

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Defense

2. MAJOR SUBDIVISION
Assistant Secretary of Defense (Public Affairs)

3. MINOR SUBDIVISION
Defense Audiovisual Agency

4. NAME OF PERSON WITH WHOM TO CONFER
Randy Gulley

5. TEL EXT.
(714)
382-2096

| | |
|---|---|
| LEAVE BLANK | |
| JOB NO. | NC1-330-83-3 |
| DATE RECEIVED | JUNE 16, 1983 |
| NOTIFICATION TO AGENCY | |
| In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 | |
| 7-26-83 <i>Date</i> | <i>[Signature]</i> <i>Archivist of the United States</i> |

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 105 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

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

| | | |
|----------|---------------------------------------|----------------------------|
| C. DATE | D. SIGNATURE OF AGENCY REPRESENTATIVE | E. TITLE |
| 8 Jun 83 | <i>Randy Gulley</i> | DAVA Records Administrator |

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|-------------|--|----------------------|------------------|
| | <p align="center"><u>Defense Audiovisual Agency Records</u></p> <p>The enclosed manual (DAVA 5015.2-M, DAVA Records Management Program) presents a standardized program for the management of the Defense Audiovisual Agency Records. It contains the schedules for the entire Agency, excluding the 700 series (Audiovisual Files) which will be forwarded at a later date. The enclosed manual has been informally reviewed by NARS previously and all NARS comments have been incorporated.</p> | DAVA 5015.2-M | 477 items |
| | <i>CY to Agency 8-10-83</i> | | |

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REFERENCES

- (a) DoD Directive 5040.1, Defense Audiovisual Agency, 12 June 1979
- (b) DoD Directive 5015.2, Records Management Program, 17 September 1980
- (c) The Federal Records Act of 1950, as amended by Public Law 94-575 (44 U.S.C., chapters 21, 25, 29, 31, and 33)
- (d) Federal Property Management Regulations (FPMR), Part 101-11 (41 CFR 101.11)
- (e) DoD Directive 4120.22, Department of Defense Micrographics Program, 20 June 1977
- (f) DoD 5200.1-R, Information Security Program Regulation, August 1982, supplemented by DAVA Supplement 5200.1, November 1982
- (g) DAVA Instruction 5400.7, DAVA Freedom of Information Act Program, 14 July 1981
- (h) DAVA 5400.11-M, DAVA Privacy Act Program, 28 October 1981
- (i) Executive Order 12065, National Security Information, 29 June 1978
- (j) Title 18, U.S.C., Section 2071

Chapter 1

GENERAL

1-1. Purpose. This manual:

a. Implements reference (a), which assigns responsibility to the Director, DAVA, for the Records Management Program under references (b), (c), and (d) that require agencies to establish and maintain active, continuing programs for the economical and efficient management of agency records.

b. Establishes procedures for the maintenance and disposition of DAVA records.

c. Prescribes the Records Disposition Schedule (chapter 9).

1-2. Applicability. The provisions of this manual apply to Headquarters (HQ) DAVA, all DAVA Activities, and contractors employed by the Defense Audiovisual Agency.1-3. Definitions:

a. Copying Equipment. Machines used to make electrostatic, dual spectrum, or other types of quick copies as opposed to offset, mimeograph, or other means of duplication.

b. Correspondence. A general term including memorandums, letters, form letters, telegrams, endorsements, summary sheets, postal cards, routing slips, and other similar written communications.

c. Correspondence and Mail Management. The elements of records management concerned with the evaluation or application of management techniques to correspondence and mail-processing operations.

d. Cross-Reference. A procedure used to show the location of a document that may be filed, because of content, under more than one subject.

e. Cutoff. Termination of files at specific intervals to permit transfer, retirement, or disposal in periodic (quarterly, semiannual, or annual) blocks.

f. Discontinuance. The placing of an organization in an inactive or surplus status. Whenever the term is used in this manual, it includes inactivation, disbandment, discontinuance, or reduction to zero in strength.

g. Disposition. Refers to the actions taken with regard to records following their appraisal by the NARS. No disposition of any series of records is authorized before its appraisal. The Federal Records Act of 1950 (reference (c)) defines records disposition as any activity with respect to:

(1) Disposal of temporary records no longer necessary for the conduct of business by destruction or donation;

(2) Transfer of records to records holding/staging areas;

(3) Transfer of records from one federal agency to any other federal agency; or

(4) Retirement of records to the Archives of the United States and records centers that are determined to have sufficient historical or other value to warrant continued preservation.

h. Disposition Instruction. Instruction for the cutoff, transfer, retirement, or destruction of documents. Specific techniques for using or applying disposition instructions are found in chapter 5 of this manual.

i. Federal Archives and Records Center (FARC). A records storage facility operated by NARS, GSA, for housing and servicing noncurrent records of the federal government.

j. Library Material. Library material is defined as reference material, such as books, magazines, and related items, informally organized, or material located in officially designated libraries.

k. List of Files Maintained (DAVA Form 16). A form prepared by each DAVA office identifying the records series, filing arrangement, and ultimate disposition of all files maintained.

l. Magnetic Tape. Magnetic tape includes all tapes on which data are recorded as part of an automated data processing or information retrieval system.

m. Micrographics. The technique of producing miniature film images of documents for preservation and storage in compact form. See reference (e).

n. Nonrecord. Library or museum material made or acquired and preserved solely for reference or exhibition purposes. Extra copies of documents preserved only for convenience of references. Examples of nonrecord materials are:

(1) Correspondence and other records of short-term value that, after action has been taken, have neither evidential nor informational value, such as requests for publications or communications on hotel reservations.

(2) Working papers, preliminary drafts, and other similar materials that have been summarized to final form and incorporated as part of the record documents.

(3) Reproduction materials, such as stencils or offset plates.

(4) Transcribed shorthand notes and stenotype tapes.

(5) Information copies of correspondence and other papers on which no documented administrative action is taken.

o. Permanent Records. Records that the Agency creates and retains to document its functions, as amended in reference (c). The following records must be retained permanently and retired, as required by the Records Disposition Schedules (chapter 9).

(1) Policy, Procedural, Organizational, or Reporting Documents:

(a) Formal policy and procedural issuances (obsolete as well as current), such as regulations, orders, circulars, manuals, and other types of directives with related forms, recommendations, endorsements, clearances, and comments.

(b) Organizational charts and directories (obsolete as well as current).

(c) Annual or other periodic narrative and statistical reports on accomplishments at the organizational levels above divisions.

(d) Narrative accounts of DAVA's history.

(e) Publicity and public information material, such as press releases relating to matters of general interest to taxpayers; photographs and official speeches relating to changes in DAVA policies and programs; or charts and posters.

(f) Publications that contribute to an understanding of the organization and functioning of HQ DAVA and all DAVA Activities, exclusive of publications that embody the results of statistical or research activity.

(2) Records that Provide Executive Direction to HQ DAVA and all DAVA Activities:

(a) Such authoritative documents consist of those received by HQ DAVA for comment, clearance, appraisal, evaluation, guidance, or other action, and those drafted, prepared, or issued by HQ DAVA. Include case, planning, subject, and control files documenting the preparation, issuance, analysis of, reactions to, and compliance with those authoritative documents that affect and define the functions of the DAVA Activities concerned.

(b) Agenda and minutes, with supporting papers, of staff meetings at the activities pertaining to substantive functions of HQ DAVA or the Department of Defense.

(c) Agenda and minutes, with supporting papers, of those meetings of interagency and other federal governmental bodies in which HQ DAVA participates, that relate to substantive matters pertaining to HQ DAVA or DoD functions.

(d) Reports on special studies, surveys, and inspections of operations, management, and systems with related papers showing their inception, scope, procedures, and results.

(e) Budget statements (estimates and justifications) prepared at the HQ DAVA level, budget digests, budget briefing books, and comprehensive program and financial plans developed under the planning, programming, and budgeting system and earlier or later equivalents, such as zero-base budgeting.

(f) Annual activity reports, and any special nonrecurring reports from activities, that are required for purpose of executive directions.

(g) Interagency agreements and delegations of continuing authority to and from other agencies, that significantly affect the substantive functions of HQ DAVA.

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

(i) Litigant case files, the results of which had a significant impact on HQ DAVA or DoD policy or procedure.

(3) Records Documenting Major Functions of HQ DAVA and all DAVA Activities:

(a) Documentation of the development, supervision, and evaluation of each of the major substantive functions.

(b) Formal legal opinions relating to major functions.

(c) Case files of precedential significance concerning policy formulation.

(d) Summary statistical data relating to each major function.

(e) Pertinent portions of office files of directorates or higher organizational units that were responsible for carrying out major substantive functions of the Defense Audiovisual Agency, the Department of Defense, or both.

p. Personal Papers. Papers of a private or nonofficial character that pertain only to an individual's personal affairs. Such papers are kept in the office of a DAVA official, clearly designated by him or her as nonofficial, and filed separately from the office's official records (chapter 8).

q. Record. Any book, paper, map, photograph, machine-readable material, or other documentary material, regardless of physical form or characteristics, made or received by an agency of the U.S. Government in pursuance of federal law, or in connection with the transaction of public business, and preserved or appropriate for filing and preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government, or because of the informational value of the data contained therein. Stocks of publications are not included in this definition.

r. Record Copy. The file or coordination copy created by the action office. It is the official copy, complete with coordination, enclosures, or related papers of an action (such as, correspondence, communications, reports, instructions, or notices). Any such copy will be specifically marked and identified as the record copy by the office creating the record. This is usually the yellow file copy with concurrence or nonconcurrence and other background material necessary to complete the file.

s. Reference Copies. An organized collection of records used for ready reference. They may include extra copies of documents recorded elsewhere.

t. Retention Period. The length of time a file must be kept before it is destroyed. Files not authorized for destruction by approved Records Disposition Schedules have a permanent retention period (Chapter 9).

u. Retirement. The movement of inactive files having a permanent or long-term value to a Federal Archives Records Center for storage, servicing, and ultimate disposition or to the NARS for continual preservation.

v. Temporary Records. Records that need to be retained for a period of time or until occurrence of an action or event, and that have been designated as temporary records in the Records Disposition Schedules approved for disposal by the Archivist of the United States (chapter 9).

w. Vital Records. Records that are vital to the continued operation of the Defense Audiovisual Agency during or after wartime, civil disaster, or other emergency conditions, including records needed to preserve the legal rights and interests of individuals.

Chapter 2

RESPONSIBILITIES

2-1. The Director, Defense Audiovisual Agency (HQ DAVA-D), under reference (a) shall:

a. Direct and administer the Records Management Program for HQ DAVA and all DAVA Activities.

b. Establish effective control over the creation, organization, maintenance, use, and disposition of all HQ DAVA and all DAVA Activities' records.

c. Cooperate with the General Services Administration (GSA) in developing and applying standards, procedures, and techniques designed to improve the management of records; ensuring the maintenance and security of records of continuing value; and facilitating the identification, segregation, and disposition of all records of temporary value.

d. Ensure compliance with the provisions of reference (c).

e. Designate the Administrative Services Division, Directorate for Administration (HQ DAVA-RAP), as the office of record and the point of contact for records management activities.

2-2. Each HQ DAVA Assistant Director, Comparable Office Chief, and DAVA Activity Chief shall:

a. Establish within his or her area of responsibility, a Records Management Program to support the requirements outlined in the references and with the regulations issued thereunder.

b. Provide the continued analysis and improvement in the Records Management Program necessary to ensure that records are maintained economically, efficiently, and in such a manner that their maximum usefulness is attained.

c. Ensure that the equipment selected for purchase is the most efficient and economical for the specific operations planned.

d. Institute measures to ensure that records of continuing value are preserved and that appropriate disposition or retirement is made of records no longer of current use to the Agency/Activity.

e. Forward requests for filing and micrographic equipment through HQ DAVA-RAP to the Assistant Director for Logistics (HQ DAVA-LO).

f. (DAVA Activity Chiefs only) Appoint in writing an individual to perform the records management functions in their Activities or organization and to act in liaison with the DAVA Records Administrator. (Preferably, this should be the same individual who is responsible for Privacy Act matters.)

g. (DAVA Activity Chiefs only) Forward one copy of records management directives and the appointing documents reflecting the name, telephone number, grade, and office of the Activity Records Manager on issuance to the HQ DAVA Records Administrator (HQ DAVA-RAP), Norton AFB, CA 92409.

2-3. The DAVA Records Administrator (HQ DAVA-RAP) shall:

a. Establish a comprehensive DAVA records management program to support the requirements of the references.

b. Ensure effective control over the organization, maintenance, use, designation, and disposition of all HQ DAVA and all DAVA Activities' records.

c. Develop and apply standards, procedures, and techniques designed to improve the management of records; ensure the maintenance and timely retirement of records of continuing value; and facilitate the segregation and disposal of all records of temporary value.

d. Carry out the records management provisions of references (f), (g), and (h).

e. Act as liaison official with the National Archives and Records Service, other government agencies, private industry, and private citizens on records management matters.

f. Ensure that all policies and important decisions on records management are adequately documented and recorded.

g. Make provisions for the continued analysis and improvement of such matters as records file classification, indexing systems, and the use of filing equipment and supplies.

h. Ensure that the creation of duplicate files and copies of documents are minimized, but consistent with the needs of effective management communications.

i. Approve/disapprove the acquisition of records management equipment, such as file cabinets or microfilm reader-printers.

j. Provide HQ DAVA and DAVA Activities with advice and management assistance at the time of creation of new records, to ensure adequate documentation, retention, and disposition.

k. Provide advice and assistance to DAVA officials pertaining to the identification, segregation, retention, and disposition of personal papers.

l. Coordinate, control, and supervise access to DAVA records essential for historical research, ensuring that appropriate safeguards for security and privacy are maintained.

m. Exercise management control over the transfer of records to and retrieval from the Federal Records Centers and to the NARS.

n. Institute records cleanout campaigns, with the consent of the ASD(C), when requested by GSA or NARS, or when the volume of unnecessary records on hand becomes excessive.

o. Issue retention and disposition standards for the records used in Automatic Data Processing (ADP) management, in accordance with approved general records schedule or disposition instructions in chapter 9.

p. Forward one copy of records management directives and the appointing documents reflecting the name, grade, and organization of the DAVA Records Administrator on issuance to NARS.

q. Ensure the Vital Records Program is established for the Agency.

r. Survey and appraise HQ DAVA and all DAVA Activities of the Records Management Program at least once every 3 years.

