding position classification appeal case files - see 3358.

- 3306.01 Position Classification and Pay Management (General). Documents relating to position classification and pay management matters which, due to their general nature, cannot be logically filed elsewhere in the 3306 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3306.02 Classification Standards. Classification standards providing guidance in the evaluation of positions including classification and qualification standards. (Destroy when superseded.)
- 3306.03 Standards Development. Drafts of standards, correspondence, project schedules, and materials relating to the development of classification and qualification standards. (Review at least once a year after publication of final standards and destroy all papers which have been superseded or are no longer applicable.)
- 3306.04 Position Descriptions (Master File). Certified master copies of Optional Form 8, Position Description, or comparable forms, covering all positions serviced by the civilian personnel office. (When cancelled or obsolete, place in inactive file. Hold CIFA 5 years, then destroy.)
- 3306.05 Position Description Number Log. A log providing a continuing list of identifying numbers assigned to position descriptions. (Destroy upon discontinuance of activity or when new numbering system is prescribed.)
- 3306.06 Position Descriptions (Extra Copies). Extra copies of position descriptions maintained for use when a new incumbent is assigned, when identical positions are established, or for use or reference when the master file is not immediately available. (Destroy when position description is superseded or when position is abolished.)

- 3306.07 Position Description Organization File. Folders for each organizational element containing organization and staffing charts annotated to reflect positions involved and a copy of each position description. (Destroy when superseded or obsolete.)
- 3306.08 Position Surveys. Documents reflecting the periodic survey of all positions in the organization and reports related thereto. (Retain in CFA and destroy 2 years after a regularly scheduled DCAA or CSC inspection, whichever is earlier.)
- 3306.09 Wage Board Administration. Documents relating to wage board matters, which are forwarded to DCAA for information and/or coordination. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3306.10 Special Salary Rates. Documents relating to special salary rates, and to the annual review thereof. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 3306.11 Salary and Wage. Documents relating to general schedule salary rates; schedules, reports, changes, etc. (Destroy when superseded or after 3 years, as appropriate.)

3311 RECRUITING AND HIRING. Relates to the recruiting of new employees, the consideration of applicants or of eligibles from the CSC lists, and the hiring of employees, excluding the Student Trainee Program - see 3312.

3311.01 Recruiting and Hiring (General). Documents relating to recruiting and hiring of employees which, due to their general nature, cannot be logically filed elsewhere in the 3311 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

3311.02 Civil Service Certificates. These files provide a record of requests to the CSC for certification of eligibles, such as Request for Certification, Certificates of Eligibles, and related documents, such as Statement of Reasons for Passing Over a Preference Eligible and Selecting a Nonpreference Eligible. (Retain in CFA and destroy after 2 years.)

3311.03 Applicant Supply Files. These files provide an index to applications of qualified eligibles, govern the order of selection of applicants for appointment, used as a basis for determining subsequent recruiting needs, and provide a reference to determine action taken on specific applications and a reference to the Qualifications Standards File. (Destroy after appropriate action has been taken with respect to each applicant listed thereon, in accordance with the FPM and after CSC has inspected each action for compliance with existing rules and regulations. When direct recruiting authority is cancelled, destroy after inspection by the CSC of the propriety of actions taken under the recruiting authority.)

3311.04 Applications. These files provide a repository for applications and supplementary related documents and correspondence. (Dispose as prescribed by the FPM.)

- 3311.05 Job Opportunities. Announcements of job vacancies prepared for bulletin boards, circulation to employees, other agencies, or to the public. (Destroy after 2 years.)
- 3311.06 Paid Advertising. Documents relating to advertisements placed in news media for the purpose of recruiting, excluding financial documents. (Destroy after 3 years.)
- 3311.07 Priority Placement (Stopper) Lists. Lists received periodically from the Central Referral Activity. (Retain CFA. Destroy after 2 years.)
- 3311.08 Overseas Returnee Lists. Lists received periodically from the Automated Overseas Referral Activity. (Retain CFA. Destroy after 2 years.)
- 3312 STUDENT TRAINEE PROGRAM. Relates to all phases of the student trainee program - recruiting, placement, training, and evaluation.
- 3312.01 Student Trainee Program (General). Documents relating to the student trainee program which, due to their general nature, cannot be logically filed elsewhere in the 3312 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3312.02 Student Trainee Case Files. Documents relating to recruiting, placement, and training of student employees, excluding Student Record of Training - see 3312.03. (Destroy when superseded, obsolete, or 1 year after individual leaves program, whichever is earlier.)
- 3312.03 Student Record of Training. Individual documents reflecting training progress and evaluation. (Destroy 1 year after individual completes training.)

- 3315 CAREER MANAGEMENT. Relates to the DCAA program designed to manage the career or the development of employees' capabilities through a program of selection and assignments, self-development and programmed training, increased promotional opportunities through Agency-wide referral of vacancy lists or consideration by use of centralized qualification records, and similar related documents.
- 3315.01 Career Management (General). Documents relating to career management matters which, due to their general nature, cannot be logically filed elsewhere in the 3315 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3315.02 Career Programs. Record copy of career program supplements maintained for each of several career fields for civilian employees. Includes materials such as drafts, concurrences, recommendations for changes, and similar documents. (Upon supersession or obsolescence place in inactive file. Hold 5 years, then destroy.)
- 3315.03 Qualifications and Appraisals. Individual cards or cases relating to each employee in the career management program together with related appraisals and evaluations. (Retain in current files area. Destroy 2 years after the employee is no longer eligible for consideration.)
- 3315.04 Referral Lists. Lists reflecting referral of names for consideration against vacancies, including requests for such lists, and copies of or notations regarding inquiries as to interest in vacancies. (Retain CFA. Destroy after 2 years or after CSC has completed inspection, whichever is earlier.)
- 3315.05 Career Management Board Activities. Documents relating to Career Management Board operations, such as policies and procedures, memberships, agenda, minutes of meetings, and related documents. (CMB Recorder - Permanent.)

- 3321 TRAINING. Relates to training functions of a general nature.
Excludes Student Trainee Program (3312).
- 3321.01 Training (General). Documents relating to training matters which, due to their general nature, cannot be logically filed elsewhere in 3321, 3322, and 3323. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
 - 3321.02 Training Plans. Documents reflecting overall programming and scheduling of training and reports of progress thereon. (Destroy after 5 years.)
 - 3321.03 Individual Record of Training. Documents reflecting for an employee the courses attended, dates, and similar information. (Review annually and destroy that portion pertaining to individuals who are no longer in the employ of the activity.)
- 3322 DCAA TRAINING. Relates to the training of employees through DCAA resources.
- 3322.01 Local Training. Documents relating to specific training courses conducted at DCAA activities, including the Defense Contract Audit Institute, utilizing local, Institute, or Headquarters personnel as instructors. Includes documents reflecting course content, attendance records, evaluation reports, and course schedules. (Destroy after 3 years.)
 - 3322.02 DCAA Courses. Official record copy of course manuals, both instructor's and student's, prepared by DCAA personnel for use at the Institute, in local activities, or for self-study. (Permanent.)
 - 3322.03 DCAA Course Development. Background documents and work papers accumulated in the process of developing a DCAA course. (Destroy after 5 years.)
 - 3322.04 DCAA Course Evaluation. Documents relating to course reports, critiques by students, and critique reports. (Destroy after 2 years.)
 - 3322.05 Students and Instructors. Documents relating to applications and selections of students and selection of guest instructors from DCAA personnel. (Destroy after 2 years.)

- 3322.06 Non-DCAA Participation. Records relating to policies, procedures, and participation of non-DCAA personnel as students and instructors. (Permanent.)
- 3323 NON-DCAA TRAINING. Relates to training of employees in non-DCAA facilities.
- 3323.01 Other Government Training. Documents relating to training of employees in other Government facilities including agreements, requests for quotas or personnel spaces, evaluations or comments, and similar material. (Destroy after 5 years.)
- 3323.02 Non-Government Training. Documents relating to training in non-Government facilities, including requests for and approval of such training, agreements, copies of obligated service agreements, if any, and similar material. (Destroy after 5 years.)
- 3330 PROFESSIONAL ACTIVITIES. Relates to the participation of DCAA employees in professional activities outside DCAA and CPA accreditation.
- 3330.01 Professional Activities (General). Documents relating to professional activities which, due to their general nature, cannot be logically filed elsewhere in the 3330 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3330.02 CPA Accreditation. Correspondence with State Boards regarding acceptance of DCAA experience as qualifying for taking the CPA examination and for certification, and related documents. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 3330.03 CPA Accreditation Background Data. Correspondence with professional societies, CPA firms, other Government agencies, colleges, and universities regarding the auditing profession. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 3330.04 CPA Preparation. Documents relating to the CPA coaching courses. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 3330.05 Report on Professional Activities. Copies of submissions for publication in the DCAA Bulletin. (Transmittal letters will be destroyed after each month's activities are recorded. Individual activity report will be filed in employee's career folder - 3315.03.)
- 3330.06 Regional Summaries. Summaries of professional activities by fiscal year and by activity. (Destroy after 3 years.)

3336 PROMOTION, QUALIFICATION, AND PLACEMENT. Relates to matters of promotion, qualification, and placement of civilian employees, excluding those records which are an integral part of the Career Management Program - see 3315.

- 3336.01 Promotion, Qualification, and Placement (General). Documents relating to promotion, qualification, and placement matters which, due to their general nature, cannot be logically filed elsewhere in the 3336 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3336.02 Qualification Standards. Documents used in rating applications for appointment and approving non-competitive actions, consisting of index to standards, CSC Handbook X-118, examination announcements, and special standards, such as promotion and training agreements. (Destroy when superseded, or no longer needed for reference.)
- 3336.03 Applications for Promotion. Forms prepared by employee applicants under the promotion and placement program and used as a record of employee's skills. (Forms for ineligible applicants will be returned to applicants; forms for eligible applicants not selected will be destroyed after 1 year; forms for eligible applicants who are selected will be filed in the Official Personnel Folder.)
- 3336.04 Promotion Register and Record. Papers documenting promotion actions under the Federal Merit Promotion Program. (Retain in current files area. Destroy after 2 years or after a regularly scheduled CSC inspection, whichever is earlier.)
- 3336.05 Reemployment Rights. These files provide a register of persons having reemployment rights or to whom there is an obligation to reemploy, such as persons separated by reduction-in-force or for military service, skills listings, and similar documents. (Destroy after expiration or loss of employee's reemployment priority rights unless an appeal is pending. Destroy lists after expiration of eligibility of all persons on the list.)