2-4. DAVA Activities Records Managers shall carry out the same duties as listed in paragraph 2-3 for the DAVA Records Administrator, with the following additions or changes. They shall:

a. Survey and appraise their activities of the Records Management Program at least every 2 years.

b. Ensure that records being retired to a FARC or holding/staging area or transferred to other governmental agencies are properly arranged and packaged prior to movement and that shipping documents (Standard Form (SF) 135, Records Transmittal and Receipt) are prepared.

c. Ensure that copies of the shipping documents (SF 135) are retained as required by file number 101-07.

d. Act as liaison official with the DAVA Records Administrator on records management matters.

e. Provide advice and assistance to security managers in developing and executing a program to reduce classified holdings in accordance with approved disposition standards, to the absolute minimum required for current operations.

f. Submit summary of records holding feeder reports, as required, on SF 136, Annual Summary of Records Holdings, to HQ DAVA-RAP, Norton AFB, CA 92409 (see paragraph 3-1).

g. Prepare recommendations for deviations from disposition standards, when necessary, and submit to HQ DAVA-RAP.

h. Recommend retention and disposition standards for the records used in ADP management.

i. Provide advice to activities when a records cleanout campaign is initiated.

4-5. DAVA Records Coordinators will perform such records management duties as in paragraph 2-4, or as assigned by their Assistant Directors and Comparable Office Chiefs/Activity Chiefs.

Chapter 3

PROCEDURES

3-1. Annual Summary of Records Holding Report (Interagency Reports Control Symbol 1094-GSA-AN). Under Section 101-11.702-7, FPMR (reference (d)), the Annual Summary of Records Holdings shall be prepared for records held by all offices of HQ DAVA and all DAVA Activities. The reporting period covered by this report will be 1 October through 30 September of each fiscal year. The report shall contain data on the volume of records, measured in cubic feet, for current file areas and depositories. When preparing the Annual Summary of Record Holdings, HQ DAVA and all DAVA Activities shall:

a. Use Standard Form (SF) 136, Annual Summary of Records Holdings, (figure 3-1) which may be obtained through normal publications distribution channels. The reverse side of the SF 136 provides a definition of the records to be reported and how to calculate the volume. Each organizational office within the DAVA organization structure will prepare a feeder report on SF 136 in duplicate. The original will be forwarded to the appropriate records management official no later than 10 October. The copy will be retained by the reporting office.

| STATUS-ACTION | | DEPARTMENTAL | | FIELD | | TOTAL |
|---|--|------------------------------------|--|------------------------------------|--|-------|
| | | CURRENT FILE ROOMS AND OFFICES (a) | STAGING, HOLDING AND OTHER STORAGE AREAS (b) | CURRENT FILE ROOMS AND OFFICES (c) | STAGING, HOLDING AND OTHER STORAGE AREAS (d) | |
| 1. ON HAND-BEGINNING OF PERIOD 1 October 1981 | | | | 20 | | 20 |
| 2. TRANSFERRED TO | | | | | | |
| a. FEDERAL RECORDS CENTERS OR NATIONAL ARCHIVES | | | | 0 | | 0 |
| b. OTHER AGENCIES | | | | 0 | | 0 |
| 3. DESTROYED | | | | 5 | | 5 |
| 4. ON HAND- END OF PERIOD | | | | 21 | | 21 |
| 5. MAGNETIC TAPE (Number of reels included in item 4(e)) | | | | | | |
| 6. AUDIO VISUAL RECORDS (Volume of each included in item 5(e) destroyed under the authority of 101-11.404-2, General Records Schedule 21) | | | | | | |
| | | 1 | | 0 | 0 | 0 |

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

Yes No If No, please attach explanation.

REMARKS (include comments on significant increases or decreases in holdings, any plans for records cleanup, reassignments, or any other significant record disposition matters)

NAME OF PERSON WITH WHOM TO CONTACT: **Charles C. Kohler** PHONE NUMBER: **795-7152**

DATE PREPARED: **30 Oct 82** TITLE: **Records Manager** SIGNATURE: _____

NSA 7527 (Rev. 6-24-82) PREVIOUS EDITION NOT USABLE STANDARD FORM 136 PREVIOUS EDITION NOT USABLE

Figure 3-1. Sample SF 136, Annual Summary of Records Holdings.

(1) HQ DAVA offices will complete column (a) for their active records. Columns (b), (c), and (d) will be left blank.

(2) DAVA Activities will complete column (c), and depositories will complete column (d).

(3) Records Managers will verify all feeder reports and prepare a consolidated feeder report in duplicate on SF 136, making entries under columns (c) and (d). The original will be forwarded to the DAVA Records Administrator, HQ DAVA-RAP, by 20 October, and the copy will be retained by the reporting Records Manager.

(4) From reported data on consolidated feeder reports, the DAVA Records Administrator will prepare in duplicate, a consolidated Annual Summary of Records Holdings (SF 136), making entries in columns (a), (b), (c), and (d) as appropriate. The original will be forwarded to the Administrator of General Services (GSA), by 1 November of each year, and the copy will be retained by the DAVA Records Administrator.

b. Instructions for Preparation of SF 136:

(1) All letter- or legal-size records, cards, magnetic tapes, microfilms, still pictures, motion pictures, sound recordings, video recordings, etc., will be reported in cubic feet. For the purpose of the report, volume may be calculated for cubic feet equivalents according to figure 3-2.

(2) The volume of reference publications files, stocks of publications and blank forms maintained for the purpose of issue to requesters, and library materials (see paragraph 1-4) used solely for reference will not be reported on the SF 136.

3-2. Functional File System:

a. Files Planning. Planning the proper location of files, arranging files to facilitate their use and disposition, and establishing procedures for complete documentation are the first steps in the effective maintenance of records. Files must be properly located to provide maximum utilization with a minimum of duplication, and to assure the preservation of permanent records and the systematic disposal of all others.

b. Files Plan Designation. DAVA personnel shall use a decentralized-specialized files plan. Under this plan, documents (files) that are accumulated and used in performing a function shall be located in the organizational element performing the function. A written files plan will be prepared so that files documenting each function of the Agency/Activity will be maintained in the particular element where the function is performed. Identification of files by major functional and subfunctional file category is adequate. A sample extract of a file plan showing portions of a mission file is provided in figure 3-3.

(1) Specialized files of DAVA-wide interest and use may be centrally located. HQ DAVA and all DAVA Activities may establish a central files system in their organization if it is more convenient and will better serve the entire organization.

(2) HQ DAVA and all DAVA Activities shall establish written policies stating or explaining where the record copy is filed. These locations are known as offices of record.

(3) Each office of record is responsible for the custody, maintenance, retirement, and disposition of current documents of the office it serves in accordance with approved general records schedules or disposition instructions in chapter 9.

(4) To ensure conservation of personnel, equipment, space, rapid and economical filing and reference, and the protection of records, the following factors shall be considered in the physical location of the office of record:

(a) Access. Records kept sufficiently accessible to the using organizations so that maintenance of duplicate files is unnecessary.

(b) Security. Classified material maintained in security containers or secured areas established in accordance with reference (f).

| <u>Type of Records</u> | <u>Cubic Feet</u> |
|---|-------------------|
| Filing Cabinets: | |
| One letter-size drawer | 1 1/2 |
| One legal-size drawer | 2 |
| Filing Cases: | |
| One 3- by 5-inch case | 1/10 |
| One 4- by 6-inch case | 1/4 |
| One 5- by 8-inch case | 1/4 |
| Shelf Files: | |
| 1 linear foot letter-size | 4/5 |
| 1 linear foot legal-size | 1 |
| Tabulating Cards: | |
| 10,000 cards | 1 |
| Outsized Equipment: | |
| Inside cubic measurement | |
| Magnetic Tape (see paragraph 1-4): | |
| Seven reels | 1 |
| Microfilm: | |
| 100 16mm reels (100 feet) | 1 |
| 50 35mm reels (100 feet) | 1 |
| Still Pictures: | |
| Negatives: | |
| 2300 35mm 6-exposure strips | 1 |
| 8640 2- by 2-inch mounted slides | 1 |
| 2184 4- by 5-inch film sheets | 1 |
| 5960 1/4- by 3 1/4-inch film sheets | 1 |
| Prints: | |
| 2350 8- by 10-inch glossies or contact sheets | 1 |
| 9400 4- by 5-inch glossies | 1 |
| Motion Pictures: | |
| Six 35mm reels (1000 feet) | 1 |
| 11 16mm reels (1200 feet) | 1 |
| 15 16mm reels (800 feet) | 1 |
| 32 16mm reels (400 feet) | 1 |
| Sound Recordings: | |
| 76 16-inch disc recordings | 1 |
| 144 12-inch disc recordings | 1 |
| 48 7-inch audiotape reels | 1 |
| 16 10-inch audiotape reels | 1 |
| Video Recordings: | |
| Ten 3/4-inch cassettes | 1 |
| Three 2-inch reels | 1 |
| Nine 1-inch reels | 1 |
| 43 1/2-inch reels | 1 |

Figure 3-2. Equivalents for Annual Summary of Records Holdings.

| <u>Office of Record</u> | <u>Major Functional Category</u> | <u>Subfunctional File Category</u> |
|----------------------------|----------------------------------|--|
| Directorate for Logistics | 800 | 803- Energy Conservation Files 805- Engineering Maintenance Files |
| General Counsel | 400 | 402- Legislative and Congressional Files |
| Directorate for Operations | 200 | 202- International Planning Files 203- Planning Files |

Figure 3-3. Plan, Location of Mission Files.

(c) Space. Adequate space for present and anticipated needs and suitable for the requirements of files operation and protection and the safety, health, and morale of records personnel.

(d) Arrangement. Files equipment and supplies positioned to provide control, smooth workflow, and convenience to the maximum number of users. Classified files and containers shall be located away from windows and doors to prevent illicit acquisition of, or unauthorized access to, classified information.

c. Records Evaluation. The value of records is determined by their use as administrative tools, as legal or other official evidence, and as material for historical or other research.

(1) The administrative significance of a particular series of records is the important factor in evaluating records.

(2) In general, NARS will identify the records that are permanent, the most authoritative, informative, and valuable in conducting administrative operations, and also the most important for historical or other research purposes. Normally, only a small portion of the total volume of records accumulated by an agency will be of sufficient value to justify preservation as part of the permanent Archives of the United States.

(3) Temporary records are disposable after stated periods of time as indicated in the Records Disposition Schedule (chapter 9).

d. Documentation and Arrangement. Documentation concerns the creation of essential records and the assembly or consolidation of these papers in proper sequence. Effective documentation practices are essential to ensure a complete account of actions taken, commitments made, and the results. File arrangement concerns the relative position in the files of one paper or group of related papers to another paper or group of related papers. Effective file arrangement is essential to ensure simple and economical retrieval and destruction or retirement of file papers.

e. Basic File Groups:

(1) Subject Files. Use a subject file series for material not readily adaptable to case files and where individual transactions are specific in subject content or involve several individual topics, individuals, or organizations. The purpose of the subject file is to provide complete documentation in the appropriate subject functional area.

(2) Case or Project Files. A case or project file contains material relating to a specific action, event, person, organization, location, product, or thing.

(a) The documents may cover one or more subjects concerning a case or project, but will always be filed by a specific title or number.

(b) A distinguishing feature of a case or project file is the similarity in the nature of the papers within each case folder constituting the total file.

(c) Papers are arranged within each case file in chronological order with the most recent papers placed at the front of the folder.

(d) Case or project files are terminated upon occurrence of an event or action and placed in an inactive file.

(e) Case files may be filed alphabetically by name, title, country, organization, or numerically to permit ease of filing and finding, and to preclude the use of separate indexing and guide cards.

(3) Reference Files. Reference files are organized collections of materials used for convenient reference. They are sometimes called convenience files or working files. This material may include extra copies of documents that are officially recorded elsewhere, such as books, pamphlets, and catalogs. These files are reviewed periodically, and only those that are current and of significant reference value are retained; all the files not referenced will be destroyed. The file is kept current on a continuing basis by replacing superseded material and removing obsolete material.

f. Filing Arrangements. After determining the major functional file grouping, a method of arranging each group is selected based on the primary function by which the file will be requested. Within the basic arrangement selected, one or more arrangements for further breakdown or subdivision may be used. For example, geographically arranged records may be arranged further by organization; records filed by subject may be arranged chronologically. This is optional with the office requiring the creation of specific files, provided they use one of the following systems:

(1) Numerical Arrangement. This system is used to arrange files identified and referred to by number, such as bills of lading, requisitions, and purchase orders.

(2) Chronological Arrangement. This system is used to arrange files in date sequence when the date is the primary means of reference, and is useful for keeping records in small manageable groups; usually by year, month, and day. Reading and suspense files are examples of files arranged by date.

(3) Geographical Arrangement. This system is used to arrange files by geographical location, such as area, county, state, or country; it is used when the geographical location is the primary means of reference. The files are arranged first in alphabetical sequence, according to the name of the main geographical area, such as a state, then by the next most important subdivision required for reference, such as counties or cities.

(4) Organizational Arrangement. This arrangement is used when the name of the organization is the primary means of reference. Organizational arrangement is fundamentally an alphabetical arrangement of organizations as they relate to each other.

(5) Alphabetical Arrangement. This system is used to arrange a file by names of persons, companies, or agencies in alphabetical sequence. Articles, conjunctions, and prepositions are disregarded when filing alphabetically.

(6) Subject Arrangement. This system is used to arrange files by subject when the subject is the primary means of reference.

(7) Functional Files System. Under this system, a document is filed by the function to which it relates and not necessarily according to the subject of the document. This is the DAVA-preferred system and is further described in subparagraph n, below.

g. List of Files Maintained. Each office of record shall prepare a DAVA Form 16, List of Files Maintained (figure 3-4), to identify each file series of records it maintains. This form provides a comprehensive and efficient system of identification, maintenance, and disposition of documents. In preparing and maintaining a List of Files Maintained, each office of record shall:

(1) Forward the original and one copy of the DAVA Form 16 for review and approval to the DAVA Records Administrator. Activities will forward the original and one copy through the Activity Records Manager to the DAVA Records Administrator. The original will be returned to the office of origin and filed under the designated functional file number.

(2) Review the Records Disposition Schedule (chapter 9) annually to ensure that all records are properly identified and the schedule is accurate and complete. If revision is necessary, forward two copies of the DAVA Form 16 as outlined in subparagraph (1), above.

h. Functional File System Concept:

(1) The DAVA functional files system is based on the concept that each DAVA element or office maintains records documenting the performance of each of its functions.

(2) The DAVA functional files system is a system for identifying and arranging records, following the principle that identification or coding of records, papers, correspondence, and communications is intertwined with the function that they document. The coding and arrangement of files under this system provide a more flexible arrangement than other files systems.

i. Organization of the DAVA Functional Files System. The organization of the DAVA functional files system provides for the division and identification of records and documents into several distinct subject series to facilitate referencing and disposition.

| LIST OF FILES MAINTAINED | | PREPARED BY (Name and telephone extension of responsible Records Management official) Mrs. Cheryl E. Kelly, 876 4938 | DATE FORWARDED TO ORGANIZATIONAL RECORDS MANAGER 15 December 1982 | | | |
|---|--|--|--|------------------------|--|---|
| INSTRUCTIONS: Prepare original and two copies. Send original and one copy to Organizational Records Manager, who will keep the copy and return the signed original to the preparer. The signed original will be filed under file number 101-01 and a cover memo be filed in front of file drawer. Send the other copy to the Records Administrator. (DD DAVA-ADAR), Norton AFB, CA 92409. (Refer to DAVA 5015.2 for exact numbers and titles.) | | ORGANIZATION TITLE AND ADDRESS (include lowest organization element as well as branch/division/directorate and activity designation.) HQ Defense Audiovisual Agency, General Counsel, Norton AFB, CA 92409 | ORGANIZATIONAL RECORDS MANAGER'S SIGNATURE | | | |
| | | | DATE APPROVED 1 January 1983 | | | |
| DAVA FILE NUMBER | FILE TITLE | FILE CONTENTS TITLE(S) (Describe types of records to be placed in the file.) | DISPOSITION OF FILES | | RECORDS SUBJECT TO PRIVACY ACT | |
| | | | TO BE DESTROYED IN CYA D | TO BE TRANSFERRED E | SYSTEM NOTICE IDENTIFICATION NUMBER F | SYSTEM NAME G |
| 101-03 | General Ofc Mgt Files | Documents pertaining to parking, forms, records, blood donations, etc. | X | | | |
| 101-05 | Office Instruction Files | Documents relating to the preparation of internal memorandums. | X | | | |
| 102-04 | Supervisor/Manager Employee Record Files | Folders on civilian personnel within the office. | X | | DA 102.04 | DAVA Supervisor/Manager Employee Record Files |
| 201-01 | General Counsel Instruction Files | Documents relating to preparing, coordinating, issuing, and interpreting directives. | | X | | |
| 401-01 | Legal Opinion Precedent Files | Documents showing legal opinions concerned with interpretations of laws, etc. | | X | | |
| 401-03 | Legal Assistance Case Files | Documents pertaining to personal legal matters of military personnel. | X | | | |

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Figure 3-4. List of Files Maintained.

(1) Series 100 pertains to Office Housekeeping Files. These files relate primarily to the performance of the housekeeping operations within the immediate office and not the mission functions of the office.

(2) Series 200 through 1000 pertain to the mission functional files. The first subdivision of each of these functional series is devoted to housekeeping files relating to the particular functions as opposed to the general housekeeping file in series 100. These series relate to specific major functional or subfunctional areas of the Agency. Series identification file number descriptions and instructions for retention and disposition for all the functional file series are contained in chapter 9.

j. Applicability. The DAVA filing system shall apply to all files. Excluded are publications, blank forms, reference materials, books in formally organized and officially designated libraries, and reproduction material, such as stencils and offset masters.

k. Functional Area Numbering System:

(1) The DAVA file system is set up on a functional basis and does not necessarily follow an organizational relationship. Following are the present major functional groups with the appropriate numerical designation:

- 100 Office Housekeeping (General)
- 200 Administration
- 300 Comptroller and Manpower
- 400 General Counsel and Public Affairs
- 500 Security and Protective Services
- 600 Civilian, Military, and General Personnel Management
- 700 Audiovisual
- 800 Logistics, Acquisition, Engineering/Maintenance, and Safety
- 900 Facilities
- 1000 Data Processing Systems, Procedures, and Operations

(2) These major functional groups are further divided into subfunctional groups as shown in the examples below:

| | |
|-----|----------------------------------|
| 801 | Acquisition Files |
| 605 | Civilian Personnel Program Files |

(3) A dash is then employed before designating the third category breakdown and a two-digit number, such as 01 or 04, is always used with this category. Examples are:

| | |
|--------|-------------------------------------|
| 801-05 | Contract Appeal Files |
| 605-02 | Civilian Personnel Inspection Files |

(4) By combining all elements of this numbering system, the following examples demonstrate their composition:

| | |
|--------|--|
| 800 | Logistics, Acquisition, Maintenance, and Safety Files |
| 801 | Acquisition Files |
| 801-05 | Contract Appeal Files |
| 600 | Civilian, Military, and General Personnel Management Files |
| 605 | Civilian Personnel Program Files |
| 605-02 | Civilian Personnel Inspection Files |

(5) Most of these categories are functional breakdowns and not files. A file shall be set up for only the lowest category shown, which will always appear as the third breakdown. Also, for a category actually to be a file, it has to have a description and be included on the disposition schedule as listed in the Records Disposition Schedule (chapter 9).

(6) File numbers in the 100 series are common to most offices in DAVA and are described in greater detail in chapter 9.

(a) A listing of all files kept in an office shall be maintained by HQ DAVA and all DAVA Activities. In the 200-1000 series, the digit numbering system shall be used to designate specific office files.

(b) Each office shall determine the functions for which it is primarily responsible and assign numbers to the specific files it maintains under that function.

1. Files Control. The success of any filing system depends upon several basic steps. These steps (known as files control) consist of arranging guides and folders, preparing and filing materials, retrieving papers in the files and charging them out, keeping the files orderly, and transferring or destroying inactive or useless files in accordance with approved disposition schedules.

m. Preparing and Using Guide Cards, File Folders, and Labels (figure 3-5).

(1) Guide Cards. Prepare and use guide cards to identify each major file series or to identify and support portions of the series; type standard labels and attach them to the guide card tab. Do not retire or discard file guides when files are disposed of; reuse them.

(2) File Folders. Type identifying data on standard labels, national stock number (NSN) 7530-00-082-2661, positioning the label on the folder as outlined below. Prepare folders only for those subjects for which there is a current need. Prepare a second folder when the material in any one folder reaches its capacity of approximately three-fourths of an inch (the second folder begins at a logical point, such as the beginning of a month or a calendar quarter). Place folders behind their related guides.

(3) Labels:

(a) Preparation. Label all file folders to include the number, title, year file created, cutoff date, and disposition instructions. Subtitles may be selected as desired. Commonly accepted abbreviations may be used.

(b) Label Abbreviation. In addition to commonly used abbreviations, use the following in preparing labels:

| | |
|--------|--|
| CFA | Current Files Area |
| COFF | Cutoff |
| DAVA-N | Defense Audiovisual Agency - Norton Activity Norton AFB, CA 92409 |

| | |
|--------|--|
| DAVA-W | Defense Audiovisual Agency - Washington Activity Bldg 219, Washington Navy Yard Washington, D.C. 20374 |
| Dest | Destroy |
| Disc | Discontinuance |
| DRA | DAVA Records Administrator |
| FARC | Federal Archives and Records Center |
| NPRC | National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago St. St. Louis, MO 63118 |
| | National Personnel Records Center, GSA (Military Personnel Records) 9700 Page Boulevard St. Louis, MO 63132 |
| Ob | Obsolescence |
| Perm | Permanent |
| PIF | Place in inactive file |
| Ret | Retire |
| REFP | Reference Paper |
| RHA | Records Holding Area |
| RSA | Retire to Staging Area |
| Supsd | Superseded |
| Trf | Transfer |

(c) Examples of Label Abbreviations:

| | |
|--------|--|
| 104-05 | Office Classified Document Receipt Files (83) COFF 31 Dec 83, DEST Jan 86 |
| 601-10 | Incentive Award Case Files PIF after final action |
| 501-01 | Security Classification Files (83) COFF 31 Dec 83, TRF to DRA Jan 89, Ret FARC Jan 89, Permanent |

n. Preparing Documents for Filing. When preparing documents for filing, HQ DAVA and all DAVA Activities shall:

(1) Ensure that documents are ready for file and that action has been completed. Authorize documents for filing by rubberstamping or writing the word "file" and writing the initial of the authorizing official on the lower right side of the document.

(2) Ensure that the file is complete and that enclosures or related papers are retained or accounted for.

(3) Remove or destroy identical, duplicate copies of document prior to filing.

(4) Remove all mail control forms, classified cover sheets, envelopes, and routing slips, except those containing remarks of significant record value.

(5) Mend or reinforce torn or frayed papers with transparent tape.

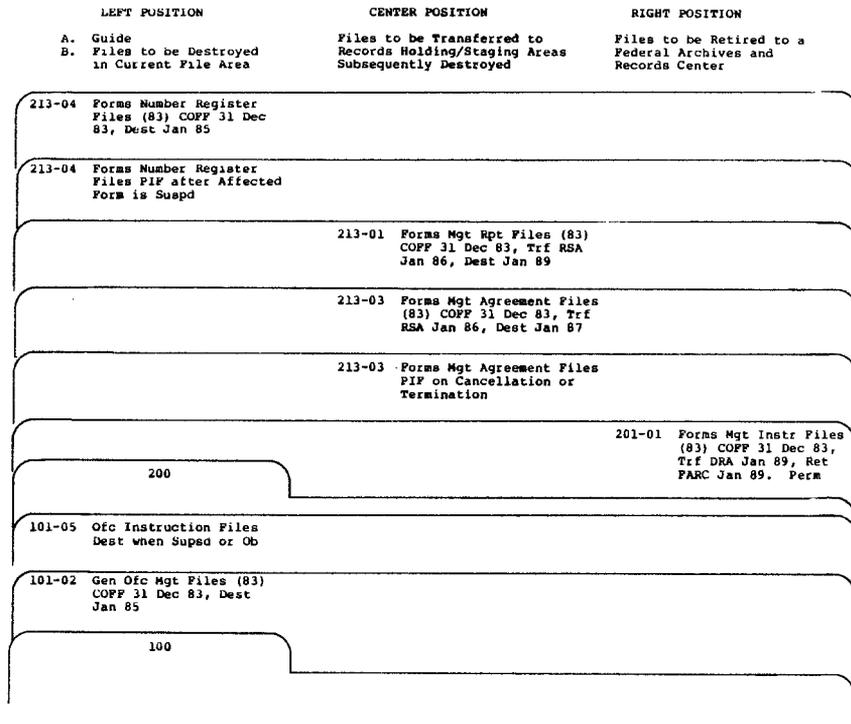


Figure 3-5. Arrangement of Guides and Folders.

(6) Assemble related documents for filing, as indicated below, and file by the date of the latest action.

- (a) The latest action on top.
- (b) The basic paper.
- (c) Endorsement, beginning with the earliest paper.
- (d) Enclosures in numerical order.
- (e) Supporting papers.

(7) Staple related papers together in the upper left corner. When material is too thick to use wire staples, use pronged fasteners to fasten related material.

(8) Bring forward related papers. Combine papers of a later date that relate or refer to papers of an earlier date, only when reference requirements clearly require such action. If reference requirements justify such action, use an Optional Form (OF) 21, Cross Reference, for paper brought forward to maintain continuity. A reference to earlier paper does not necessarily require that papers be combined. Do not combine such papers as:

- (a) Recurring reports with the policy documents requiring the report.
- (b) Applications with the policy document governing submission of the application.
- (c) Papers on the same subject relating to different transactions, such as reports of inspection of two different organizations.

o. Coding Papers for Filing. After the papers have been prepared for filing, the next step is to code or categorize them. Coding segregates the papers into logical categories for ease of filing and finding. In classifying documents for file, HQ DAVA and all DAVA Activities personnel shall:

(1) Exercise care in determining their administrative, legal, and research value to DAVA; their relationship to the organization; usefulness as archival documents; and the costs of keeping them. See Records Disposition Schedule (chapter 9) and the office file plan for proper file code number.

(2) In selecting a file number, first determine the functional series that represents the subject matter. Then determine the specific subdivision.

(3) Select the proper file designation or the specific subdivision by referring to the series and title descriptions listed in chapter 9, series 100 through 1000.

(4) Indicate the filing designation (file number) on the right margin of the document.

(5) If the material being filed involves one or more subjects by which it may be requested, indicate the cross-reference file number for the additional subject by placing it below the file number shown for the major subject. The cross reference is preceded by an "X" to distinguish it from the major subject file number and to indicate that it is a cross-reference.

p. Cross Reference:

(1) Cross references are made to locate documents promptly when they are needed. A cross reference is a paper filed under one classification and date to show the location of material filed elsewhere.

(2) Frequently, an extra copy can be annotated to show where the original is located and then filed under the cross-reference number. When this is not feasible, OF 21 is used.

q. Filing Procedures. HQ DAVA and all DAVA Activities shall:

(1) Match the file designation of the papers with the folder labels before placing papers in the folders.

(2) File papers loosely in the proper folder with the latest date in front, avoiding the use of pronged fasteners. Pronged fasteners may be used when the files are frequently used, when sequence of arrangement is of special importance, and when all documents pertain to the same transaction case or project. Paper clips or clamps will not be used for fastening papers that are filed, except paper clips or clamps may be used in a suspense file.

(3) Keep folder labels visible by neatly arranging papers in the folders. When the contents of the folder increase to the point that the papers begin to obscure folder labels, crease the bottom of the folder. When contents of the folder reach three-fourths of an inch, make a new folder bearing the same file designation and place it in front of the full folder, showing inclusive dates on the folders.