- 3337 REASSIGNMENTS, JOB ROTATION, AND DETAILS. Relates to the reassignment, rotation, and details of civilian employees of DCAA.
- 3337.01 Reassignments, Job Rotation, and Details (General). Documents relating to reassignment, job rotation, and details which, due to their general nature, cannot be logically filed elsewhere in the 3337 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
 - 3337.02 Case Files. Documents relating to the reassignment, rotation, and detailing of individual DCAA employees. (Destroy 1 year after termination of employment.)
- 3341 INCENTIVE AND ACCOMPLISHMENT AWARDS. Relates to the system of awards and incentives for superior accomplishment, acts, or suggestions which have contributed to the efficiency and economy in administration and operations.
- 3341.01 Incentive and Accomplishment Awards (General). Documents relating to the incentive and accomplishment awards which, due to their general nature, cannot be logically filed elsewhere in the 3341 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
 - 3341.02 Incentive Awards Reports. Summary and consolidated reports on monetary and non-monetary awards. (Destroy after 3 years.)
 - 3341.03 Register of Honorary and Monetary Awards (Except Suggestions). Register of nominations received, approved, disapproved, amount of award paid, and dates. (Destroy after 3 years.)
 - 3341.04 Incentive Awards Boards. Documents relating to board operations such as directives, memberships, and comparable papers. (Retain in current files area; destroy when superseded, obsolete, no longer needed for reference, or after 3 years, whichever is earlier.)

- 3341.05 Nominations for Awards. Recommendations together with supporting papers submitted by operating officials and related papers incident to consideration of employees for performance awards and honorary awards, such as Outstanding Performance, Quality Salary Increase, Special Achievement, Distinguished Civilian Service, Meritorious Civilian Service, Civilian Award for Achievement, Publications Award, Presidential Award for Distinguished Civilian Service, DoD Distinguished Civilian Service, U.S.-Vietnam Civilian Service Medal, Federal Womens Award, Outstanding Handicapped Federal Employee, National Civil Service League Career Service, Arthur S. Fleming, Rockefeller Public Service, and William A. Jump Memorial. (Destroy 3 years after case is closed.)
- 3341.06 Service Recognition. Copies of letters recognizing length of service and retirement; and letters of appreciation and commendation, excluding those copies filed in Official Personnel Folder. (Retain in current files area. Destroy after 2 years.)
- 3341.07 Civilian Service Emblem Control Files. Requisitions for and controls maintained to record eligibility for award of emblems. (Destroy after 2 years.)
- 3341.08 Employee Suggestion Register. Registers or controls of employee suggestions received. (Retain in current files area; destroy 2 years after final action taken on all suggestions listed thereon.)
- 3341.09 Employee Suggestions. Specific suggestions made by civilian employees to improve administration and operations, including both approved and rejected suggestions. Includes acknowledgements of receipt of suggestions, evaluations, approvals, and rejections, and issue of awards, excluding evaluating officials' files relating to adopted suggestions which will be filed under the appropriate functional number (Retain in current files area. Destroy 3 years after case is closed.)

3346 EQUAL EMPLOYMENT OPPORTUNITY. Relates to policies, responsibilities, and procedures regarding the program for equal employment opportunities.

- 3346.01 Equal Employment Opportunity (General). Documents relating to equal employment opportunity which, due to their general nature, cannot be logically filed elsewhere in the 3346 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3346.02 Equal Employment Opportunity Policies and Procedures. Documents relating to the development and promulgation of DCAA policies and procedures regarding the program for equal employment opportunity, plan of action, and correspondence and other records showing overall effectiveness of the program. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 3346.03 Equal Employment Opportunity Reports. Reports showing problems, accomplishments, statistical or narrative, relating to the various equal employment programs, such as minority groups, status of women and mentally handicapped. (Permanent)
- 3346.04 Equal Employment Opportunity Complaints. Case files of complaints under the Equal Employment Opportunity Program, including basic documents, records of hearings or meetings, copy of decision rendered, and related correspondence and exhibits. (Retain file for each separate case in current files area for 7 years after case is closed, then destroy.)

3347 LABOR-MANAGEMENT RELATIONS. Relates to policies, responsibilities, and procedures regarding the relationship between management and employee unions, groups, or associations.

- 3347.01 Labor-Management Relations (General). Documents relating to labor-management relations which, due to their general nature, cannot be logically filed elsewhere in the 3347 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3347.02 Labor-Management Policies and Procedures. Documents relating to the development and promulgation of DCAA policies and procedures relating to labor-management relations, correspondence and other records showing overall effectiveness of the program, and related documents. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 3347.03 Employee Organization Case Files. Documents relating to the relationship between management and individual employee unions, groups, or associations, such as petitions for exclusive recognition, agreements, and correspondence relating thereto. (Office negotiating agreement - Permanent.)
- 3347.04 Labor Relations. Documents relating to work stoppages and strikes; strike reports; correspondence relating to settlement of disputes; and related documents. (Transfer to FRC when inactive. Permanent.)

3348 STANDARDS OF CONDUCT. Relates to the system designed to ensure that all DCAA personnel do not have conflicts of interest and are aware of and adhere to codes of ethics and standards of conduct.

3348.01 Standards of Conduct (General). Documents relating to standards of conduct matters which, due to their general nature, cannot be logically filed elsewhere in the 3348 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

3348.02 Standards of Conduct Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretations of directives and regulatory instructions on standards of conduct, including interim policy statements issued prior to publications in official DCAA policy publications. (Upon supersession or obsolescence place in inactive file. Destroy after 10 years.)

3348.03 Standards of Conduct Operations. Documents reflecting the operation of the system designed to ensure that all personnel read and fully understand the standards of conduct and ethics required of them. (Destroy after the next periodic application of the system.)

3349. EMPLOYEE RELATIONS. Relates to relationships with employees in the areas of discipline, adverse personnel actions, voluntary separations, other separation actions, changes to lower grade, and reduction in force. Excludes processing employee separations and evaluation of turnover - see 3371.25.

- 3349.01 Employee Relations (General). Documents relating to employee relations which, due to their general nature, cannot be logically filed elsewhere in the 3349 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3349.02 Reduction in Force (General). Documents relating to reduction-in-force matters which, due to their general nature, cannot be logically filed elsewhere in the 3349 series. Excludes individual case files - see 3358. (Destroy when superseded, obsolete, or after 2 years.)
- 3349.03 Competitive Levels. Logs, registers, or other control documents maintained for the purpose of documenting determinations as to specific competitive levels within areas serviced by the civilian personnel office. (Destroy 1 year after supersession or obsolescence.)
- 3349.04 Retention Registers. Retention registers or lists for each competitive level affected by a reduction in force and lists reflecting information as to employees' retained and those separated during the reduction in force. (Retain in current files area. Destroy after 2 years unless an appeal is pending; destroy files relating to an appeal 2 years after settlement of the appeal.)

3358 EMPLOYEE GRIEVANCES AND APPEALS. Relates to grievances and appeals of DCAA employees.

- 3358.01 Employee Grievances and Appeals (General).
Documents relating to employee grievances and appeals which, due to their general nature, cannot be logically filed elsewhere in the 3358 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3358.02 Employee Grievance and Appeal Policies and Procedures.
Documents relating to the development, preparation, issuance, and interpretations of directives or regulatory instructions on grievance and appeal matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 3358.03 Employee Grievance and Appeal Case Files.
Individual employee case files relating to all grievances and appeals (See 3346 for EEO Complaints) and other employee problems processed or reviewed. Includes basic documents, records of hearings or meetings, copy of decision rendered, and related correspondence and exhibits. (Retain file for each separate case in current files area for 7 years after case is closed, then destroy.)

3361 EMPLOYEE BENEFITS

3361.01 Employee Benefits. Documents relating to employee benefits such as health benefits, severance pay, unemployment compensation, retirement, and life insurance. Excludes compensation for injury - see 3500. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.)

3371 PERSONNEL RECORDS. Documents relating to civilian employees of DCAA.

3371.01 Personnel Records (General). Documents relating to personnel records which, due to their general nature, cannot be logically filed elsewhere in the 3371 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

3371.02 Personnel Identification Media. Documents related to the system of authorization and issuance of non-security identification media to permit entrance to an installation or activity and to identify the individual as an authorized representative of DCAA. Includes issuance, receipt, return, and destruction of special credentials, auditor credentials, U.S. Government Identification Cards. Excludes registers described under 3371.03. (Destroy 2 years after final disposition of identification media, except that receipts signed by individuals may be destroyed upon turn-in of credentials.)

3371.03 Personnel Identification Registers. Registers maintained by issuing officers showing to whom credentials are issued, date of issue, date of return, and date of destruction. (Remove individual pages from registers when final disposition of all credentials listed thereon has been made, place in inactive file, hold 2 years, then destroy.)

3371.04 Payroll Liaison. Documents relating to liaison between DCAA and servicing payroll offices concerning payroll matters. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)

- 3371.20 Official Personnel Folders (Civilian Personnel Office Only). Individual official personnel folders comprising the official record of each civilian employee of the Federal Government during his or her tenure of service with the Government. This file number is only for overall identification of the file series and will not be placed on the folders themselves. (Upon transfer or separation of employee, effect disposition as prescribed in the Federal Personnel Manual.)
- 3371.21 Locator Records (Civilian Personnel Office). Strips or cards maintained as a ready reference to the organizational segment to which the employee is assigned. (Destroy upon transfer or separation of the employee.)
- 3371.22 Personnel Authorizations (Civilian Personnel Office Only). Copies of memoranda, letters, tables of authorized strength, and other documents which reflect personnel spaces allotted to various organizational segments and which provide the Civilian Personnel Office with a basis for maintaining a specific number of position identification strips on the personnel control file. (Destroy upon supersession.)
- 3371.23 Service Record File (Civilian Personnel Office Only). These files provide a record of positions and incumbents, a medium for controlling personnel strength, and a device for follow-up on actions due. They consist of SF 7D, Position Identification Strip, and SF 7, Service Record Card. (Destroy SF 7D upon reclassification or cancellation of the position. SF 7 will be withdrawn and placed in the Inactive Service Record (3371.24) upon transfer or separation of the employee.)
- 3371.24 Inactive Service Records (Civilian Personnel Office Only). These files provide a record of separated employees, including forwarding address and destination of official personnel folder, and SF 7, Service Record Card. (Destroy 3 years after transfer or separation of employee.)