(4) Prevent overcrowding files by allowing at least 4 inches of space in each active file drawer to permit sufficient working space.

(5) Avoid cluttering the files. File bulky material separately in storage equipment suited to its size. Maintain this material in file classification, date, or serial number order. Make a cross-reference to the bulky material and annotate in a conspicuous location or with the filed papers. Mark bulky material with storage location and file number to associate it with related papers kept in the primary location.

r. Labeling File Drawers. File drawers shall be labeled to facilitate retrieval; however, discretion shall be used so that identification numbers of markings do not indicate the classification of material stored therein. Only the major file series and inclusive dates of the material are indicated.

s. Chargeout Procedures. An OF 23, Chargeout Record, is prepared as a substitute for documents or other records borrowed from the files. The OF 23 is placed in the subject folder at the exact place where the material was filed so

the "OUT" portion is visible. This facilitates identification of charged out files and expedites refiling them. When chargeout material is refiled, the entry on the form is lined out and the form removed for reuse.

t. Classified Documents:

(1) Classified files shall be safeguarded in accordance with reference (e).

(2) The interfiling of unclassified and classified papers shall be restricted to those papers which directly support, explain, or document the record of the action or transaction.

(3) Classified documents or other material shall be filed or stored in approved classified containers or secure areas appropriate to the classification of the material to be protected.

u. Files Cutoff Procedures:

(1) "Files cutoff" is the segregation of active and inactive files and the termination of a file after a specific time or event. Established periodic cutoff of files is essential to control effectively the accumulation and growth of records, and facilitate economical disposition in convenient blocks.

(2) Annually, on a calendar and/or fiscal year basis, all offices shall cut off files and segregate active from inactive; retire, transfer, or destroy eligible material according to disposition procedures contained in chapter 9; and review and destroy all noncurrent technical or policy reference materials.

(a) Files maintained on a calendar year basis: Cut off each 31 December and establish new files.

(b) Files maintained on a fiscal year basis: Cut off each 30 September, and establish new files.

(c) Files with a retention period of less than 1-year basis: Cut off and dispose of after authorized retention periods. As an example: Files disposable after 30 days: COFF 30 Jun 83, DEST 1 Aug 83.

(d) Files maintained as case or project files are cut off upon the occurrence of a certain event, such as separation of personnel, final contract payment, or project completion. Upon cutoff, all completed or closed case files are placed in an inactive file until they are eligible for destruction or transfer, in accordance with disposition procedures contained in chapter 9.

Chapter 4

FILING EQUIPMENT AND SUPPLIES

4-1. General. Filing equipment includes all containers, machines, devices, and furniture used for maintaining and servicing files, exclusive of records storage boxes.

4-2. Equipment Conservation:

a. The use of proper equipment and supplies saves time for professional and clerical personnel. Filing equipment used by the Defense Audiovisual Agency shall be efficient and economical to meet requirements. Filing equipment may not be requested solely to improve appearance, office decor, or to acquire the latest design. Used or reconditioned equipment shall be used when available. Excess equipment shall be returned to supply for redistribution.

b. Storing large amounts of blank forms, publications, and other office supplies in filing cabinets shall be avoided.

c. Acquisition and transfer of all filing equipment must be approved by the Activity Records Manager or the DAVA Records Administrator (see paragraphs 4-4 and 4-5).

4-3. Standard Filing Equipment:

a. Standard Equipment. Standard equipment listed in the GSA Store Catalog, Federal Supply Schedules, and the Defense Services Fund Catalog shall be used. Nonstandard equipment shall be obtained only when completely justified and the acquisition approved by the DAVA Records Administrator.

b. File Cabinets. Careful consideration shall be given to selecting the best file cabinets for a particular files operation. The 5-drawer filing cabinets have been standardized because they provide 25 percent more filing area in the same amount of floor space as the 4-drawer cabinets.

c. Containers for Safeguarding Classified Material. Classified documents and material shall be stored in security containers and filing equipment authorized by reference (f).

d. Shelf Files. Shelf filing equipment costs less than standard file cabinets, requires less office space, and permits ease of filing operations. Standard shelf filing equipment may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. They are not authorized for storage of classified material, unless the units are located within secured areas established and protected in accordance with reference (f). Shelf filing equipment shall be considered when the records total 50 cubic feet or more and when:

- (1) The purchase of filing equipment is contemplated.
- (2) Additional space for filing operations is required and only a limited amount of space is available.
- (3) The filing station is in a relatively permanent location.
- (4) The area is relatively free from excessive dust or other adverse conditions.
- (5) The area provides the degree of security required.

e. Legal-Size Equipment. No legal-size filing cabinets, shelving, safes, etc., will be purchased. If additional legal-size equipment is needed to expand existing filing systems before conversion, the equipment shall be obtained from the excess inventories maintained by the Federal Property Resources Service (GSA). Requests for legal-size equipment shall be submitted as prescribed in paragraph 4-4 below.

4-4. Requesting and Controlling Specialized Filing Equipment. Requests for specialized, nonstandard file equipment not listed in GSA or other government catalogs shall be submitted through the local Records Manager, who will review the request and files operations involved. Recommendation will be submitted to the DAVA Records Administrator, who shall review the requests and approve or disapprove. Recommended action shall then be forwarded to the appropriate supply officer.

4-5. Requisitioning File Cabinets. Requisitions for additional standard file equipment shall be submitted through the DAVA Records Administrator or Activity Records Manager, as appropriate, for recommendations to the appropriate supply officer. The DAVA Records Administrator or Activity Records Manager shall:

a. Survey the files of the requisitioning office to determine whether the requirement for additional space may be obtained by disposal of eligible records, and to ensure that existing equipment is properly utilized.

b. Ensure that all records maintained are included on the DAVA Form 16 and are maintained in accordance with the provisions of this manual.

c. Ensure that all eligible noncurrent permanent and long-term records have been retired to the appropriate records centers.

d. Ensure that secure filing equipment is utilized for storage of classified documents. Exceptions to this policy may be made when small amounts of unclassified files are stored in otherwise empty file space and additional file equipment would have to be obtained to comply with this manual. All security filing equipment not utilized for classified material shall be exchanged for nonsecurity equipment. The above provisions apply only to the control of existing equipment.

4-6. Files Supplies:

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

b. Conservation. Folders and guides shall be conserved by:

(1) Limiting the volume of material placed in folders and file drawers so that new materials may be inserted and withdrawn without damaging the folders, guides, and filed materials.

(2) Placing folders and guides in drawers so that their bottom edges rest flat on the drawer bottom.

(3) Reusing folders and guides whenever possible.

c. Legal-Size Supplies. Legal-size folders, guides, and other related supplies should not be purchased; However, if it is necessary to acquire legal-size supplies, then the procedures described in paragraph 4-4 shall be followed. Plans should be made to convert existing legal-size filing systems to letter-size standards.

Chapter 5

DISPOSITION PROCEDURES

5-1. General. The DAVA Records Management Program is designated to preserve records of continuing value; systematically eliminate all other records; and remove less active current records from office space to lower-cost storage space. This ensures preservation of permanent records, and reduces the cost and effort of recordkeeping. To achieve these objectives, standard procedures have been established for the disposition of all DAVA records.

5-2. Source of Retention Period. Retention periods for categories of DAVA files are published in the disposition instructions in chapter 9. Retention periods cited therein have been established in accordance with records management regulations approved by the Archivist of the United States. The DAVA Records Administrator will review recommendations for new or revised files disposition procedures and/or standards and, where appropriate, recommend final approval by the NARS, GSA.

5-3. Changes to Retention Periods. Retention periods are changed as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. Changes are applied in accordance with the following general rules:

a. Increased Retention Period. If the change increases the retention period, the new retention period shall be applied to all categories of files concerned, regardless of where they are maintained or when they were created. Those inactive and cutoff files affected by the change shall be brought under the new retention period.

b. Reduced Retention Period. If the change reduces the retention period, such period shall be applied retroactively, unless it is impractical or uneconomical. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on an individual basis, it would normally be more economical to retain the files for the longer period than to attempt to apply the change.

5-4. Disposition Instructions. The disposition instructions in chapter 9 provide the overall retention period for the files involved; for example, destroy after 2 years, destroy after 10 years, retire 3 years after cutoff. The disposal periods of retention normally shall be accomplished as shown in subparagraphs a through d, below. Examples of specific instructions containing exceptions to the general time periods and events are: "Destroy when registrant becomes 36 years of age; withdraw and destroy on departure of the individual; destroy when superseded; destroy after next survey." Following are examples of now disposition instructions are to read on file labels maintained on a calendar or fiscal year basis:

a. Files with 1-month Retention. Files having a retention period of 1 month or 30 days shall be cut off at the end of the month, held 1 month in current files area, and then destroyed. Example: COFF 30 Apr 83, DEST Jun 83.

b. Files with 3-month Retention. Files having a retention period of 3 months or 90 days shall be cut off at the end of each quarter, held 3 months in the current files area and then destroyed. Example: COFF 30 Jun 83, DEST Oct 83.

c. Files with 1-year Retention. Files having a retention period of 1 year shall be cut off at the end of the calendar or fiscal year, held in the current files area, and then destroyed. Examples:

Calendar year file: COFF 31 Dec 83, DEST Jan 85

Fiscal year file: COFF 30 Sep 83, DEST Oct 84

d. Files with 2-year Retention. Files having a retention period of 2 years shall be cut off at the end of the calendar or fiscal year, held in the current files area until the expiration of the 2-year period, and then destroyed. Examples:

Calendar year file: COFF 31 Dec 83, DEST Jan 86

Fiscal year file: COFF 30 Sep 83, DEST Oct 85

e. Files of 3 to 10-year Retention. Files having retention periods of 3 to 10 years shall be cut off at the end of the calendar or fiscal year; files will be held 2 years after cutoff in the current files area; and then transferred to the records holding/staging area, held until the retention period expires, and then destroyed.

f. Nonpermanent Files with a Retention of 11 Years or More. Files having a retention period of 11 years or more shall be cut off at the end of the calendar or fiscal year. Files will be held 5 years after cutoff in the current files area, and then transferred to the DAVA Records Administrator. These files will be reviewed and purged by the DAVA Records Administrator, and then retired to the appropriate FARC to be held until the retention period expires and then destroyed.

g. Permanent Files. Unless otherwise specified in the disposition columns in chapter 9, cut off permanent files at the end of the calendar or fiscal year. Files will be held 5 years in the current files area after cutoff and then transferred to the DAVA Records Administrator. These files will be reviewed and purged by the DAVA Records Administrator, and then retired to the appropriate FARC. Mark these files as follows:

(1) Calendar year file - COFF 31 Dec 83, TRF DRA Jan 89, Ret FARC Jan 89, Perm.

(2) Fiscal year file - COFF 30 Sep 82, TRF DRA Oct 87, Ret FARC Oct 87, Perm.

5-5. Disposition Procedures. HQ DAVA and all DAVA Activities shall:

a. Transfer all files described in paragraph 5-4f and g above to the DAVA Records Administrator. The accompanying SFs 135 will be annotated and returned to the appropriate DAVA Activities showing the location of the files.

b. Withdraw from the active file and destroy documents that are disposable upon an event or action and are superseded or obsolete. Examples:

(1) Destroy on supersession or obsolescence.

(2) Destroy on completion of posting to the proper form.

c. Terminate files that are disposable after a specific retention period following an event or an action, such as audit, final payment, or completion of a project, on the occurrence of the event, or accomplishment of the action. Terminate such files by withdrawing them from the active file, or in the case of large volumes, simply by discontinuing further filing with the files. Cut off inactive or terminated files and effect disposition in the same manner as for other files with the same retention period.

5-6. Retirement of CONFIDENTIAL and SECRET Files. When CONFIDENTIAL and SECRET files become eligible for retirement, HQ DAVA and all DAVA Activities shall observe security requirements of reference (f) when retiring them to the FARC. Packaging and shipping instructions for classified files are contained in chapter 6 of this manual.

5-7. Retirement of TOP SECRET Files. When TOP SECRET files become eligible for retirement, HQ DAVA and all DAVA Activities shall:

a. Take necessary action to ensure that all TOP SECRET documents eligible for retirement are reviewed for downgrading or declassification as required by paragraphs 3-400 and 3-402 of Section 4, chapter III, reference (f).

b. Retire TOP SECRET documents eligible for retirement as specified in chapter 9 and transfer them to the FARC under a separate accession number. Ensure that TOP SECRET documents are not included in accessions that are retired under an accession number identified as SECRET or below; to do so constitutes a security violation since special storage arrangements are made at the FARC for TOP SECRET documents.

c. Cross-reference downgraded or declassified TOP SECRET documents that formed a part of the files that have already been retired and sent to the records center by making an entry on the SF 135 which transmits the documents. On the SF 135, show the designation of the organization and administrative subdivision, the file number, and title of the file.

d. Staffs of organizations slated for discontinuance shall, prior to discontinuance, review all TOP SECRET documents for downgrading or declassification before shipping records to the FARC.

5-8. Transfer of Files. The transfer of files from one organization to another is permitted only when a transfer of functions from one component to another requires the transfer of files. The order directing the transfer of functions shall provide for the transfer of files. Records transmittal procedures, as outlined in chapter 6, shall be accomplished to document properly the files transfer.

5-9. Transfer to Other Government Agencies:

a. Transfer to National Archives of the United States. The policy of DAVA is to transfer all permanent files to the FARC at periodic intervals so that they may be incorporated in the permanent Archives of the United States. Although these files are normally transferred from FARC to the National Archives of the United States, some files are offered for direct transfer to the National Archives of the United States. Arrangement for the transfer of files and establishment of policies for their use are the responsibility of the DAVA Records Administrator.

b. Transfer to Other Agencies:

(1) GSA regulations prohibit the transfer of files from one government agency to another without prior approval of the Archivist of the United States, except when records are retired to a GSA records center; or the transfer of records or functions or both is required by statute, executive order, or by specific determination made thereunder.

(2) Authority to transfer DAVA records to another government agency must be obtained from the DAVA Records Administrator. Recommendations for transfer submitted to the DAVA Records Administrator shall include a concise description of the files to be transferred; 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.

5-10. Transfer of Audiovisual Records From DAVA Depositories to National Archives of the United States. The Depository Chief will prepare and forward, through the Chief Accessioner, to the Audiovisual Depository Operations Division (HQ DAVA-OPD) for coordination, a completed SF 258, Request to Transfer--Approval and Receipt of Records to the National Archives of the United States. After coordination, HQ DAVA-OPD will transmit the SF 258 to the DAVA Records Administrator for signature and transmittal to the National Archives of the United States. If the National Archives of the United States accepts the offer, the Depository Chief will transmit the records to the National Archives of the United States, together with a copy of all finding aids and completed SFs 135 and 135a, as appropriate. The Depository Chief will ensure that for each shipment of materials accepted by the National Archives of the United States, copies of finding aids, shipping documents, etc., will be retained by the Depository for future reference and audit purposes. If the National Archives of the United States rejects the offer, the Depository Chief will transmit to the National Archives of the United States a completed SF 115, Request for Records Disposition Authority, for those records not authorized for destruction on any NARS-approved DAVA Records Schedule, and coordinate with the originating Service and HQ DAVA-OPD for disposition of the rejected materials. A copy of the SF 115 will be furnished to HQ DAVA-RAP by HQ DAVA-OPD.

5-11. Disposition of Files and Changes of Status:

a. Transfer of Functions. When a function is transferred from one DAVA organization to another, the current files relating to the transferred function shall be transferred to the gaining organization, where they are maintained as a separate entity to preserve their administrative origin. Inactive (cutoff) files shall be transferred to the FARC. A list of the files transferred to the gaining organization, and a copy of the SF 135 listing the inactive files transferred to the FARC shall be furnished to the Records Manager of the gaining organization.

b. Redesignation or Reorganization. On redesignation without transfer of function, files shall be continued and cut off in the same manner as though no change had occurred.

c. Discontinuance of HQ DAVA or Any Other DAVA Activity. On discontinuance without transfer of functions, files not authorized for immediate disposition shall be retired to the designated records center. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission.

5-12. Disposition of Machine-Readable Records. Generally, disposition standards of machine-readable operating and master files will be determined by identification with the corresponding functional file designation in series 100 through 900 of chapter 9. Where two or more disposable functional file designations apply to a single machine-readable file, select the standard which requires the longer period prior to disposal. If the machine-readable file has no corresponding functional file equivalent, a National Archives appraisal is warranted.

a. Terminated nonpermanent machine-readable operating and master files (see chapter 9, series 1002 and 1003) will be stored by the automatic data processing (ADP) facilities manager under controlled environmental conditions. If the file is written on magnetic tape, the facilities manager will ensure periodic inspections, cleaning, and rewinding, as well as retention of the documentation necessary for data retrieval.

b. Terminated permanent machine-readable operating and master files on tape (see chapter 9, series 1002 and 1003) will normally be transferred to the National Archives as soon as practicable. Tapes to be transferred will be written at 1600/6250 bytes per inch (BPI) or other BPI prescribed by Federal Information Processing Standards (FIPS), in American National Standard Code for Information Interchange (ANSII), or Extended Binary Coded Decimal Interchange Code (EBCDIC). They will be stripped of all extraneous control characters except record length indicators (for variable length records). The tapes on which the data are recorded will be new or recertified tapes that have been passed over a tape cleaner before writing. They will be rewound under controlled tension. Documentation adequate for data retrieval will be transferred with the tapes and, as a minimum, will include a completed GSA Form 7036 (Magnetic Tape Inventory) accompanied by a record layout and a code book, and a completed GSA Form 7091 (Data Archives Inventory) or documentation containing equivalent information.

c. Terminated permanent machine-readable files on machine-readable media other than magnetic tape may be scheduled for transfer to the National Archives but, in most cases, must be converted to magnetic tape before the transfer takes place. Problems encountered due to lack of existing capability for conversion to magnetic tape, as specified in subparagraph b above, will be handled on an individual basis, and should be reported to the DAVA Records Administrator at least 30 days prior to the expected date for transfer to the National Archives.

5-13. Disposition Standards. The DAVA Records Administrator shall review recommendations for new or revised files disposition procedures or standards, and make recommendations for final approval to the NARS, GSA. The Records Managers of DAVA Activities shall:

a. Recommend to the DAVA Records Administrator when it is necessary to modify disposition procedures or schedules in chapter 9, explaining in detail why they should be changed.

b. Follow the format and writing style used in the descriptions and disposition instructions, in presenting recommendations relating to unidentified files, since the proposed standards may have DAVA-wide application.

c. Recommend to the DAVA Records Administrator establishment of disposition standards for files for which no instructions are provided. Include the following information:

- (1) Recommended file title.
- (2) A complete description of the file, including types of documents. Include samples.
- (3) Reference to the regulations, directives, or procedures that caused the creation of the records or file.
- (4) The function of the file document.

- (5) Recommended filing arrangement.
- (6) Recommended cutoff, transfer, and disposition instructions.
- (7) Volume created per year (cubic feet).
- (8) Present volume (cubic feet).

5-14. Damage to or Unauthorized Disposal of Records. The Director, DAVA, as head of a federal agency, is responsible for preventing unauthorized disposition of records, including all forms of mutilation and alienation of records. Unauthorized disposition is the removal from DAVA custody or destruction of records without regard to the provisions of the approved Records Disposition Schedules (chapter 9).

a. If any DAVA record is lost, damaged, or destroyed prior to the approved Records Disposition Schedules, make a reasonable effort to salvage, restore, or reconstruct it:

(1) Salvage/Restoration. Where the DAVA Activity Records Manager believes damaged records can be salvaged through restoration efforts, procedures should be initiated to accomplish this action. The DAVA Activity Records Manager will report to the DAVA Records Administrator the quantity and type of records damaged, the manner (fire, flood, etc.) and the extent of damage, and indicate if salvage and restoration efforts are not feasible or practical.

(2) Reconstruction. Record sets of publications and audiovisual products usually can be replaced by copies from reference collections or from stock. Other records may be reconstructed from extra copies or from other records containing the same information.

(3) Disposal. If salvage, restoration, or reconstruction of a damaged record is not feasible or practical, and if the DAVA Records Administrator approves, the DAVA Activity Records Manager directs its immediate disposal. Identify it as a lost or destroyed record on the SF 135 at the time of transfer of record of the same date period.

b. Reporting. The DAVA Activity Records Manager shall report any unlawful removal, defacing, alteration, or destruction of records in the custody of the Activity to the DAVA Records Administrator. Include in the report:

(1) A complete description of the documentation with the volume and dates, if known.

(2) The office of origin.

(3) A statement of the exact circumstance surrounding the alteration, defacing, or destruction of the records.

(4) A statement of the safeguards with specific procedures to be instituted to prevent further instances of loss of records.

c. Exclusions. Private or personal files are not governed by these provisions. Chapter 8 provides information on personal papers.

d. Any person or activity having knowledge of impending, actual, or threatened unlawful removal, defacing, alteration, or destruction of records must immediately notify the DAVA Records Administrator.

Chapter 6

PACKING AND SHIPPING PROCEDURES FOR TRANSFER OF RECORDS

6-1. Packing Records for Transfer to Federal Archives Records Center (FARC). Records are transferred in standard GSA cardboard cartons, each holding 1 cubic foot. The cartons shall accommodate either letter- or legal-sized material. Special containers may be obtained for oversized materials, punch cards, or magnetic tapes. Nonstandard boxes cannot be used.

6-2. Shipping Containers and Related Supplies. The standard record-shipping containers and related supplies described below will be used for transfer/retirement of records. Other boxes or supplies that may be required should be selected from the GSA stock catalog.

6-3. Requisitioning. Boxes will be obtained through normal supply channels.

6-4. Shipping Container for Letter-Size and Legal-Size Records. The standard record-shipping container to be used for the transfer/retirement of files is fiberboard; size 14 3/4 by 12 by 9-1/2 inches (NSN 8115-00-117-8344).

6-5. Shipping Container for Odd-Sized Documents. When records being shipped are too large or small for the container described above, the documents shall be securely packed and shipped in a manner that precludes damage en route. The following containers are recommended for the types of records indicated:

a. Fiberboard Box, 14 3/4 by 9 1/2 by 4-7/8 Inches. For shipping 3- by 5-inch card files when strips of cardboard are placed between rows of cards and wadded paper is used to fill any open space in the box. In addition, this box (NSN 8115-00-117-8338) is suitable for shipping punched cards.

b. Fiberboard Box, 30 by 12 by 5 Inches. A national stock number has not yet been assigned to this box. It is suitable for shipping rolled records (maps and plans) which may not be folded and shipped in the standard containers described in paragraph 6-2, above. Small quantities of rolled records may also be shipped in standard mailing tubes, NSN 8110-00-291-0345 (2-inches diameter), and NSN 8110-00-291-0348 (4 1/2-inches diameter).

c. Fiberboard Box, Special Purpose (Tuck Bottom) 14 3/4 by 11 3/4 by 11 3/4 Inches. For audiovisual documentation, such as photographic media (still pictures or motion pictures), sound recordings (such as magnetic/audiotapes), and videotapes (NSN 8115-00-117-8347).

d. Box, Fiberboard: 14 3/4 by 6 1/2 by 4 1/2 Inches. For microfiche records (NSN 8115-01-025-3254).

6-6. Listing Records for Transfer or Retirement. Files to be transferred or retired shall be identified on SF 135, Records Transmittal and Receipt. When more than one page is required, SF 135A, Record Transmittal and Receipt (Continuation), is used. The SF 135 serves as a packing list for the transfer and retirement of files; a medium for controlling the location and disposition of files in records holding/staging areas and FARC; and a receipt for records retired to FARC.

6-7. Transfer to Records Holding/Staging Areas:

a. Only files of 3- to 10-year retention will be transferred to records holding/staging areas. These shipments shall be approved by the DAVA Records Administrator or appropriate Activity Records Manager and listed on SF 135, prepared in duplicate according to instructions in paragraph 6-9d below. See paragraph 5-5a for additional guidance.

b. Distribution of Consolidated Records Transmittal List:

(1) The original and one copy will be forwarded to the records holding/staging area.

(2) Triplicate copy will be retained by the office transferring the files.

6-8. Transfer of Records to Other External Organizations:

a. Unclassified files transferred to other external organizations as a result of a transfer of functions, or for other reasons, shall be approved by the DAVA Records Administrator and listed on SF 135, prepared in quadruplicate according to instruction in paragraph 6-9e below.

b. Distribution of Consolidated Records Transmittal List:

(1) The original and duplicate copies will be forwarded to the receiving organization.

(2) Triplicate copy will be retained by the Activity Records Manager.

(3) Quadruplicate copy will be forwarded to the DAVA Records Administrator.

6-9. Records Transmittal Lists for Retirement of Records to the Federal Archives and Records Center:

a. Assigning Responsibility for Retiring Records to a Federal Archives and Records Center (FARC). In HQ DAVA and DAVA Activities, the element that manages the Records Management Program will normally be responsible for ensuring records are retired.

b. Separate Transmittals:

(1) A separate SF 135 shall be prepared for the following categories of records to be retired to a FARC:

- (a) Classified permanent records.
- (b) Unclassified permanent records.
- (c) Classified temporary records.
- (d) Unclassified temporary records.

(2) Records from one group cannot be mixed with another group in the same shipment. Each group, however, may contain both single-series records shipments and mixed series records shipments.

(3) Records accumulations of one box or more of a records series (file number) per year by a DAVA element will be retired as a single-series records shipment. A sample SF 135 illustrating this type shipment is at figure 6-1.

| RECORDS TRANSMITTAL AND RECEIPT | | | | | | | | | | Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse. | PAGE 1 | OF 1 PAGES | | | |
|---|--------|---|-----|--|---|--|------------|---|---------------|---|----------|------------|----------|--------|--|
| 1. TO (Complete the address for the appropriate records center serving your area) Federal Archives and Records Center General Services Administration Enter appropriate addressee. | | | | | 5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.) HQ Defense Audiovisual Agency ATTN: HQ DAVA-RAP/Records Administrator Norton AFB, CA 92409 | | | | | | | | | | |
| 2. AGENCY TRANSFER AUTHORIZATION | | TRANSFERRING AGENCY OFFICIAL (Signature and title) Chief, Administrative Services Division | | | DATE 1 Oct 82 | | | | | | | | | | |
| 3. AGENCY CONTACT | | TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Randy Gullev, Records Mgt Branch, AV 876-2096 | | | | | | | | | | | | | |
| 4. RECORDS CENTER RECEIPT | | RECORDS RECEIVED BY (Signature and title) | | | DATE | | | | | | | | | | |
| 6. RECORDS DATA | | | | | | | | | | | | | | | |
| ACCESSION NUMBER | | VOLUME BOX NUMBERS | | SERIES DESCRIPTION (With inclusive dates of records) | | | RETIREMENT | DISPOSAL AUTHORITY (Schedule and item number) | DISPOSAL DATE | COMPLETED BY RECORDS CENTER | | | | | |
| RG (a) | FY (b) | NUMBER (c) | (d) | (e) | | | (f) | (g) | (h) | LOCATION (i) | DATE (j) | BY (k) | DATE (l) | BY (m) | |
| | | | 2 | 1/2 | Enter Privacy Act information here if any records listed hereon are subject to the Act. Enter the name and location of the organization that created the records here. Enter any historical data involving the organization that created the records here. <u>Administrative Services Division</u> | | | | DAVA 5015.2-M | | | | | | |
| | | | | 2/2 | Records Management Survey Files Norton Activity Tobvanna Activity Washington Activity Records Management Program Files | | | N | FN 208-01 | Jan 89 | | | | | |
| | | | | | | | | N | FN 208-10 | Jan 89 | | | | | |

Figure 6-1. Entries on SF 135.

(4) Records accumulations of less than one box of a records series (file number) per year by a DAVA element will be retired as a mixed-series records shipment. A mixed-series records shipment cannot exceed one box and must contain records having the same disposal date. Records comprising this shipment will be packed in Agency order sequence when the same records holding/staging area supports elements of the same organization. A sample SF 135 illustrating a mixed-series shipment of permanent unclassified records is at figure 6-2; and a sample of a mixed-series shipment of temporary unclassified records is illustrated at figure 6-3.