- 3371.25 Departure Clearances (Civilian Personnel Office Only). Documents created to show clearance procedures accomplished with respect to transferred or separated employees, and evaluation of turnover. They consist of activity clearance forms or check lists indicating the accomplishment of various types of administrative actions which are prerequisites to release of employees. (Destroy after 2 years.)
- 3371.26 Group Action Requests (Civilian Personnel Office Only). These files provide a record of the basis for processing personnel and position actions resulting from job surveys and consist of group action request lists or similar forms. (Upon supersession, place in inactive file, cut off at end of each calendar year, hold 4 years in current files area, then destroy.)
- 3371.27 Chronological Journal (Civilian Personnel Office Only). Copy of each SF 50 (Notification of Personnel Action) for use as source material for preparation of reports, for a ready reference device for review of actions previously processed, and for information of CSC and DCAA representatives. (Retain in current files area. Destroy after 2 years.)
- 3371.50 Employee Records. Individual records providing current information relative to employees, positions, strength authorizations, and actions in process, maintained by the operating official with respect to employees of the organizational segment under his technical and administrative control. (Destroy upon separation of the employee from the organization, except that records pertaining to employees with restoration rights will be destroyed upon fulfillment or termination of restoration obligation.)
- 3371.51 Position Descriptions. Copies of position descriptions maintained by supervisors. (Destroy upon abolishment of the position or upon supersession of the position description.)

- 3371.52 Separations, Military Service. Files used by operating officials in considering employees separated for military service for position change actions in absentia. (Destroy upon fulfillment or termination of restoration obligation.)
- 3371.53 Request for Personnel Action. Operating officials' copies of SF 52, Request for Personnel Action, for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separation. (Destroy upon completion of action.)
- 3371.54 Civilian Personnel Information. Files serving as the operating officials' repository for correspondence and documents pertinent to individual civilian employees, which are duplicated in, or are not appropriate for, inclusion in the Official Personnel Folder or other files in the 3371 series. (Review at end of calendar year and destroy documents which have been superseded or are no longer applicable, or destroy 1 year after transfer or separation of the employee, whichever is earlier.)
- 3381 PROGRAM PLANNING AND EVALUATION. Relates to the planning and evaluation of the DCAA Personnel Management Program.
- 3381.01 Program Planning and Evaluation (General). Documents relating to the program planning and evaluation of the DCAA Personnel Management Program which, due to their general nature, cannot be logically filed elsewhere in the 3381 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3381.02 Program Planning and Evaluation Reports. Summary and consolidated reports on the planning and evaluation of the DCAA Personnel Management Program. (Destroy after 10 years.)

- 3382 STAFF ASSISTANCE TO SUPERVISORS. Relates to surveys of DCAA activities by HQ, DCAA, Civilian Personnel staff and related documents.
- 3382.01 Staff Assistance to Supervisors (General). Documents relating to staff assistance to supervisors which, due to their general nature, cannot be logically filed elsewhere in the 3382 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3382.02 DCAA Surveys of Civilian Personnel Administration. Reports of surveys of civilian personnel administration conducted by representatives of DCAA. (Destroy upon completion of next comparable survey.)
- 3388 DCAA SAVINGS BOND PROGRAM. Relates to the concepts, development, administration, and reports and analysis of the DCAA-wide program for the promotion of the sale of savings bonds.
- 3388.01 DCAA Savings Bond Program (General). Documents relating to the DCAA Savings Bond Program which, due to their general nature, cannot be logically filed elsewhere in the 3388 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3388.02 Savings Bond Reports. Summary and consolidated reports of participation of employees in the DCAA Savings Bond Program. (Destroy after 3 years.)
- 3400 MORALE, WELFARE, AND RECREATION
- 3400.01 Morale, Welfare, and Recreation. Documents relating to morale, welfare, and recreation matters and activities sponsored, monitored, or publicized by DCAA in the interest of employees. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.)

- 3500 SAFETY PROGRAM. Relates to the program to reduce the frequency and severity of accidental injuries to personnel on the premises of DCAA or while performing assignments incident to DCAA operations, and compensation for such injury.
- 3500.01 Safety Program (General). Documents relating to safety program matters which, due to their general nature, cannot be logically filed elsewhere in the 3500 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.)
- 3500.02 Safety Program Policies and Procedures. Documents relating to the development, preparation of directives or regulatory instructions on safety matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 3500.03 Safety Program Reports. Reports accumulated by safety offices in connection with general reporting of accidents and accident experience, including reports of accidents of motor vehicles, fire, and personal injury. Excludes case file reports described in 3500.04. (Destroy after 3 years.)
- 3500.04 Individual Accident Case Files. Case files of reporting and reviewing offices consisting of reports and related papers regarding accidents incident to DCAA operations pertaining to injuries to individuals or accidents involving motor vehicles and other equipment and property damage. (Destroy 10 years after all aspects of the case are closed.)

4000 - FINANCIAL MANAGEMENT

This series relates to overall financial management of appropriated funds, including planning, budgeting, and accounting.

- 4000.01 Financial Management (General). Documents relating to financial matters which, due to their general nature, cannot be logically filed elsewhere in the 4000 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 2 years as appropriate.)
- 4000.02 Financial Management Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on financial management matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 4000.03 Financial Management Surveys. Documents relating to surveys of DCAA activities by HQ Financial Management personnel. (Destroy upon completion of next comparable survey.)

4100 BUDGET. Relates to the budget preparation, presentation, review, and execution.

4100.01 Budget (General). Documents relating to the administration of budget matters which, due to their general nature, cannot be logically filed elsewhere in the 4100 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.)

4100.02 Budget Policies and Procedures. Correspondence and other documents showing Agency policy and procedures governing budget administration and reflecting policy decisions affecting expenditures for Agency programs; analyses and interpretations of Executive Orders; statutes; OSD, OMB, and other Agency policies, regulations, instructions, correspondence, reports and related documents which affect DCAA budgetary responsibilities. (Permanent)

4100.03 Budget Estimates. Official record copy of budget estimates submitted to higher authority. (Transfer to FRC 3 years after close of FY involved - Permanent.)

4110 Budget Program Data. Documents accumulated in support of preparation and submission of budget estimates.

4110.01 Budget Program Data (General). Documents relating to the administration of budget program data matters which, due to their general nature, cannot be logically filed elsewhere in the 4110 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.)

4110.02 Five-Year Defense Program. Documents relating to the FYDP program element list, program element summary data, submissions, FYDP objective memoranda, related guidance and program change requests and decisions. (Destroy when superseded, obsolete no longer needed for reference, or after 5 years, as appropriate.)

4110.03 Workload and Performance. Documents relating to workload factors, out put measurement, audit workload and performance reports, audit cognizance transfer, and audit workload data for other agencies. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.)

- 4110.04 Reimbursable Audits. Documents relating to the analysis of the reimbursable audit program as it affects the DCAA budget program; including non-DoD agencies, regional analyses, billing and earning rates and related workpapers. (Destroy 3 years after close of FY involved.)
- 4120 Budget Formulation and Review. Documents relating to the formulation, and review by higher authority, of the DCAA budget.
- 4120.01 Budget Formulation and Review (General). Documents relating to the administration of budget formulation and review matters which, due to their general nature, cannot be logically filed elsewhere in the 4120 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.)
- 4120.02 OSD/OMB Budget Estimate Submissions. Documents relating to OSD/OMB budget estimate submissions, including workpapers and hearing backup data, supplemental budget data to OSD, including duplicate copies of records in 4100.03. (Destroy 3 years after close of FY involved.)
- 4120.03 President's Budget Submission. Documents relating to the President's budget submissions and supplemental data to OSD and the Congress, including duplicate copies of records in 4100.03. (Destroy 3 years after close of FY involved.)
- 4120.04 Congressional Hearing Backup Data. Documentation consisting of correspondence, budgetary statements, and form reports, with related backup materials that are, or reflect upon, data furnished to the Congressional Appropriations Committee during budgetary hearings, budget estimate review records, and copies of House and Senate testimony. (Destroy material published by House or Senate upon issuance of published document. Destroy material NOT published by House or Senate after 5 years.)
- 4120.05 Apportionment. Relates to apportionment submission to OSD, hearing backup data, workpapers and supplemental data submitted to OSD. (Destroy 3 years after close of FY involved.)

- 4130 Budget Execution. Documents reflecting the apportionment and allocation of budget items, including financial plans and operating budgets.
- 4130.01 Budget Execution (General). Documents relating to the administration of budget execution matters which, due to their general nature, cannot be logically filed elsewhere in the 4130 series. (Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.)
- 4130.02 Expense Operating Budget. Documents relating to the DCAA expense operating budget received from OSD. (Destroy 3 years after close of FY involved.)
- 4130.03 Operating Budget Authorizations. Documents relating to operating budget authorizations to Headquarters and Regions. (Destroy 3 years after close of FY involved.)
- 4130.04 Quarterly Operating Budget. Operating budget workpapers reflecting quarterly status, and operating budget plans. (Destroy 3 years after close of FY involved.)
- 4130.05 Operating Budget Requests and Estimates. Documents reflecting operating budget requests for current fiscal year, and estimates for following fiscal year. (Destroy 3 years after close of FY involved.)
- 4130.06 Financial Management Report. Quarterly report prepared for management purposes. (Destroy 4 years after close of FY involved.)
- 4130.07 Budget Execution Background Data. Extra copies of documents used as backup and workpapers regarding budget execution. Included are copies of Analysis of Financial Operations, Statement of Financial Conditions, Budget Status Reports, Financial Transaction Summaries, Budget Execution Forecasts, Pay Increase Costs, Time-Shared Computer Services, Training Travel, Communication Costs, Actuarial Services, and other documents of a similar nature duplicated elsewhere in functional files. (Destroy when superseded, obsolete, or no longer needed for reference.)

4140 Budget Recurring Reports. Reports prepared by the budget office.

4140.01 Reports to Higher Authority. Includes reports submitted by HQ, DCAA, to higher authority such as Expenditure Forecasts and Deviations, Expenditure Forecast Data, Minor Construction, Obligations by State, DoD Support of NASA, Man-Year and Cost. (Destroy 4 years after close of FY involved.)

4140.02 Internal Reports. Includes all reports prepared by budget offices for DCAA management purposes. (Destroy 4 years after close of FY involved.)

4200 ACCOUNTING. Relates to the accounting for funds allocations, allotments, obligations, expenditures, disbursement, reimbursement, collections, and adjustments. All accounting records are cut off at end of fiscal year.

- 4200.01 Accounting (General). Documents relating to accounting matters which, due to their general nature, cannot be logically filed elsewhere in the 4200 series. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 4200.02 Accounting Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on accounting matters, including copies of interim policy statements issued prior to publication in official DCAA policy publications. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 4200.03 Accounting Correspondence. Correspondence files maintained by operating units responsible for appropriation accounting, pertaining to their internal operations and administration. (Destroy after 2 years.)
- 4200.04 Surety Bonding. Documents created in connection with the DCAA position schedule, including orders appointing individuals to positions covered by the bond, orders terminating such appointments, lists of positions, reports, and similar and related documents. (Destroy 5 years after termination of the bond, except that files pertaining to suits or other similar action will be retained for 5 years after termination of such action.)
- 4200.05 Imprest Funds. Documents accumulated by imprest fund cashiers which reflect the receipt and accounting for imprest funds. Included are copies of reimbursement vouchers and receipts for funds entrusted to agent officer which also reflect acknowledgment of return of funds and statement of balance. (Destroy after 2 years.)

- 4210 General Accounts Ledgers. General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary and fund authorizations.
- 4210.01 Fund Authorizations from OSD. Documents relating to fund authorizations received from the Office of the Secretary of Defense. (Destroy after 10 years.)
- 4210.02 General Ledgers. Contain accounts necessary to reflect financial operations of fund authorizations. (Cut off ledger at end of fiscal year. Destroy after 10 years.)
- 4220 Allotment Records. Records showing status of allotments under each authorized appropriation.
- 4220.01 Cash Disbursements Ledger. Book of original entry used to record all disbursements made against the allotment being maintained. (Destroy after 10 years.)
- 4220.02 Obligation Control Ledger. Book of original entry which places under accounting control each document representing an obligation against the allotment being maintained. (Destroy after 10 years.)
- 4220.03 Allotment Working Papers. The culmination of all financial activity which occurs during the fiscal year relating to the allotment. They consist of the Analysis of Undelivered Orders, the Analysis of Financial Transactions and the Cumulative Expenses By Expense Account/Object Class. (Destroy after 10 years.)
- 4220.04 Fund Authorizations from HQ, DCAA. Operating Budget Authorizations which are the financial authorities issued by HQ, DCAA, to its allottees. (Destroy after 10 years.)
- 4220.05 Disbursement Vouchers. Copy of all disbursement vouchers paid against the allotment; includes the original obligating document attached to the paid voucher. (Destroy after 10 years.)

- 4230 Posting and Control Media. Records used as posting and control media, subsidiary to the general and allotment ledgers.
- 4230.01 Accounts Receivable Bills, Subsidiary, and Collection Ledgers. The Bills and Collections Ledgers are books of original entry into which all reimbursable billing and collection vouchers are posted; they are the source of entires in the subsidiary ledger which maintains the accounts receivable by amount, bill, and source, and includes copies of reimbursable billing statements. (Destroy after 4 years.)
- 4230.02 Accounts Receivable Collection Vouchers. Source documents for entires made in the collection ledger. (Destroy after 4 years.)
- 4230.03 Operating Budget Control and Status Ledgers. These ledgers are maintained to record and control the individual items and the total of the Operating Budget received from OASD(C) and subsequently issued to allottees. (Destroy after 4 years.)
- 4230.04 Journal Vouchers (SF 1017G). Source of all entries made to the general ledger. (Destroy after 10 years, 3 months.)
- 4230.05 Cancelled Obligating Documents. Original obligating documents which have been posted to the obligation control ledger and subsequently cancelled in their entirety. (Destroy after 4 years.)
- 4240 Accounting Reports. Relates to all reports prepared by the accounting activity.
- 4240.01 Reports to Higher Authority(HQ, DCAA Only). Includes all accounting reports submitted to higher authority, such as Reports on Budget Status, Reimbursable Transaction, Obligations, Financial Transaction Summary, and Expense and Obligation. (Destroy after 4 years.)
- 4240.02 Internal Reports. Includes all accounting reports prepared for management purposes by Headquarters and Regional offices, including Statement of Financial Condition, Analysis of Financial Operations, and Reimbursement Program Summary. (Destroy after 4 years.)

- 4240.03 Field Activity Reports. Includes all accounting reports prepared by field activities such as Financial Transaction Summary, Expense and Obligation Report, Report on User Charges, and Capital Equipment Transaction Summary. (Destroy after 4 years.)
- 4240.04 Transactions for Defense Agencies Disbursement Reports. Includes all reports relating to disbursement transactions as reported to allottees and to HQ, by Army, Navy and Air Force finance offices. These reports include Statement of Transactions and OSD-1110 Transactions for Defense Agencies. (Destroy after 10 years, 3 months.)

7000 - AUDITING SERVICES

This series relates to audits and related services performed by the Defense Contract Audit Agency pursuant to DoD Directive 5105.36.

7000 AUDITING SERVICES. Records relating to the establishment of policies, and the overall executive direction and technical guidance of the auditing mission.

- 7000.01 Auditing Policies and Procedures. Records relating to the formulation of audit policy and operating procedures, and the furnishing of executive direction and technical guidance for the overall performance of auditing services for the Department of Defense and other agencies, excluding such records which pertain to the direct supervision of field audit operations which are filed under 7600.01. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 7000.02 DCAA Policy File (HQ, DCAA Only). This file will contain a copy of those letters, memoranda, and other documents of continuing value, to or from higher authority, lateral or subordinate elements of DoD or other Government agencies, and industry or professional groups, which contain adequate and authentic evidence of the organization and policies of DCAA; its administrative development; the evolution of its organizational structure; and its audit policies. (Retain in current files area indefinitely.)
- 7000.03 Audit Management Evaluation. Records relating to evaluation of Agency audit objectives, program accomplishments, and existing policies and procedures, excluding records pertaining to the evaluation of audit operations which are filed under 7600.20. Included are studies, evaluation reports, and recommendations for new or revised audit policies and procedures, and related documents. (Destroy after 2 years.)

- 7000.04 Post Reviews for DCAA Policy Conformity. Records relating to post reviews of headquarters and field office audit actions or publications made to ensure conformity with Agency contract audit policy. (Destroy after 2 years.)
- 7000.05 Post Reviews of Non-DCAA Publications. Records relating to post reviews of publications issued by non-DCAA activities which may have an impact upon DCAA policies and procedures, such as issuances from ASPR, other Department of Defense components, or non-Defense activities. (Destroy after 2 years.)
- 7000.06 Audit Seminar and Conference. Records relating to the preparation, development, and conduct of seminars, conferences, and similar meetings which cover technical audit areas. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 7000.07 Non-DCAA Audit Report Review. Records relating to the review of, and response to, reports referred to DCAA by GAO and military internal audit agencies for the purpose of assuring the validity of pertinent facts relating to procurement or contractor activities. (Cut off end of FY, hold 3 years CIFA. Retire to FRC, hold 3 years, then destroy.)
- 7000.08 Audit Management Reference. Records relating to the general field of audit management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)

7100 AUDIT PROGRAM REPORTING SYSTEM. Records relating to the DCAA
Audit Program Reporting System as established by DCAAR 7730.1.

- 7100.01 Audit Program Reporting Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of policies and procedures concerning the Audit Program Reporting System, including copies of interim policy statements issued prior to publication in DCAAR 7730.1. (Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.)
- 7100.02 Audit Program Reporting System Reference. Records relating to the reporting system consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 7100.03 Program Plan. Program plans and related documents which provide annual forecasts of planned audit workload and manpower required to meet workload. (HQ, DCAA - Cut off end of FY, hold 3 years CIFA. Retire to FRC. Permanent. Regional HQ - Cut off end of FY, hold 3 years CIFA, then destroy. Field Audit Offices - Cut off end of FY, hold 1 year CIFA, then destroy.)
- 7100.04 Quarterly Performance Report. Quarterly performance reports and related documents which provide information as to the current status of each program plan during the year of execution, man-hour expenditures for each category of activity, and audit accomplishments on a cumulative dollar basis as the fiscal year progresses. (HQ, DCAA - Cut off end of FY, hold 3 years CIFA. Retire to FRC. Permanent. Regional HQ - Cut off end of FY, hold 3 years CIFA, then destroy. Field Audit Offices - Cut off end of FY, hold 1 year CIFA, then destroy.)
- 7100.05 Audit Program Reporting Summary and Evaluation. Records relating to the preparation of summaries and evaluations of audit program reporting or the audit program reporting system. (HQ, DCAA - Cut off end of FY, hold 3 years CIFA. Retire to FRC. Permanent. Regional HQ - Cut off end of FY, hold 3 years CIFA, then destroy.)

- 7100.07 Employee Monthly Time Report. Employee Monthly Time Reports prepared and submitted by employees. (Destroy when no longer needed for reference or after 1 year, whichever is earlier.)
- 7100.09 Assignment Control Record. Assignment control records prepared and used as the basic record for program control and for accumulating actual man-hour expenditures on audit assignments. (Cut off end of FY, hold 2 years CIFA, then destroy.)
- 7100.11 Quarterly Inventory Report. Quarterly inventory report and related documents which furnish information relative to the status of contracts, pricing proposals, overdue audit closing statements and final fixed price audit reports. (HQ, DCAA - Cut off end of FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy. Regional HQ - Cut off end of FY, hold 2 years CIFA, then destroy. Field Audit Offices - Cut off end of FY, hold 1 year CIFA, then destroy.)
- 7100.13 Quarterly Reports on Defective Pricing Reviews. Quarterly report and related documents relative to the status of defective pricing reviews. (HQ, DCAA - Cut off end of FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy. Regional HQ - Cut off end of FY, hold 2 years CIFA, then destroy. Field Audit Offices - Cut off end of FY, hold 1 year CIFA, then destroy.)
- 7100.15 Reports on Net Savings From Costs Questioned and Costs Unsupported. Reports and related documents related to net savings from costs questioned during the examination of DoD and NASA contracts. (HQ, DCAA - Cut off end of FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy. Regional HQ - Cut off end of FY, hold 2 years CIFA, then destroy. Field Audit Offices - Cut off end of FY, hold 1 year CIFA, then destroy.)
- 7100.17 Reports of Significant Audit Savings. Reports and supporting documents related to significant audit savings. (HQ, DCAA - Cut off end of FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy. Regional HQ - Cut off end of FY, hold 2 years CIFA, then destroy. Field Audit Offices - Cut off end FY, hold 1 year CIFA, then destroy.)

7100.19 Reports on Audit Status of Major Contractors.
Reports and supporting documents related to audit status of major contractors. (HQ, DCAA - Cut off end of FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy. Regional HQ - Cut off end of FY, hold 2 years CIFA, then destroy. Field Audit Offices - Cut off end of FY, hold 1 year CIFA, then destroy.)