(5) There is no limit to how many single-series records shipments or mixed-series records shipments can be made by the DAVA Records Administrator/Activity Records Manager.

c. Preparing SF 135 and 135A, Records Transmittal and Receipt:

(1) All original copies of the forms will be fastened together in box number sequence. Other copies of the forms will be fastened together in the same manner. One copy of the list will be placed in the first box of the shipment before the records are transmitted to the DAVA Records Administrator. NOTE: SF 135 is not required for retiring Official Military Personnel File/Military Personnel Records Jacket, Official Personnel Folders and Acquisition and Separation X-ray Files; instead, letters of transmittal containing a description of the records will be accomplished in lieu thereof. No advance notice of shipment is required.

(2) The policy for assigning a security classification marking to SF 135 and 135A is stated in subparagraph i below.

(3) SF 135 and 135A will describe records in sufficient detail to permit rapid retrieval of specific documents within statutory time limits imposed by references (g) and (h). Files that are not internally sequenced by name or number on each file folder should be described on the SF 135 or 135A to ensure little or no difficulty in finding them. The DAVA Activity retiring the records is responsible for retrieval to meet Freedom of Information Act and Privacy Act requests.

| ACCESSION NUMBER | | VOLUME (or FILE) | AGENCY BOX NUMBERS | SERIES DESCRIPTION (With inclusion date of records) | RETIREMENT DATE | DISPOSAL AUTHORITY (Schedule and item number) | DISPOSAL DATE | COMPLETED BY RECORDS CENTER | | | | | |
|------------------|--------|------------------|--------------------|---|-----------------|---|---------------|-----------------------------|--------------|----------|----------|----------|--------|
| RG (a) | FY (b) | | | | | | | NUMBER (c) | LOCATION (2) | SHUL (3) | PLAN (4) | DATE (5) | BY (6) |
| | | 1 | 1/1 | Enter Privacy Act Information here if any records listed hereon are subject to the Act. Enter the name and location of the organization that created the records here. Enter any historical data involving the organization that created the records here. Mixed Series HQ Defense Audiovisual Agency | | DAVA 5015.2-M | | | | | | | |
| | | | 1/1 | FOIA Report Files. 1982 | N | FN 210-05 | Perm | | | | | | |
| | | | 1/1 | System Report and Notice Files. 1982 | N | FN 209-03 | Perm | | | | | | |
| | | | 1/1 | Emergency Planning Files. 1982 | N | FN 203-02 | Perm | | | | | | |

Figure 6-2. Mixed Series Shipment of Permanent Unclassified Records.

| ACCESSION NUMBER | | VOLUME (inv. #) | AGENCY BOX NUMBERS | SERIES DESCRIPTION (With indicative dates of records) | RESTRICTION | DISPOSAL AUTHORITY (Schedule and item number) | DISPOSAL DATE | COMPLETED BY RECORDS CENTER | | | | | |
|------------------|--------|-----------------|--------------------|--|-------------|---|---------------|-----------------------------|--------------|------------|----------|--------------|-------------|
| RG (a) | FY (b) | | | | | | | NUMBER (c) | LOCATION (j) | SERIAL (k) | DATE (l) | INITIALS (m) | REMARKS (n) |
| | | | | Enter Privacy Act Information here if any records listed hereon are subject to the Act. Enter the name and location of the organization that created the records here. <u>Contract Management Branch</u> | | | | | | | | | |
| | | 1 | 1/1 | Determinations and Findings Files Filed Alphabetically. FY 1982 | N | FN 801-02 | 10/88 | | | | | | |
| | | | 1/1 | Contract Review Files. FY 1982 | N | FN 801-03 | 10/88 | | | | | | |
| | | | 1/1 | Contracting Officer Designation Files Filed Alphabetically FY 1982 | N | FN 801-09 | 10/88 | | | | | | |

Figure 6-3. Mixed Series Shipment of Temporary Unclassified Records.

(4) Prepare by typewriter a separate SF 135 for each records shipment. Use SF 135A as a continuation sheet.

(5) Make four copies of each. If the shipment contains records of a discontinued element, prepare five copies (see subparagraph e below).

d. Entries (shown at figure 6-1):

(1) Item 1. Under "General Services Administration," enter the address of the addressee (e.g., RHA, RSA, DRA, etc.).

(2) Item 2. Enter the name and title of the agency official authorizing retirement of the records. That person will also sign in this block. Enter the current date.

(3) Item 3. Enter the name, office, and telephone number of the custodian of the records.

(4) Item 4. Leave blank.

(5) Item 5. Enter the complete address of the element assigned responsibility for retiring records to the addressee.

(6) Items 6(a), (b) and (c). Leave blank.

(7) Item 6(d). Enter the quantity of boxes in the shipment. A partially filled box will be counted as one box. If records are not packed in the standard boxes described in paragraphs 6-4 through 6-5, enter the cubic feet of records.

(8) Item 6(e). Enter the number of each records box in relation to the number of boxes in the shipment (e.g., 1/4, 2/4, 3/4) beginning with box 1. If it is a mixed-series shipment, enter MIXED SERIES.

(9) Item 6(f). If the records are subject to the Privacy Act, the first entry will address this. The pertinent information required by reference (h) must be included identifying the system of records. Enter the statement: "These records are in addition to a records system previously retired to the FARC; and the information previously submitted by HQ DAVA is still applicable." If the files are a system of records as defined in reference (h) and are not covered by a system notice in the Federal Register, retirement will be deferred and HQ DAVA-RAP, Norton AFB, California, 92409, will be promptly notified through channels. HQ DAVA-RAP will arrange for preparation of an applicable system notice or provide special maintenance and disposition instructions. Enter the name and location of the organization that created the records. The name of the organization may differ from the one shown in item 5. Enter any historical data involving the organization that created the records. Include dates and authorities for events. Examples are: Activation, changes of command channels, names, and locations of next higher headquarters and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, mission changes, redesignation, permanent change of station, discontinuance, disbandment, and inactivation. When records from multiple organizations are listed on the same SF 135, enter the historical data after the title and location of the organization. Enter the complete title of the organizational element that created the records. Enter the file title, arrangement of the records, and year. The title will be the same as that shown in chapter 9. If the file series is contained in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(10) Item 6(g). Enter the proper coding to indicate any restriction on the use of the records. The restrictions are listed and explained on the reverse side of SF 135. Any special restrictions should be specified in item 6(f).

(11) Item 6(h). Enter the appropriate directive number on the first line.

(12) Item 6(i). Enter the month and year in which the records may be destroyed (e.g., Jan 86, Oct 88, or 1/86, 1/88). If the records are permanent, enter "Perm."

(13) Item 6(j), (k), (l), and (m). Leave blank.

e. Distributing Completed SF 135 and 135A:

(1) Forward original and two copies to the FARC in time to arrive at least 2 weeks prior to the desired date of shipment of the records. One copy will be retained by the office retiring the files. The FARC annotates the lists with accession number and, in some cases, shelf location information and returns two copies to the agency, indicating approval for retirement of the records. If the FARC's approved SF 135 is not received within 30 working days, notify HQ DAVA-RAP by telephone (AUTOVON 876-2096).

(2) Place one copy in box number 1 of the records shipment.

(3) Send one copy of each approved SF 135 listing records transferred to a Federal Archives and Records Center to HQ DAVA-RAP, Norton AFB, California, 92409.

(4) Send one copy to the Records Administrator of the next higher headquarters when records of a discontinued agency/activity are listed.

f. Receipts for SECRET Documents. HQ DAVA Assistant Directors, Comparable Office Chiefs, or Activity Chiefs will decide if SECRET documents being retired must be identified individually. If so, each document must be listed separately on the SF 135 and 135A. The FARC will sign this form as receiving the cartons, but will not acknowledge receipt of individual documents or sign other types of classified document receipts. Where practical, documents will be retained until downgraded to CONFIDENTIAL or declassified.

g. Packing the Cartons:

(1) Before placing records in the GSA cartons, HQ DAVA and all DAVA Activities shall make sure that any records eligible for destruction are destroyed as authorized in the Records Disposition Schedules (chapter 9).

(2) Records shall be packed snugly in the box as shown in figure 6-4, but not forced. Existing filing arrangement shall not be disturbed to make future reference easier. Fairly active files shall be packed less tightly than files not expected to be referred to often.

(3) Records having different retention periods will not be packed in the same box, nor have the same accession number. The Records Disposition Schedules in chapter 9 specify retention periods.

h. Labeling and Transferring the Boxes. The information printed on the end of the box shall be completed in black grease pencil or crayon, and include the accession number, carton number, and office name or designation. Magic markers or felt markers may not be used to mark the boxes because the ink fades. The accession number shall be entered in the upper left corner of each box and the boxes shall be numbered consecutively in the upper right corner of the front end of the box, starting with "No. 1" for each accession number. Each series of records transferred shall be assigned a separate accession number.

i. Transfer of Classified Security Information:

(1) When eligible for retirement, classified records, like unclassified records, shall be transferred to the FARC. In filling out the SF 135, column 6(g) (Restriction), must be completed to indicate the classification of the records being transferred. In column 6(f) (Series Description), care shall be taken in describing the records so as not to include any classified information in the description of the file.

(2) Before transferring classified material, ascertain whether or not the material can legitimately be downgraded in accordance with Section 4, paragraph 3-402, chapter III, reference (f), or destroyed.

(3) According to FARC instruction, the boxes must not be stamped with the security classification. However, reference (f) requirements for safeguarding classified material must be followed when classified material is packed in boxes. Reference (f) must be complied with before transfer or disposition of any classified material. Boxes containing classified data must be taped closed (see figure 6-5), taking care not to cover the informational matter listed on the outside of the box. If the boxes are not transferred to the HQ DAVA-RAP, Administrative Services Division, but shipped to the FARC, ensure the provisions of chapter VIII of reference (f) are complied with.

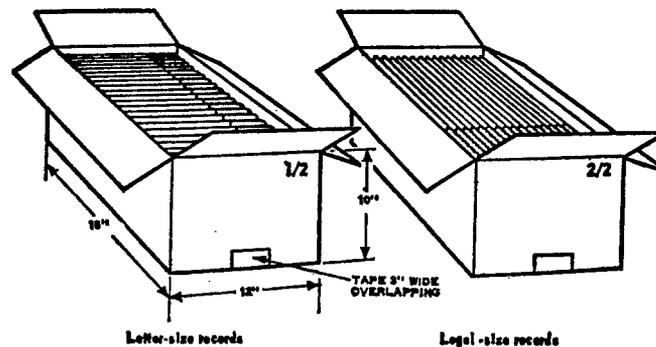


Figure 6-2. Packing Arrangement for Records Transfer or Retirement.

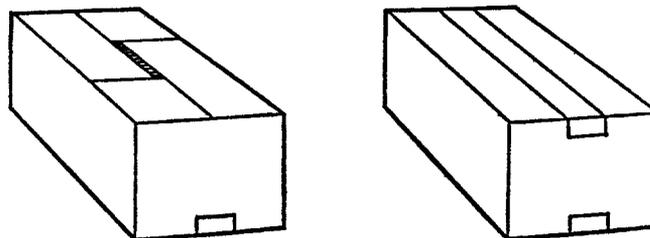


Figure 6-3. Methods of Closing Top Flaps of Boxes for Transferring Records to a Records Holding/Staging Area.

(4) TOP SECRET material can be transferred to the FARC. The SF 135 is completed in the usual manner except that the continuation sheet lists the TOP SECRET documents under each subject and file number to facilitate identification for possible future downgrading. Classified titles are not listed since the SF 135 must be unclassified. TOP SECRET material is not filed in any accession identified as SECRET or below in classification. The FARC provides separate storage for TOP SECRET. Failure to retire TOP SECRET documents under a properly identified TOP SECRET accession number constitutes a security violation.

6-10. Material that Should be Destroyed. All eligible records are identified in accordance with the disposition schedules contained in chapter 9. Destroy obsolete reference material, such as extra copies of speeches, staff papers, news releases, blank forms, reports, and publications. Extra carbon copies should be eliminated.

6-11. Packing Procedures. The instructions contained in this paragraph govern the arrangement and packing of files for retirement and transfer to the FARC.

a. General. Regardless of the type of container used for files, containers shall be filled with only one row of file folders.

b. Arrangement in Fiberboard Boxes. Files will be packed as follows:

(1) Letter and legal-size files shall be packed in fiberboard boxes.

(2) The dimensions of the corrugated fiberboard boxes are such that when the containers are filled to capacity with files, no packing material is required between the files and the inner walls of the box. When it is necessary to ship partially filled boxes, the space between the files and the inner walls of the box is packed with crumpled or wadded paper or other suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, or surplus file folders will not be used as packing material.

(3) Boxes may be filled to capacity whenever sufficient files are available. However, care must be exercised to ensure that boxes are not packed so tightly that files cannot be serviced while in the container, or that it prevents the box from being closed completely with the flaps flat.

c. Packing of Files for Retirement. Permanent files and files having a disposition date shall be packed in separate boxes when they are retired to a FARC.

6-12. Packing and Shipping Classified Files. The instructions contained in this paragraph govern the packing and shipping of files classified SECRET and CONFIDENTIAL. The shipment of large quantities of unclassified material in classified shipments is prohibited.

a. For shipments of 10 cubic feet or less containing 50 percent or more unclassified material, the unclassified material is segregated and forwarded as an unclassified shipment.

b. For shipments in excess of 10 cubic feet containing 25 percent or more unclassified material, the latter material is segregated and forwarded as an unclassified shipment.

c. Machine-readable classified tapes which have been designated for transfer to the National Archives will be maintained in the Agency ADP facility until declassification can be accomplished. While in the ADP facility, the provisions of paragraph 5-12a will apply. Upon declassification, transfer tapes in accordance with paragraph 6-13.

6-13. Packing and Shipping Procedures for Transfer of Permanent Machine-Readable Operating and Master Files to the National Archives:

a. Prior to packing, tapes will be prepared for transfer in accordance with the procedures outlined in paragraph 5-12b.

b. File identification should be ensured through the proper external labeling of each reel of tape. External labels should include the name of the organizational unit responsible for the data, file title(s), and dates of coverage. Technical information should include the recording density (9 track 800, 1600, 6250, etc.), the type of internal labels (OD, DOS, none, etc.), the data set name if applicable, volume serial number, and the reel number if the file represents a multi-reel set (1/3, 2/3, 3/3, etc.).

Chapter 7

RECALL OF RECORDS

7-1. Officials Authorized to Make Recall. The DAVA Records Administrator shall maintain an up-to-date list of individuals authorized by each DAVA Activity to recall its records. This list shall be provided to the FARC and corrected as changes occur. Only these individuals and the DAVA Records Administrator may recall records. Similarly, each DAVA Activity designee is responsible for recalling and returning its own records.

7-2. Recall Procedures. To obtain reference service on records at the FARC, Optional Form (OF) 11, Reference Request - Federal Records Center, is completed. A separate form is used for each item requested showing the accession number, box number, records center location (as shown on SF 135 file), name, address, and telephone number of the requester. The completed form is mailed to the appropriate FARC.

Chapter 8

DISPOSITION OF PERSONAL PAPERS

8-1. Personal Papers. Are those pertaining solely to an individual's private affairs. Correspondence designated "personal," "confidential," or "private," but relevant to the conduct of public business is, nonetheless, an official record subject to the provisions of chapter 31, reference (c), pertinent to the maintenance and disposal of such records. Official records are public records and belong to the office, rather than to the official.

8-2. Personnel Assigned to DAVA. DAVA personnel shall maintain separately from official documents those papers of a private or unofficial nature pertaining only to their personal affairs, and clearly designate them as nonofficial. Official business mentioned in personal correspondence shall be extracted and made a part of the official record.

8-3. Presidential Appointees and Other Officials in Policymaking Positions. They may donate personal papers and extra copies of official papers which they created or acted upon during their term of office to a Presidential Library or NARS for historical retention. After retirement, the donor may have regular access to these documents, including those that are classified, and has the prerogative of restricting access thereto to others without his or her authorization.

8-4. Removal of Documents by DAVA Officials:

a. Documents which MAY NOT be Removed:

- (1) The official record copy of any document.
- (2) Any classified document.
- (3) Any "Restricted Data" document.
- (4) Diaries that contain official schedules of meetings, appointments, field trips, or other official activities. These are considered official documents and shall be maintained accordingly.
- (5) Any copy of a document containing the following types of information exempt from public release under reference (g) (sometimes stamped "FOR OFFICIAL USE ONLY"), whether the official records copy or an extra copy:
 - (a) Records containing trade secrets and other commercial or financial information of a "company proprietary" nature.
 - (b) Records containing information which may not be made public without violating statutory prohibitions.
 - (c) Records containing information from personal, medical, and similar files which relate to the personal privacy of individuals.
 - (d) Records containing information developed in the course of investigations for purposes of civil or criminal law enforcement.
- (6) Any material, including nonrecord, if it creates a gap in the files and impairs the logical sequence of the essential documentation.
- (7) Any document required to transact official business of the Department of Defense; and any document required to assist in the decisionmaking process.

b. Documents which MAY be Removed:

- (1) All personal and private papers which do not contain references to official business.
- (2) Personal diaries, logs, handwritten notes, and memorandums or tapes of personal telephone calls, provided all official information has been incorporated in a memorandum for the record and placed in the appropriate official file.
- (3) Reference books and other personal items brought from private life.

(4) Extra copies of papers which the official has drafted, reviewed, or otherwise acted upon, provided that such retention would not diminish the official records of the Defense Audiovisual Agency or violate confidentiality required by national security provisions, privacy, or other interest protected by law.

8-5. Statutory and Regulatory Limitations:

a. Official Information Classified Pursuant to Executive Order 12065 (reference (i)). There is no provision for removal of classified material by a retiring official. Downgrading is permissible, if appropriate. Criminal statutes stipulate penalties for such removals. Limited arrangements for access for historical research purposes are allowed under Section 12 of reference (i).

b. "Restricted Data" Under the Atomic Energy Act of 1954, as amended. No matter what its form, "Restricted Data" may not be removed. Criminal penalties apply to violations.

c. Records. Material which falls under the statutory definition of "Records" may be disposed of only with the approval of the ASD(A), ASD(C), and the Administrator of the General Services, as specified in chapter 33 of reference (c), through procedures prescribed in reference (d), and in the DAVA Records Disposition Schedules (chapter 9).

d. Mutilation and Destruction of Records:

(1) The heads of federal agencies are responsible for preventing the unlawful removal, defacing, alteration, or destruction of records under sections 2905 and 3106, reference (c).

(2) The penalties for the willful and unlawful destruction, damage, or alienation of federal records are contained in reference (j).

(3) Private files are not governed by these provisions.

Chapter 9

THE DEFENSE AUDIOVISUAL AGENCY FUNCTIONAL FILE SYSTEM

9-1. Purpose. This chapter contains instructions for the procedures to be used in the implementation of the DAVA Functional Files System.

9-2. Principles of DAVA Functional File System. This file system is based on the principle that each DAVA organizational element or office accumulates records documenting more than one specific function or subfunction as a result of performing administrative duties, actions, and transactions pertinent to its mission. Functions may include files to procure supplies, allot funds, pay employees, or other similar processes and operations. For example:

a. The following functions may be performed in the Administrative Services Division in the accomplishment of its basic mission.

- (1) Conduct records management surveys.
- (2) Direct the DAVA Activity's Records Management Program.
- (3) Plan the Vital Records Program.
- (4) Process records transferred to the records holding/staging areas.
- (5) Issue local guidance relating to the Records Management Program.

b. File series numbers which identify records for the above functions are contained in Series 200, Administration Files.

c. In addition to the records documenting the performance of mission functions, the Administrative Services Division will create records for the administration of the office. These files are commonly known as housekeeping files and relate to requests for furniture, equipment, and supplies required to operate the office; instructions on office operating procedures and staff duty assignments; participation in charitable fund drives; and allocation of funds and personnel to operate the office.

d. Housekeeping files are not directly related to the mission function of an office. File numbers are contained in Series 100, Office Housekeeping Files. This series also provides a source of general information.

9-3. Major Functional File Areas. File numbers, descriptions, and retention periods relating to the maintenance of files are contained herewith. The major functional file areas are identified in the following functional series:

| | |
|--|-------------|
| Office Housekeeping Files | Series 100 |
| Administration Files | Series 200 |
| Comptroller and Manpower Files | Series 300 |
| General Counsel and Public Affairs Files | Series 400 |
| Security and Protective Services Files | Series 500 |
| Civilian, Military, and General Personnel Management Files | Series 600 |
| Audiovisual Files | Series 700 |
| Logistics, Acquisition, Engineering, Maintenance, and | Series 800 |
| Safety Files | |
| Facilities Files | Series 900 |
| Data Processing Systems, Procedures, and Operations Files | Series 1000 |

9-4. File Number Series:

a. File numbers assigned to a file series serve to identify the documents it describes for filing and reference and represent the disposition authority. File numbers by their composition represent three significant elements: The major or primary functional series, the subdivision of the file series, and the numerical sequence in which the file is described under the subdivision.

b. Each file accumulated by an organizational element will be assigned a series file number. First, determine the major or basic functional series represented by the document to be filed. Second, turn to the appropriate series of this chapter and search for the file number description that best describes the document to be filed.

9-5. Unidentified Files. A description for most files on hand may be found in the file description number in Series 100 through 1000. Some groups of records are not described because the organizational element may be performing a function which is uncommon to the mission of DAVA, or functions had not been established, initiated, or known at the time of publication of this manual. In this case, the appropriate records management official will be consulted for assistance.

9-6. General Records Schedule (GRS). Some of the disposition instructions within this chapter have a GRS number assigned. These GRS numbers apply only to the DAVA Records Administrator and NARS.

DAVA FUNCTIONAL FILE SYSTEM
SERIES 100
OFFICE HOUSEKEEPING FILES

1. Office Housekeeping Files described in this series relate to the performance of administrative housekeeping operations within an office; provide a source of general reference material; and accumulate as a result of following procedures which are required or are an inherent part of normal operations of any office, regardless of mission function.
2. These files most frequently accumulate in offices of administrative assistants, chief clerks, or other individuals responsible for administrative matters of the office. The term "office" as used in this series means staff, directorate, department, division, branch, section, or lower organizational subdivisions.
3. These files have been assigned the basic series number "100." File numbers, title descriptions, retention periods, and disposition standards are contained in the following subgroups.

- 101 - Office General Administrative Files
- 102 - Office Personnel Files
- 103 - Office Reference Files
- 104 - Office Security and Classified Document Control Files

101 - OFFICE GENERAL ADMINISTRATIVE FILES

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The files in this subgroup relate to the performance of routine administrative operations in obtaining service-type actions from the organizational element responsible for providing them.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|--|
| 101-01 | <u>FUNCTIONAL FILLS PLAN.</u> Forms used to identify all records for which the office has responsibility. These schedules provide an efficient system for maintaining, programing, and disposing of records. | Destroy when superseded, obsolete, or no longer needed. NOTE: List of files maintained may be filed in the front cabinet drawer; however, a list will be maintained within this file number also. | |
| 101-02 | <u>SUSPENSE FILES.</u> Papers arranged in chronological order as a reminder that an action is required on given date; a reply to an action is expected (a transitory paper being held for reference). | a. Extra copies of communications forms, notes, etc.: Destroy when action is completed. b. File copies of transitory communications: Destroy when purpose has been served, or file with transitory material. c. File copies on nontransitory communications: Incorporate and retain with appropriate record copies of action. d. A note or other reminder to take some other action: Destroy after action is taken. | 23/3b 23/3b 23/3b 23/3a |
| 101-03 | <u>GENERAL OFFICE MANAGEMENT FILES.</u> Documents relating to the internal management or general administration of an office. Included are documents: a. Concerning internal procedures, hours of duty, and individual duties that do not have continuing applicability. b. Relating to participation in charitable affairs, such as blood donations and contributions to philanthropic or charitable associations. c. Concerning participation in public relations and information activities, such as open house programs and special events. | Destroy after 1 year. | |

d. Concerning tests of civil defense, fire or comparable emergency evacuation procedures.

e. Relating to protective services, parking, traffic control, and allied matters.

f. Relating to safety within the office, such as copies of minutes of safety meetings, notification of safe and unsafe practices, and comparable documents.

g. Relating to the office's involvement in inventory reports and forms, publications, records, and reports management. Excluded are papers which relate to the initiation of specific items pertaining to the performance of mission functions.

h. Relating to the routine use of automatic data processing but not documents concerning the employment of automatic data processing for performing specific mission functions or processes thereof.

i. Similar to the categories listed above that do not pertain to the performance of the mission functions and are not described elsewhere.

101-04 OFFICE INSPECTION AND SURVEY FILES. Reports, communications, and documents pertaining to office inspections and surveys of records, reports, safety, security inspection reports, forms, and similar actions.

Destroy after next comparable survey or inspection.

101-05 OFFICE INSTRUCTION FILES. Documents relating to the preparation and issuance of memorandums and instructions applicable only to internal administrative practices and functions within the preparing office. This file number is not applicable to instructions that are issued on a DAVA-wide or DAVA Activity-wide basis or to instructions concerning the performance of mission functions.

Destroy when superseded or obsolete.

FILE
NUMBER

DESCRIPTION

DISPOSITION

GRS

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|------------------------|--|--|------------|
| 101-06 | <u>OFFICE ORGANIZATION FILES.</u> Documents relating to the organization and functions of an office (to include staff office, division, or branch, etc.), such as copies of documents which are duplicates of those in Comptroller Office, pertaining to Manpower; for example, functional statements; documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; tables of distribution and allowances; and similar papers. Included are documents reflecting minor changes in the organization of the office made by an office chief and do not require evaluation and approved by the comptroller-type office. | Destroy when superseded, obsolete, or no longer needed for reference. | |
| 101-07 | <u>OFFICE RECORD LOCATOR FILES.</u> Documents used to used to locate files that have been transferred to the records holding/staging area or retired to a records center. Included are retained copies of records shipment lists. Card indexes to individual mission record groups will not be identified as locator files but as reference paper files to the mission records. | Destroy shipment lists when records reflected thereon have been destroyed. | |
| 101-08 | <u>OFFICE ROUTINE CONTROL FILES.</u> Job control records status cards, routing slips, word processing sheets, correspondence control forms, receipts for records chargeout, and other similiar records used solely to control work flow and to record routine and merely facilitative actions taken. | Remove from related records and destroy when work is completed or when no longer needed for operating purposes. | 23/5 |
| 101-09 | <u>OFFICE FINANCIAL FILES.</u> Documents that relate to funds incidental to the performance of office mission. For example: itineraries and cost estimates for travel; notifications to budget offices for funds required for travel; requests for long-distance telephone funds; notifications from budget offices of available telephone funds; reports of long-distance telephone calls; and receipts for pay check and savings bond distribution to individual employees. | Destroy after 1 year. | |
| 101-10 | <u>OFFICE SERVICE AND SUPPLY FILES.</u> Documents relating to ordinary supplies and equipment; office space and utilities; and communications, transportation, custodial, or other services required by or for the general maintenance of an office. Included are documents and papers relating to: | Destroy 1 year after completion of action. Except pinpoint distribution files will be destroyed when superseded or obsolete. | |

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- a. Requests and receipts for supplies or equipment and similar papers.
- b. The issuance of keys and/or locks.
- c. The supply and distribution of publications and blank forms.
- d. Local transportation and drayage services.
- e. Required custodial services.
- f. Requirements for office space, office layouts, use of office space, or comparable matters.
- g. Telephone installation requests, floor plans showing location of office telephone extensions, requests for change to telephone directories, and similar papers.
- h. The modification, repair, or change of office heating, lighting, ventilation, cooling, electrical, and plumbing systems.
- i. Painting, partitioning, repairing, or other aspects of maintaining the office's physical structure.
- j. Other logistical-type services required.