7200 PROCUREMENT LIAISON. Relates to the establishment and maintenance of liaison with the Office of the Secretary of Defense, DoD components, and other Government agencies concerned with procurement contract administration for the purpose of determining their reviews regarding contract audit service and providing overall arrangements for DCAA audit service.

7200.01 Procurement Liaison. Records relating to liaison with OSD, Military Departments, DoD agencies, and other agencies regarding DCAA audit service, and, when furnished, the quality of such services. (Cut off end of FY, hold 2 years CIFA. Retire to FRC. Permanent.)

7200.02 Field Procurement Liaison. Documents related to supervision and technical direction over procurement liaison activities conducted by DCAA field elements. (Destroy when superseded, obsolete, or no longer needed for reference.)

7200.03 Procurement Liaison Reference. Records relating to the general field of procurement liaison consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)

- 7300 AUDIT GUIDANCE. Relates to audit guidance on ASPR cost principles, and cost and accounting principles, and the ASPR Committee.
- 7300.01 Audit Guidance on ASPR Cost Principles. Records relating to audit guidance rendered on Armed Services Procurement Regulations cost principles. (Permanent.)
- 7300.02 Audit Guidance on Accounting and Cost Principles. Records relating to requests for and decisions made on accounting and costing principles. (Permanent.)
- 7300.03 Audit Guidance Program. Records relating to studies, preparations, and development of guidance concerning methods and techniques for applying the cost principles. (Permanent.)
- 7300.04 Testimony Before Judicial or Quasi-Judicial Bodies. Records relating to procurement matters involving contract audit on which hearings are held before judicial or quasi-judicial bodies. Includes records of preparation of testimony and other assistance to field personnel. (Upon supersession or obsolescence, place in inactive file. Cut off end of FY, hold 2 years CIFA. Retire to FRC, destroy after 4 years.)
- 7300.05 Technical Data Bank. Records accumulated covering opinions, decisions, and determinations on the allowability of contract costs. Included are pertinent case files on contractors, an index of all material in the data bank, and related documents. (To be retained indefinitely by the Office of the Deputy for Audit Management.)
- 7300.06 Audit Guidance Reference. Records relating to the audit guidance program consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)
- 7300.07 Armed Services Procurement Regulations Committee. Records relating to DCAA participation on the Committee charged with the preparation of Armed Services Procurement Regulations and changes thereto. (Upon supersession or obsolescence, place in inactive file. Cut off end of FY, hold 2 years CIFA. Retire to FRC, destroy after 4 years.)

7400 AUDIT RESEARCH AND DEVELOPMENT FILES. Relates to the conducting of research and studies into pertinent scientific, business, and professional accounting developments to ascertain methods and techniques which can be used to enhance the effectiveness of contract audit.

7400.01 New Audit Techniques. Records relating to research and studies into accounting developments which can be used to increase contract audit effectiveness. Includes documents relating to representation in groups other than DCAA which are devoted to similar research. (Permanent.)

7400.02 Statistical Sampling. Records relating to methods of applying statistical sampling to the audit process, including learning curve calculations, feasibility studies, and other related material. (Permanent.)

7400.03 Case Studies in Advanced Audit Techniques. Records accumulated in researching and studying specific areas or developments for new and useful methods of audit. (Permanent.)

7400.04 Audit Studies. Case files relating to research and studies on specific areas in which DCAA audit would assist in the achievement of more effective procurement and contract administration, but exclusive of audits conducted as a result of such research and study, which are filed under 7600.15, Special Audits. (Permanent.)

7400.05 Research and Development Reference. Records relating to the general field of research and development consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)

7600 AUDIT OPERATIONS. Relates to planning, supervising, conducting, and evaluating DCAA audit operations.

- 7600.01 Audit Operations General Supervision. Records relating to the general direction and supervision of audit operations, but exclusive of records pertaining to the direction and supervision of special audits which are filed under 7600.16, Special Audits Supervision. (Upon supersession or obsolescence, transfer to inactive file. Cut off end of FY, hold 2 years CIFA. Retire to FRC. Permanent.)
- 7600.02 Audit Operations Scheduling. Records related to the planning and scheduling of audit performance. Includes identification of areas requiring priority action. (Cut off end of FY, hold 2 years CIFA, then destroy.)
- 7600.03 Contractor Background. These records are those referred to by the auditing profession as "the permanent file" and provide basic information to new staff members, supervisory personnel, and others as to a contractor's current policies and organizational structure. Such records are maintained on a current basis by updating the file as additional information is obtained as a result of any audit effort. Includes records relating to the organization, functions, relationships, policies, operating procedures, financial resources, production capability, records and facilities, physical location and general activities of contractors subject to audit, but exclusive of records relating to the review of contractors' policies, procedures, and practices which influence and control costs which are filed under 7600.05, Contractor Costs Files. (Cut off end of FY in which last contract held by the contractor is closed, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy.)

- 7600.05 Contractor Cost Records. Records relating to the review of contractors' policies, procedures, and practices which influence and control costs, but exclusive of documents relating to incurred costs in connection with specific contracts or subcontracts which are filed under 7600.09, Contract Audit Cases. (Cut off end of contractors' FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy. Except in those cases where legal action is pending or the possibility of legal action is apparent in connection with a matter supported by these records, audit officials will promptly notify the appropriate records management officer who will ensure that the records are retained in CIFA or FRC as appropriate, until resolution of the case. For shipping convenience, these files may be held for an additional period in order to retire them with the next shipment of fiscal year records.)
- 7600.07 Contractor Correspondence. These records are those referred to by the auditing profession as "the current file" and usually have limited use after having served the primary purpose for which they were prepared or accumulated. Information contained in this file which is determined upon review by appropriate officials to be of long-term value, should be transferred to 7600.03, Contractor Background or 7600.09, Contract Audit Cases, as appropriate. Includes documents, correspondence, and work papers of a general nature pertaining to a contractor such as audit assignments and programs; summaries of auditor's findings and recommendations; records of audit progress; notes, letters and memorandums of conference with the contractor and with Government personnel and others; extracts from or copies of contracts or proposals; records of auditors examinations, analyses, verifications, conclusions and actions taken; and similar related material, but exclusive of records relating to a specific contract which are filed under Contract Audit Cases, 7600.09. (Cut off end of FY, hold 2 years CIFA, then destroy.)

7600.09. Contract Audit Cases. Records relating to the auditing of a specific Government contract or subcontract. Included are copies of contracts, audit reports, work papers, and other documents which relate to audits of contractor's costs for reimbursement, price redetermination, termination settlement, or other contract audit purposes. (Cut off end of FY in which final settlement of claims and final audit action has been accomplished, hold 2 years CIFA. Retire FRC, hold 4 years, then destroy.)

EXCEPTIONS TO DISPOSAL STANDARDS

1. If desired, the auditor's copies of public vouchers may be removed from settled cost-type contracts and destroyed prior to retirement to FRC.
2. With respect to the retention of contracts in DCAA files, the following procedures may be applied when copies of contracts are readily available from the office of record or other appropriate source:
 - a. Unclassified contracts may be disposed of immediately after extraction of the data required for the contract briefing card.
 - b. Contracts classified for national security reasons should be retained for three months after extraction of the required data, then returned to the office of record or disposed of in accordance with DCAAM 5205.1, Safeguarding Defense Information.
 - c. Appropriate cross references should be inserted in case files which identify the location of the contracts.

NOTES

In cases of cost-type contracts, final settlement as used herein includes, as applicable, settlement of all items specifically excepted in the final release, and the satisfaction of all assignments of interest executed by the contractor as conditions precedent to the payment of the completion voucher (or completion invoice) under a completed contract. In the case of fixed-price contracts containing price redetermination, escalation, or partial payment provisions, final settlement means payment for the final delivery under a complete contract or payment of the final termination claim under a terminated contract.

Records which relate to more than one contract of a particular contractor will be included in the contract audit case file of the contract to which they primarily relate and cross-referenced to the case files of other contracts to which they apply.

Contract audit case files will be filed by contractor and location, subdivided by contract. Subjective subdivision of contract audit case files will be prescribed by officials responsible for maintenance of the records. (See Chapter V, Section III.)

- 7600.11 Assist Audits. Records relating to assist audits of a contract or subcontract performed at the request of another Agency office, but exclusive of records pertaining to audit services or advice furnished in connection with the pre-award aspects of a contract which are filed under 7600.13, Pre-Award Contract Advisory Files. (Cut off end of FY in which the assist audit report is furnished to the requesting office, hold 1 year CIFA, transfer to requesting Agency for inclusion in the contract audit case file to which the records pertain.)
- 7600.13 Pre-Award Contract Advisory Files. Records relating to audit services or advice furnished to contracting officers and other Government officials during the pre-award aspects of a contract such as bid proposals, systems surveys, forward pricing rate studies, etc. (Cut off end of FY in which the audit service is performed or the advice furnished, hold 2 years CIFA. Retire FRC, hold 4 years, then destroy.)
- 7600.15 Special Audits. Records relating to special audits such as audits of major defense contractors, industry-wide contracting methods, reasonableness of cost, such as Defective Pricing Reviews, Termination Claim Reviews, Delayed Claims, Progress Payment Reviews, and similar areas of special audit interest performed by direction of HQ, DCAA, the Office of the Secretary of Defense, or at the request of other Government agencies. (Cut off end of FY in which the audit is completed, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy.)
- 7600.16 Special Audit Supervision. Records relating to the direction and supervision of specific audits, but exclusive of such records accumulated by field audit offices which are filed functionally in the 7600 series under the specific audit to which they relate. (Upon supersession or obsolescence, transfer to inactive file. Cut off end of FY, hold 2 years CIFA. Retire to FRC. Permanent.)

- 7600.17 Audit Interface. Records relating to the use of other audit organizations for supplemental contract audit performance, but exclusive of reports of audit furnished by such organizations which are filed functionally in the 7600 files series under the DCAA audit to which the report relates. (Cut off end of FY, except that records pertaining to current requests for audit assistance will be brought forward to the current FY file, hold 2 years CIFA, then destroy.)
- 7600.18 Contractor Records Access. Records relating to restrictions or limitations on DCAA auditors' access to contractor records or other evidential material considered essential for the performance of audits, but exclusive of such records accumulated by field audit offices which will be filed under 7600.03, Contractor Background Files, under the contractor to which they relate. (Cut off end of FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy.)
- 7600.19 Audit Indoctrination and Improvement. Records relating to means of providing indoctrination and improvement of audit in technical areas, such as construction accounts, contractor weighted average share, contracts definition procurement, defective pricing, employee compensation, etc. Includes records of on-site and written assistance, evaluations of field performance, and justification for in-depth reviews, if required. (Cut off end of FY, hold 2 years CIFA. Retire to FRC, hold 4 years, then destroy.)
- 7600.20 Audit Operations Evaluation. Records relating to the evaluation of the planning, supervising, and conducting of audit operations. (Office of Deputy for Audit Management - Cut off end of FY, hold 2 years CIFA. Retire to FRC. Permanent. Other Offices - Cut off at end of FY, hold 2 years CIFA, then destroy.)
- 7600.21 Audit Operations Reference. Records relating to the general field of audit operations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)

7700 CONTRACT AUDIT COORDINATOR PROGRAM FILES. Records relating to the Contract Audit Coordinator Program for Multi-Division (Plant) Contractors as established by Chapter XII, Section 4, DCAAM 7640.1. NOTE: For shipping convenience CAC files cut off at end of calendar year may be held an additional six months and retired with the next shipment of fiscal year files.

- 7700.01 Contract Audit Coordination. Records relating to coordination of contract audit matters on a company-wide basis for contractors having several plants or divisions, subsidiaries or affiliates, but exclusive of records described elsewhere in the 7700 file series. (Cut off end of CY, hold 2 years CIFA. Retire to FRC. Permanent.)
- 7700.03 Contract Audit Coordinator Conference. Records relating to periodic conferences of cognizant auditors of a multi-divisional contractor. Included are plans for the conference, minutes, transcripts of presentations and discussions, conference agenda, list of participants, and other documents relating to the conference. (Cut off end of CY, hold 2 years CIFA. Retire to FRC. Permanent.)
- 7700.05 Contract Audit Coordinator Status Reports. Records accumulated by designated Contract Audit Coordination Offices in connection with the preparation and submission of status reports required by the Contract Audit Coordinator Program. (Cut off end of CY, hold 2 years CIFA, then destroy.)
- 7700.09 Contract Audit Coordinator Cases. Records relating to Contract Audit Coordinator cases which consist of problems coming to the attention of the contract audit coordinator for resolution under the CAC Program; and of any studies undertaken under the monitorship of the contract audit coordinator, the scope of which is company-wide or affects more than one location. CAC case files include, but are not limited to records relating to difficulties concerning access to records; problems which cannot be resolved locally which affect more than one division or plant, require coordination or action at the corporate headquarters level, or require uniform action at the contract administration level; and special studies of corporate accounting, pricing, and cost estimating policies and procedures. (Cut off end of FY in which Advice of CAC Case Resolution is prepared, hold 2 years CIFA. Retire to FRC. Permanent.)

7700.11 Contract Audit Coordinator Program Reference.
Records relating to the general field of contract audit coordinator program consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)

7800 STANDING PART 2, SECTION XV, ASPR SUBCOMMITTEE. Records relating to the activities of this subcommittee.

7800.01 Standing Part 2, Section XV, ASPR Subcommittee Cases.
Records relating to the case files of this Subcommittee which is charged with the responsibility for Part 2, Section XV, ASPR, cost principles and changes thereto. (Permanent.)

7800.02 Standing Part 2, Section XV, ASPR Subcommittee Reference.
Records consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes and work papers; and other material being held for reference. (Destroy when superseded, obsolete, or no longer needed for reference.)

CHAPTER 6

EXHIBITS

This chapter contains examples of forms referenced in the preceding chapters.

| | |
|-----------|--|
| Figure 1 | SF 136, Annual Summary of Records Holdings (Front) |
| Figure 2 | SF 136, Annual Summary of Records Holdings (Back) |
| Figure 3 | OF 11, Reference Request - Federal Records Centers |
| Figure 4 | OF 21, Cross-Reference |
| Figure 5 | SF 135, Records Transmittal and Receipt |
| Figure 6 | SF 135-A, Records Transmittal and Receipt Continuation |
| Figure 7 | OF 24, Shelf File Chargeout Record (Letter Size) |
| Figure 8 | OF 25, Shelf File Chargeout Record (Legal Size) |
| Figure 9 | OF 23, Chargeout Record |
| Figure 10 | File Station Directory |
| Figure 11 | Master Index |

FIGURE 1 - SF 136 (FRONT)

| ANNUAL SUMMARY OF RECORDS HOLDINGS <i>(See instructions on reverse before completing form)</i> | | | | | Reporting Period <i>(From-To)</i> |
|--|--|--|--|--|-------------------------------------|
| To: | | | | | From: <i>(Department or Agency)</i> |
| Volume of Records <i>(Cubic Feet)</i> | DEPARTMENTAL | | FIELD | | Total <i>(e)</i> |
| | Current File Rooms and Offices <i>(a)</i> | Staging, Holding and Other Storage Areas <i>(b)</i> | Current File Rooms and Offices <i>(c)</i> | Staging, Holding and other Storage Areas <i>(d)</i> | |
| 1 On Hand—Beginning of Period | | | | | |
| 2 Transferred to Fed Records Centers or National Archives | | | | | |
| 3 Destroyed | | | | | |
| 4 On Hand—End of Period | | | | | |
| 5 Magnetic Tape <i>(No. of reels included in total for item 4)</i> | | | | | No. of Reels |
| Remarks. <i>(Include comments on significant increases or decreases in holdings, any plans for records cleanout campaigns, or any other significant records disposition matters)</i> | | | | | |

| | | |
|---------------|-------|-----------|
| Date Prepared | Title | Signature |
|---------------|-------|-----------|

136-106 Standard Form 136
March 1968
Prescribed By GSA
FPMR 101-11.102.7

FIGURE 2 - SF 136 (BACK)

INSTRUCTIONS FOR STANDARD FORM 136

GENERAL

This report is required by GSA Regulations FPMR 101-11.102.7. The reporting period may cover a calendar year or a fiscal year.

Submit the report to the National Archives and Records Service, GSA, no later than August 1 of each year.

Records to be included in the total volume of records should comprise:

- 1 All the records of the reporting agency,
- 2 Records held at agency sites for GAO audit, and
- 3 Official Personnel Folders (records of the Civil Service Commission) in the custody of the reporting agency.

No volume should be included for Agency Records Centers operated by the reporting agency, in accordance with GSA Regulations FPMR 101-11.412.4. These data should be submitted as separate reports on Standard Form 137, Agency Records Center Annual Report.

DEFINITIONS

"Departmental" means the headquarters office of the reporting agency, as contrasted to its field offices, but excludes Agency Records Centers.

"Field" means the reporting agency's offices other than the headquarters office and Agency Records Centers.

"Staging, Holding, and Other Storage Areas" means areas at departmental or field locations formally designated for

staging and holding purposes, as well as all other storage areas except current file rooms and offices, Agency Records Centers, and Federal Records Centers.

The term "magnetic tape" includes all tapes on which data are recorded as part of any automated data processing or information retrieval systems. Audio recordings of music, speeches and the like are not included.

EQUIVALENTS

For the purpose of this report, volume may be calculated according to the following table of cubic foot equivalents:

Filing Cabinets—Per Drawer
Letter—1½
Legal—2

Filing Cases—Per 12" Drawer:
3 x 5—1/10
4 x 6—1/6
8 x 5—1/4

Shelf Files—Per Linear Foot:
Letter—4/5
Legal—1

Tabulating Cards
1 cubic foot per 10,000

Outsized Equipment
Inside cubic measurement

Magnetic Tape
1 cubic foot per 7 reels

| FILE ITEM OR INFORMATION REQUESTED | | FRC BOX NO. | | | | | | | | | | | | | | | | |
|---|--|---|---------------------|-------|---------------|---------------------|----------|--|--|--|-------------|--|--|--|----------|--|--|--|
| DATE OF REQUEST | ACCESSION NO. | FOR RECORDS CENTER USE ONLY | | | | | | | | | | | | | | | | |
| | | LOCATION OF RECORD(S) TO BE SEARCHED | | | | | | | | | | | | | | | | |
| TO (Mail in window envelope) | General Services Administration Federal Records Center NARS | NATURE OF SERVICE <input type="checkbox"/> FURNISH COPY OF RECORD(S) ONLY <input type="checkbox"/> PERMANENT WITHDRAWAL <input type="checkbox"/> OTHER (Specify) _____ | | | | | | | | | | | | | | | | |
| | _____ (City) (Zone) (State) | | | | | | | | | | | | | | | | | |
| FOR RECORDS CENTER USE ONLY | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY <input type="checkbox"/> MISSING (Neither record(s) information nor charge card found in container(s) specified) | <input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date) _____ | <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width: 25%;">SERVICE</th> <th style="width: 15%;">TOTAL</th> <th style="width: 15%;">TIME REQUIRED</th> <th style="width: 45%;">SEARCHER'S INITIALS</th> </tr> <tr> <td>DOCUMENT</td> <td></td> <td></td> <td></td> </tr> <tr> <td>INFORMATION</td> <td></td> <td></td> <td></td> </tr> <tr> <td>RESEARCH</td> <td></td> <td></td> <td></td> </tr> </table> | SERVICE | TOTAL | TIME REQUIRED | SEARCHER'S INITIALS | DOCUMENT | | | | INFORMATION | | | | RESEARCH | | | |
| SERVICE | TOTAL | TIME REQUIRED | SEARCHER'S INITIALS | | | | | | | | | | | | | | | |
| DOCUMENT | | | | | | | | | | | | | | | | | | |
| INFORMATION | | | | | | | | | | | | | | | | | | |
| RESEARCH | | | | | | | | | | | | | | | | | | |
| REMARKS | | | | | | | | | | | | | | | | | | |
| FOR USE OF REQUESTER | | RECEIPT OF RECORDS | | | | | | | | | | | | | | | | |
| NAME OF REQUESTER | TELEPHONE NO. | REQUESTER PLEASE SIGN, DATE, AND RETURN THIS FORM, FOR FILE ITEM(S) LISTED ABOVE, ONLY IF THE BLOCK TO RIGHT HAS BEEN CHECKED BY THE RECORDS CENTER <input type="checkbox"/> | | | | | | | | | | | | | | | | |
| NAME AND ADDRESS OF AGENCY (Include bldg. and room No.) | | | | | | | | | | | | | | | | | | |
| | | <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">SIGNATURE</td> <td style="width: 50%;">DATE</td> </tr> <tr> <td style="height: 30px;"></td> <td></td> </tr> </table> | SIGNATURE | DATE | | | | | | | | | | | | | | |
| SIGNATURE | DATE | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |

OPTIONAL FORM NO. 11 JULY 1959 PRESCRIBED BY GEN. SERVICES ADMIN. FPMR (41 CFR) 101-11.4 U.S. GOVERNMENT PRINTING OFFICE: 1969-365-181 5011 103

FIGURE 3

FIGURE 4

| | | |
|---|---------------------------|-------------------------|
| CROSS-REFERENCE (Name, number, or subject under which this form is filed) | | _____ _____ _____ |
| IDENTIFICATION OF RECORD | DATE | |
| | TO | |
| | FROM | |
| | BRIEF SUMMARY OF CONTENTS | |
| FILED (Name, number, or subject under which the document itself is filed) | | |

Optional Form 21 Feb 1962 GSA Circular 299
CROSS-REFERENCE

| | | | | | |
|--|-----------|---|---------------------------------|-----------------------|--|
| STANDARD FORM 135 JULY 1961 EDITION GENERAL SERVICES ADMIN FPMR (41 CFR) 101-11.4 | | RECORDS TRANSMITTAL AND RECEIPT | | PAGE 1 OF _____ PAGES | |
| INSTRUCTIONS Send original and two copies to appropriate Federal Records Center. | | TO BE COMPLETED AT FEDERAL RECORDS CENTER | | ACCESSION NO | RECORD GROUP NO |
| | | | | SIGNATURE | DATE RECORDS RECEIVED |
| | | | | TITLE | |
| FROM: (Name and address of Agency transferring records) | | | TO: Federal Records Center, GSA | | |
| 1 CITE SECURITY CLASSIFICATION AND/OR RESTRICTION ON USE OF RECORDS IF ANY | | | | | |
| 2 SQUARE FEET OF SPACE CLEARED | | 3 FILING EQUIPMENT EMPTIED | | | 4 CUBIC FEET OF RECORDS TRANSFERRED |
| A OFFICE | B STORAGE | A FILE CABINETS (No.) | B TRANS FILES (No.) | C SHELVING (Lin. Ft.) | |
| 5 NAME OF AGENCY CUSTODIAN OF RECORDS | | | 6 BUILDING AND ROOM NO. | | 7 TELEPHONE NO. |
| 8 MAY THE RECORDS BE DESTROYED AS SCHEDULED WITHOUT FURTHER AGENCY CONCURRENCE? <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | |
| 9 AGENCY OFFICIAL (Signature) | | | 10 TITLE | | 11 DATE |
| 12 BOX NUMBERS | | 13 DESCRIPTION OF RECORDS WITH INCLUSIVE DATES | | | 14 DISPOSAL AUTHORITY |
| FRC ONLY | AGENCY | <i>(Show organizational component creating records)</i> | | | <i>(Schedule and Item No.)</i> |
| | | | | | |
| STANDARD FORM 135 JULY 1961 EDITION | | (Use Standard Form 135A for continuation sheets) | | | 135-105 |
| U.S. GOVERNMENT PRINTING OFFICE: 1967 O-355-153 (73-G) | | | | | |

FIGURE 5

| | | | | | |
|--|--------|---|--|--------|--------------------|
| STANDARD FORM 135-A JULY 1961 EDITION GENERAL SERVICES ADMIN FPMR (41 CFR) 101-11.4 | | RECORDS TRANSMITTAL AND RECEIPT (CONTINUATION) | | AGENCY | PAGE _____ |
| BOX NUMBERS | | DESCRIPTION OF RECORDS WITH INCLUSIVE DATES | | | DISPOSAL AUTHORITY |
| FRC ONLY | AGENCY | | | | |
| | | | | | |
| STANDARD FORM 135-A JULY 1961 EDITION | | C43-14-79529-1 GPO : 1967 O-261-607 | | | 135-202 |

FIGURE 6

OUT

| IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT) | CHARGED TO (PERSON & OFFICE) | DATE CHARGED OUT |
|--|---------------------------------|------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

OPTIONAL FORM 23
FEB 1962
GSA Circular No. 259

CHARGEOUT RECORD

5023-101

GPO c43-16-80979-1 336-299

DATE
CHARGED
OUT

CHARGED TO
(PERSON & OFFICE)

IDENTIFICATION OF RECORD
(NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)

FIGURE 9

OUT

HEADQUARTERS, DCAA
FILE STATION DIRECTORY

| Career Management Branch (CA-CPO) | | | | STATION NO. |
|---|----------------------------------|---------|------------|-------------|
| ORGANIZATION UNIT: Civilian Personnel Division Office of Deputy for Resources Management | | | | 6-4 |
| FILE STATION REPRESENTATIVE: | | | | TELEPHONE: |
| Secretary to Chief, Career Management Branch | | | Room 4A456 | 47334 |
| Series Number | Description | Type | Pattern | Break |
| 1010.01 | Suspense | Non-Rec | Chron | Completion |
| 1010.02 | Policy & Precedent | Non-Rec | Alpha | Annual CY |
| 1010.03 | Reading | Non-Rec | Chron | Annual CY |
| 1010.04 | Transitory or Reference Papers | Non-Rec | Alpha | Annual CY |
| 1010.05 | Reference Publications | Non-Rec | Numerical | Annual CY |
| 1010.06 | Background, Control & Intermedia | Work | Alpha | Annual CY |
| 1010.07 | Technical Material Reference | Non-Rec | Alpha | Annual CY |
| 1020.01 | Office Internal Management | Non-Rec | Alpha | Annual CY |
| 1020.02 | Office Finance | Non-Rec | Alpha | Annual CY |
| 1020.03 | Office Supply | Non-Rec | Alpha | Annual CY |
| 1020.04 | Office Facilities | Non-Rec | Alpha | Annual CY |
| 1320.04 | Telephone Toll Call Records | Record | Chron | Annual CY |
| 1530.07 | Notification of Security Clear | Non-Rec | Alpha | Annual CY |
| 2000.01 | Planning & Management (General) | Non-Rec | Alpha | Annual CY |
| 2200.06 | Staff Meetings | Record | Chron | Annual CY |
| 2330.01 | Committees (General) | Non-Rec | Alpha | Annual CY |
| 2330.03 | Committee Case Files | Record | Alpha | Annual CY |
| 2355.05 | Publications Coordination Files | Non-Rec | Alpha | Annual CY |
| 2700.09 | Blood Donor Program | Non-Rec | Chron | Annual CY |
| 3000.01 | Personnel Admin (General) | Non-Rec | Alpha | Annual CY |
| 3100.06 | Personnel Strength Reports | Record | Alpha | Annual FY |
| 3200.02 | Military Personnel (General) | Non-Rec | Alpha | Annual CY |
| 3200.02 | Ready Reserve | Record | Alpha | Annual CY |
| 3300.01 | Civilian Personnel (General) | Non-Rec | Alpha | Annual CY |
| 3300.04 | Personnel Stat Reports | Record | Alpha | Annual FY |
| 3301.02 | Personnel Policy & Procedure | Record | Alpha | Annual CY |
| 3301.03 | Personnel Program Objectives | Record | Alpha | Annual CY |
| 3306.06 | Job Descriptions (Extra Cys) | Non-Rec | Numerical | Annual CY |
| 3311.01 | Recruiting & Hiring | Non-Rec | Alpha | Annual CY |
| 3311.02 | Civil Service Certificates | Record | Alpha | Annual CY |
| 3311.03 | Applicant Supply Files | Record | Alpha | Annual CY |
| 3311.04 | Applications | Record | Alpha | Annual CY |
| 3311.05 | Job Opportunities | Record | Numerical | Annual CY |
| 3311.07 | Priority Placement Stopper List | Record | Chron | Annual CY |
| 3311.08 | Overseas Returnee List | Record | Chron | Annual CY |
| 3315.01 | Career Management (General) | Non-Rec | Alpha | Annual CY |
| 3315.02 | Career Programs | Record | Alpha | Annual CY |
| 3315.03 | Qualifications & Appraisals | Record | Alpha | Annual CY |
| 3315.04 | Referral Lists | Record | Alpha | Annual CY |
| 3315.05 | Career Mgmt Board Activity | Record | Chron | Annual CY |
| 3321.01 | Training (General) | Non-Rec | Alpha | Annual FY |
| 3321.02 | Training Plans | Record | Alpha | Annual FY |
| 3321.03 | Individual Training Record | Record | Alpha | Annual CY |
| 3322.01 | Local Training | Record | Alpha | Annual FY |
| 3322.03 | DCAA Course Development | Record | Alpha | Annual CY |

FIGURE 10

MASTER INDEX
HEADQUARTERS, DCAA FILES

| Series Number | Description | Office of Record |
|---------------|---|-------------------------------|
| 1020.04 | Office Facilities | All Offices |
| 1100.01 | Space & Maintenance (General) | CA-CMR |
| 1100.02 | Space & Maintenance Policies & Procedures | CA-CMR |
| 1100.03 | Directory of Offices Listings | CA-CMR |
| 1110.01 | Space Assignments | CA-CMR; CA-CFB for Regions |
| 1110.02 | Space Reports | CA-CMR |
| 1120.01 | Building Management | CA-CMR; CA-CMS |
| 1130.01 | Family Housing | CA-CMR |
| 1140.01 | Parking Permits & Vehicle Registration | CA-CMR |
| 1140.02 | Temporary Passes & Permits for Visitors & Vehicles | CA-CMR |
| 1200.01 | Procurement & Supply (General) | CA-CMR |
| 1200.02 | Procurement & Supply Policies & Procedures | CA-CMR |
| 1200.03 | Purchasing & Contracting Case Files | CA-CMR |
| 1210.01 | Property Administration (General) | CA-CMR; CA-CFA |
| 1210.02 | Property Administration Policies & Procedures | CA-CMR; CA-CFA |
| 1210.03 | Property Officer Designations | CA-CMR |
| 1210.04 | Property Inventory Records | CA-CMR |
| 1210.05 | Property Adjustment Approvals | CA-CMR |
| 1210.06 | Excess Personal Property | CA-CMR |
| 1210.07 | Hand Receipts | CA-CMR |
| 1300.01 | Communications Services (General) | CA-CMR |
| 1300.02 | Communications Policies & Procedures | CA-CMR |
| 1300.03 | Communications Accounts | CA-CFA |
| 1310.01 | Postal Directory | CA-CMR |
| 1310.02 | Mail Control | CA-CMR |
| 1310.03 | Accountable Mail Receipts | CA-CMS |
| 1310.04 | Lost & Rifled Mail | CA-CMS |
| 1320.01 | Telecommunications Service Systems | CA-CMR |
| 1320.02 | Teletype & Teletypewriter | CA-CMR; CA-ASA |
| 1320.03 | Telephones & Interphones | CA-CMR |
| 1320.04 | Telephone Toll Call Records | All Offices |
| 1320.05 | Message Logs & Registers | CA-CMR |
| 1400.01 | Accountable Publications Receipt & Issue Records | CA-CMR |
| 1400.02 | Accountable Forms Receipt & Issue Records | CA-CMR |
| 1400.03 | Publications Initial Distribution Files | CA-CMR |
| 1400.04 | Publications & Blank Forms Stock Records | CA-CMR |
| 1400.05 | Publications & Blank Forms Supply Files | CA-CMR |
| 1400.06 | Requisitions on the Public Printer | CA-CMR |
| 1400.07 | Printing & Duplicating Requisitions | CA-CMR |
| 1400.08 | Graphics & Visual Aids | CA-CMR |

ALPHABETICAL LISTING OF APPENDIX B

| | |
|--|---------|
| Access to Contractor Records----- | 7600.18 |
| Accountable Forms Receipt and Issue Records----- | 1400.02 |
| Mail Receipts----- | 1310.03 |
| Publications Receipt and Issue Records----- | 1400.02 |
| Accounting (General)----- | 4200.01 |
| Correspondence----- | 4200.03 |
| Policies and Procedures----- | 4200.02 |
| Accounts Receivable Bills, Subsidiary & Collection Ledger----- | 4220.01 |
| Collection Vouchers----- | 4230.02 |
| Activity Historical Files----- | 1700.04 |
| Administration (General)----- | 1000.01 |
| Administrative Use of Motor Vehicles----- | 1630 |
| ADP Systems Implementation----- | 2320.04 |
| Time-Sharing Systems Development & Evaluation----- | 2320.03 |
| Allotment Working Papers----- | 4220.03 |
| Applicant Supply Files----- | 3311.03 |
| Applications----- | 3311.04 |
| for Promotion----- | 3336.03 |
| Apportionment----- | 4120.05 |
| Appraisals and Qualifications----- | 3315.03 |
| Arthur S. Fleming Award----- | 3341.05 |
| ASPR Committee----- | 7300.07 |
| Assignment Control Record----- | 7100.09 |
| Assist Audits----- | 7600.11 |
| Audit Cognizance Transfer----- | 4110.03 |
| Guidance on Accounting and Cost Principles----- | 7300.02 |
| Guidance on ASPR Cost Principles----- | 7300.01 |
| Guidance Program----- | 7300.03 |
| Guidance Reference----- | 7300.06 |
| Indoctrination and Improvement----- | 7600.19 |
| Interface----- | 7600.17 |
| Management Evaluation----- | 7000.03 |
| Management Reference----- | 7000.08 |
| Operations Evaluation----- | 7600.20 |
| Operations General Supervision----- | 7600.01 |
| Operations Reference----- | 7600.21 |
| Operations Scheduling----- | 7600.02 |
| Program Reporting Policies and Procedures----- | 7100.01 |
| Summary and Evaluation----- | 7100.05 |
| System Reference----- | 7100.02 |
| Seminar and Conference----- | 7000.06 |
| Studies----- | 7400.04 |
| Auditing Policies and Procedures----- | 7000.01 |
| Authorized Couriers----- | 1530.09 |
| Automated Overseas Referral Activity----- | 3311.08 |
| Automobile Registration----- | 1020.04 |

| | |
|--|---------|
| Background, Control, and Intermediary Documents----- | 1010.06 |
| Background Investigation Programs----- | 1530.10 |
| Biography Files----- | 2700.06 |
| Blood Donor Program----- | 2700.09 |
| Blue Ribbon Panel, DoD----- | 2330.03 |
| Bomb Threat Plan----- | 2100.05 |
| Budget Estimates----- | 4100.03 |
| Execution Background Data----- | 4130.07 |
| Execution (General)----- | 4130.01 |
| Formulation and Review (General)----- | 4120.01 |
| (General)----- | 4100.01 |
| Policies and Procedures----- | 4100.02 |
| Program Data (General)----- | 4110.01 |
| Building Alteration and Maintenance----- | 1110.01 |
| Management----- | 1120.01 |
| Plans----- | 1110.01 |
| Bus Passes----- | 1620.03 |
| Cancelled Obligating Documents----- | 4230.05 |
| Career Management Board Activities----- | 3315.05 |
| (General)----- | 3315.01 |
| Programs----- | 3315.02 |
| Case Files, Job Rotation, Reassignments, Details----- | 3337.02 |
| Resumes, Personnel Security----- | 1530.05 |
| Studies in Advanced Audit Techniques----- | 7400.03 |
| Cash Disbursements Ledger----- | 4220.01 |
| Central Clearance Group----- | 1530.03 |
| Referral Activity----- | 3311.07 |
| Charity Contributions----- | 2700.08 |
| Chronological Journal, Civilian Personnel----- | 3371.27 |
| Civil Defense----- | 2100.02 |
| Disturbances----- | 2100.02 |
| Service Certificates----- | 3311.02 |
| Service Commission Inspections----- | 3300.03 |
| Civilian Award for Achievement----- | 3341.05 |
| Personnel (General)----- | 3300.01 |
| Information, Supervisors----- | 3371.54 |
| Servicing Agreements----- | 3300.02 |
| Service Emblem Control----- | 3341.07 |
| Claims and Litigation, Other Than Contractual----- | 2410.04 |
| Claims, Appeals, and Litigation Policies and Procedures----- | 2410.01 |
| Classification Standards, Personnel----- | 3306.02 |
| Classified Document Destruction Certificate----- | 1510.08 |
| Document Inventory----- | 1510.09 |
| Documents Receipt and/or Tracer----- | 1510.06 |
| Documents Register----- | 1510.05 |
| Titles Index----- | 1510.12 |
| Clearance Request Files----- | 1530.06 |
| Commission on Government Procurement----- | 2330.03 |
| Committee Case Files----- | 2330.03 |
| Management Policies and Procedures----- | 2330.02 |
| Committees (General)----- | 2330.01 |

| | |
|--|-----------------|
| Communications Accounts----- | 1300.03 |
| Policies and Procedures----- | 1300.02 |
| Services (General)----- | 1300.01 |
| Community Relations----- | 2700.05 |
| Compensation for Injury----- | 3500 |
| Competitive Levels----- | 3349.03 |
| Conference, Audit Seminars and----- | 7000.06 |
| Contract Audit Coordinator----- | 7700.03 |
| Executive----- | 2200.05 |
| Field Audit Office----- | 2200.07 |
| Personnel----- | 3300.05 |
| Regional----- | 2200.07 |
| Staff Meetings----- | 2200.06 |
| Congressional Correspondence----- | 2600.03 |
| Hearing Backup Data----- | 4120.04 |
| Investigations and Hearings----- | 2600.04 |
| Liaison----- | 2600.03 |
| Continuity of Operations (COOP)----- | 2100.02 |
| Contract Appeals----- | 2410.03 |
| Audit Cases----- | 7600.09 |
| Coordination----- | 7700.01 |
| Coordinator Cases----- | 7700.09 |
| Coordinator Conference----- | 7700.03 |
| Coordinator Program Reference----- | 7700.11 |
| Coordinator Status Reports----- | 7700.05 |
| Claims and Litigation----- | 2410.02 |
| Contractor Background----- | 7600.03 |
| Correspondence----- | 7600.07 |
| Cost Records----- | 7600.05 |
| Records Access----- | 7600.18 |
| Correspondence Management (General)----- | 2370.01 |
| Policies and Procedures----- | 2370.02 |
| Couriers----- | 1530.09 |
| Cost Reduction/Economic Analysis----- | 2305.07 |
| CPA Accreditation----- | 3330.02 |
| Background Data----- | 3330.03 |
| Preparation----- | 3330.04 |
| Cross Service Support Agreements----- | 2200.02-3300.02 |
| Data Standardization----- | 2320.07 |
| DCAA Advisory Council----- | 2200.03 |
| Annual Report----- | 2200.04 |
| Course Development----- | 3322.03 |
| Course Evaluation----- | 3322.04 |
| Courses----- | 3322.02 |
| Executive Conference----- | 2200.05 |
| Facility Security Data----- | 1540.02 |
| Historical Program (General)----- | 1700.01 |
| Histories----- | 1700.02 |
| Inspection Policies and Procedures----- | 2210.02 |
| Inspections (General)----- | 2210.01 |

| | |
|---|---------|
| DCAA Organization and Functions----- | 2310.01 |
| Policy File----- | 7000.02 |
| Regional and FAO Conferences----- | 2200.07 |
| Savings Bond Reports----- | 3388.01 |
| Surveys of Civilian Personnel Administration----- | 3382.02 |
| Defective Pricing Reviews----- | 7600.15 |
| Defense Investigative Program----- | 1500.03 |
| Register----- | 1500.04 |
| Standardization Program----- | 2320.07 |
| Defensive Security----- | 1530.20 |
| Delayed Claims----- | 7600.15 |
| Delegation of Authority, Civilian Personnel Administration----- | 3301.01 |
| Delegations of Authority----- | 2000.02 |
| Departure Clearances----- | 3371.25 |
| Designation of Security Control Officers----- | 1500.06 |
| Directory of Offices Listings----- | 1100.03 |
| Disbursement Vouchers----- | 4220.05 |
| Distinguished Civilian Service Award----- | 3341.05 |
| DoD Distinguished Civilian Service Award----- | 3341.05 |
| Economic Analysis----- | 2305.07 |
| Emergency Tests and Exercises----- | 2100.03 |
| Employee Benefits----- | 3361.01 |
| Grievance and Appeal Policies and Procedures----- | 3358.02 |
| Grievances and Appeals (General)----- | 3358.01 |
| Monthly Time Report----- | 7100.07 |
| Organization Case Files----- | 3347.03 |
| Records----- | 3371.50 |
| Relations (General)----- | 3349.01 |
| Suggestion Register----- | 3341.08 |
| Suggestions----- | 3341.09 |
| Equal Employment Opportunity Complaints----- | 3346.04 |
| Policies and Procedures----- | 3346.02 |
| Reports----- | 3346.03 |
| Equipment Evaluation Case Files----- | 2320.05 |
| Excess Personal Property----- | 1210.06 |
| Executive Assignment System----- | 3301.03 |
| Evaluation System----- | 3301.03 |
| Expense Operating Budget----- | 4130.02 |

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