- | | | |
|--------|--|---|
| 101-11 | <u>OFFICE PROPERTY RECORD FILES.</u> Cards, lists, hand receipts, or comparable documents showing accountable property charged to an office. | Destroy when superseded, obsolete, or when the property is turned in, whichever is first. |
| 101-12 | <u>OFFICE EQUIPMENT APPROVAL AND UTILIZATION FILES.</u> Documents related to approval and use of office property. Included are documents reflecting approval of such items of equipment as office copiers or nonstandard filing equipment. Records of individual and cumulative repairs, adjustments, and usage of items of office equipment, and other related documents. | Destroy when superseded or when records have served their intended purpose. |
| 101-13 | <u>OFFICE MANAGEMENT SYSTEM FILES.</u> Document related to the use and approval of office management systems. Included are documents reflecting approval of a miniaturization system, a word processing system, or similar system. | Destroy when system is no longer in effect. |
| 101-14 | <u>OFFICE SPACE ASSIGNMENT RECORD FILES.</u> Documents reflecting administrative space assigned to an office. Included are space assignment records and similar or related documents. | Destroy when superseded or obsolete. |

102 - OFFICE PERSONNEL FILES

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The files described in this subgroup are used by supervisors in the administration of their personnel.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 102-01 | <u>OFFICE GENERAL PERSONNEL FILES.</u> Documents that relate to day-to-day personnel administration in individual offices; for example, copies of and paper relating to time and attendance reports, overtime work, work attendance, holidays, athletic events, employee unions, medical services, training, and related subjects. Lists of individuals authorized to receive these services will also be included. | Destroy after 1 year. | |
| 102-02 | <u>OFFICE PERSONNEL REGISTER FILES.</u> Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure on leave, and temporary duty travel. | Destroy after 6 months. | |
| 102-03 | <u>OFFICE PERSONNEL LOCATOR FILES.</u> Documents reflecting the name, address, telephone number, and similar data for each employee. | Destroy on separation or transfer of the individual. | |
| 102-04 | <u>SUPERVISOR/MANAGER CIVILIAN RECORD FILES.</u> Documents containing information pertaining to individual civilian employees which are duplicated in or generated in support of actions recorded in the Official Personnel Folder (OPF) or related personnel files maintained in a civilian personnel office. Each file is maintained by employee name and contains: a. Cards that provide complete information relative to employees, positions, and action in process. Included are Standard Form 7B (Service Record) and DD Form 1435 (Cryptographic Maintenance Training and Experience Record), when required. b. Notices that individuals have been cleared for access to classified material, other documents related to personnel security, retained copies of reports, and other papers relating to individual injuries, letters of appreciation and commendation, records reflecting training received by individuals, documents reflecting assigned responsibilities of individuals, copies of performance appraisals/standards and/or counseling, copies of flexitime work schedule, and duplicate forms filed in the OPF. | a. Review at end of each year and destroy documents which have been superseded or are no longer applicable. When employee leaves the activity through transfer or other separation, the file will be forwarded to the servicing personnel office maintaining the OPF. There it is to be screened to assure it contains no documents that should be permanently filed in the OPF. b. Employees separated for military service who have restoration rights: Withdraw and place in file number 102-06. c. Employees transferred to organizational elements within the same appointing authority on an installation: Forward to gaining operating official. d. Employees separated or transferred from the installation or to an activity on an installation having different appointing authority: Destroy, except that DD Form 1435 will be forwarded to the gaining authority within the Federal Government. | 1/18a |

- 102-05 POSITION DESCRIPTION FILES. Documents describing positions in an office. Included are copies of position description, etc., for civilian personnel and comparable position description forms for military personnel. Destroy on abolishment of position, supersession of position description, or when no longer needed for reference. 1/18a
- 102-06 SEPARATION FOR MILITARY SERVICE FILES. Standard Form 7B (Employee Record) used in considering employees separated for military service for position change actions in absentia. Return to active file if employee is restored at expiration of the obligation period. Destroy if not restored.
- 102-07 PENDING REQUEST FILES. Copies of Standard Form 52 (Request for Personnel Action) for various civilian personnel actions, such as accessions, position changes, rate of pay changes and separations. Destroy on receipt of notification of completion of requested personnel action. 1/18a
- 102-08 DUTY DESIGNATION FILES. Documents used for designating recurring and routine duties performed by personnel within an office, including special duties performed on a rotating basis. Destroy 1 year after rescission or termination.
- 102-09 STANDARD OF CONDUCT FILES. Documents relating to procedures used to assure that all personnel fully understand the standards of conduct and ethics required of them; for example, procedures requiring each individual to periodically read applicable directives and sign a document indicating that the directives are understood. Destroy when obsolete or superseded. 1/28
- 102-10 TEMPORARY DUTY TRAVEL FILES. Documents pertaining to travel; for example, requests and authorizations for military personnel TDY travel, civilian personnel TDY, and PCS travel. Destroy after 1 year.
- NOTE: Trip reports will be filed with the appropriate travel orders if report is required.
- 102-11 OFFICE MILITARY PERSONNEL FILES. Documents relating to the supervision of military personnel performing duty in a staff office. Included are papers pertaining to classification, promotion, orders, sponsors, indebtedness, leave, enlistment, waivers, statement of service, bonus, evaluations, group life insurance, applications for appointment, applications for outside employment, academic and individual training reports and instructor evaluations, copies of flexi-time work schedule, and related documents. Destroy 1 year after transfer or separation of individual.

103 - OFFICE REFERENCE FILES

This subgroup describes files used as a ready source of reference materials for the office.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 103-01 | <u>REFERENCE PUBLICATION FILES.</u> Copies of publications issued by any element of the Department of Defense, the Defense Audiovisual Agency, other government agencies, and nongovernmental organizations maintained for reference within an office. | Destroy when superseded, obsolete, or no longer needed for reference purposes, except that accountable publications will be returned to publications supply channels | |
| 103-02 | <u>TECHNICAL MATERIAL REFERENCE FILES.</u> Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, magnetic cards and tapes used in word processing centers, charts, and maps retained for reference purposes only. | Review annually and destroy material of no further reference value. | 23/6 |
| 103-03 | <u>READING FILES.</u> Copies of outgoing communications arranged chronologically and maintained for periodic review. This description does not include official record copies of documents which must be filed in the appropriate mission files of an office. | Destroy after 1 year. Earlier disposal is authorized. | |
| 103-04 | <u>OFFICE MESSAGE REFERENCE FILES.</u> Copies of incoming and outgoing messages maintained in numerical or chronological order for reference purpose in offices other than signal communications centers, message centers, and official mail rooms. This description does not include official record copies of messages which must be filed in the appropriate mission files of the office. | Destroy after 1 year. Earlier disposal is authorized. | |
| 103-05 | <u>POLICY AND PRECEDENT REFERENCE FILES.</u> Extra copies of documents establishing policy or precedent for future and continuing action. Normally, policy and precedent files are maintained at the supervisory level and consist of statements of policy or procedures, examples of typical case actions, and other documents duplicated in functional files. | Destroy when superseded, obsolete, or upon discontinuance of office. | |

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104 - OFFICE SECURITY AND CLASSIFIED DOCUMENT CONTROL FILES

These files relate to the internal security and classified document control common to most offices.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 104-01 | <u>RECORD ACCESS FILES.</u> Documents that show name, grade, and other identification of individuals authorized access to official records, particularly classified material. Included are requests for access and approvals thereof, rosters of individuals authorized access, and similar papers. | Destroy 2 years after authorization expires. | 18/7 |
| 104-02 | <u>SECURITY CONTAINER RECORD FILES.</u> Forms placed on safes, cabinets, or vaults containing classified documents and used for providing a record of entry into the containers. | Destroy following the last entry on the form, except that forms involved in an investigation will be retained until completion of the investigation, then destroyed. | 18/8 |
| 104-03 | <u>SECURITY CONTAINER INFORMATION FILES.</u> Up-to-date record of all office safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination. | Destroy on supersession or on turn-in of the container. | 18/8 |
| 104-04 | <u>OFFICE CLASSIFIED DOCUMENT RECEIPT FILES.</u> a. Receipts for classified documents issued or transferred. b. Receipt forms used in making internal loans of classified documents on a temporary basis distinguished from transferring or issuing classified documents internally. Loans are normally of such short duration that the borrowed documents are often returned within the same workday. | a. Destroy after 2 years. b. Destroy on return of the classified document to the individual or office making the loan. | 18/3 |
| 104-05 | <u>OFFICE NONREGISTERED CLASSIFIED DOCUMENTS DESTRUCTION CERTIFICATE FILES.</u> Forms and documents which reflect the destruction of classified documents. | Destroy after 2 years. | 18/4 |
| 104-06 | <u>SECURITY AWARENESS FILES.</u> Documents relating to procedures used to obtain compliance with security regulations by all personnel; for example, procedures requiring that each individual periodically read applicable security regulations and sign a memo indicating that the regulations are understood. | Destroy after next periodic application or on inactivation of the office, whichever is first. | |

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 104-07 | <u>PERSONNEL SECURITY CLEARANCE INFORMATION FILES.</u> Documents relating to the security clearance of individual personnel. Included are copies of notices that individuals have been cleared for classified material and other documents related to personnel security. | Destroy on supersession or obsolescence, transfer or separation, or on relief of the individual concerned. | 18/24 |
| 104-08 | <u>SECURITY CLASSIFICATION REGRADING FILES.</u> Documents authorizing the regrading of security classified documents. Included are forms, circulars, and other authorizing documents. | Destroy in CFA 3 years after all documents have been annotated. | |

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DAVA FUNCTIONAL FILE SYSTEM
SERIES 200
ADMINISTRATION

1. Administration Files relate to the development of DAVA plans and programs; management functions, such as review and analysis, forms, reports, inspections, surveys, systems and requirements, work simplification, and publications; and combat development functions. Offices responsible for these functions will use this series to identify, maintain, and dispose of pertinent documents.

2. These files have been assigned the basic file number 200. Mission files are grouped in subfunctional categories as follows:

- 201 - Common Mission Files
- 202 - International Planning Files
- 203 - Planning Files
- 204 - Agency Inspection and Visit Files
- 205 - Historical Files
- 206 - Committee Management Files
- 207 - Information Requirements Management and Control Files
- 208 - Records Management Files
- 209 - Privacy Act Files
- 210 - Freedom of Information Act Files
- 211 - Publications Management, Operation and Procedures, Supply and Library Files
- 212 - Postal and Mail Services Files
- 213 - Forms Management Files
- 214 - Travel Files

201 - COMMON MISSION FILES

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Common Mission Files are designed to be multipurpose-type files to be used by all offices to identify their common mission/administrative files. These files may accumulate in an organization or unit to document performance of the assigned common mission, such as audiovisual production, programming, management, etc. Seldom will all the common mission files accumulate in a single office.

A functional title or name of an organization will be used to prefix the description file label; for example, 201-01 SECURITY OFFICE INSTRUCTION FILES; 201-02 RECORDS MANAGEMENT ADMINISTRATIVE FILES; and 201-03 PERSONNEL OFFICE AGREEMENT FILES. Abbreviated titles alone will not be used.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 201-01 | <u>INSTRUCTION FILES.</u> Documents related to preparing, coordinating, issuing, and interpreting informative and instructional or temporary materials. These files accumulate in offices responsible for preparation and interpretation of instructions and include coordinating actions, studies, interpretations, and published record copies of instructions, such as memorandums, circulars, and bulletins; standing operating procedures or similar issuances; messages used for expeditious interim changes to instructions; technical newsletters or comparable media used to forward semiofficial instructions; and official training materials. | Destroy when obsolete or no longer needed for reference, whichever comes first. | 16/1c |
| 201-02 | <u>ADMINISTRATIVE FILES.</u> Documents relating to the overall or general routine administration of planning, management, historical activities, but exclusive of specific files described in this manual. These files include, but are not limited to: a. Routine comments on manuals, instructions, or other publications prepared by another office with primary responsibility. If comments result in additional action affecting the mission or function of the office, documents should be filed with the appropriate mission functional files. b. Evaluations of suggestions that do not result in issuing an instruction or establishing a project. | Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file. | 23/1 |

c. Program and budget documents, management improvement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.

d. Extracts of Inspector General, General Accounting Office, or comparable reports of inspections, surveys, or audits that pertain to the operation of the mission or function.

e. Documents relating generally to the application of Automatic Data Processing Systems and Punch Card Machine operations within the functional area relating to planning, programming, management, and historical activities.

f. Comments on or contributions to news releases or other media furnished to information officers to publicize and promote the mission or functions.

201-03

AGREEMENT FILES. Documents relating to agreements between elements of the Defense Audiovisual Agency, between the Agency and other Military Services or services or federal agencies, or between the Agency and other nonfederal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations and the Agency for the purpose of providing or obtaining various types of support services. The services include logistic, medical, fire protection, administrative, facilities, payroll, and similar support on a one-time or continuing basis; and on a reimbursable or nonreimbursable basis. Included are agreements, agreement checklists, amendments, review comments, related correspondence, and similar documents.

201-04

ORIENTATION AND BRIEFING FILES. Documents used on orientations and briefings given to visitors and newly assigned individuals about the mission, functions, and physical layout of an office. Included are photographs, transparencies or vugraphs, copies of specifically prepared handouts, and related or similar documents.

Office requesting support and office providing support:

a. Agreements involving transfer of personnel spaces and material will be destroyed 6 years after supersession, cancellation, or termination of the agreement.

b. Agreements not involved in transfer of personnel spaces and material will be destroyed 3 years after supersession, cancellation, or termination of the agreement. Earlier destruction is authorized.

Destroy on supersession or obsolescence.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------------|
| 201-05 | <u>COMMITTEE FILES.</u> Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions. They include joint DoD, interagency and international, and intra-DAVA committees in which HQ DAVA participates; as well as committees within all echelons and elements of the Agency. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices, agenda, minutes, and reports of committee meetings; and related documents. | <p>a. Office of committee chairperson or secretariat, whichever is designated office or record, and offices of members of international committees in which a foreign government is office of record: Permanent. Cut off when no longer needed for current operations. Offer to NARS in 5-year blocks when 20 years old (e.g., S offer 1970-74 block in 1995).</p> <p>b. Offices of other committee members: Destroy when no longer needed for current operations.</p> | 16/12b (1)(6) |
| 201-06 | <u>STAFF VISIT FILES.</u> Documents relating to scheduled or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision for conducting studies. This definition is not applicable to visits made in connection with a specific process or case which should be filed with documentation of the case in process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents. | <p>a. Office performing visit: Destroy 1 year after completion of next comparable visit or on completion of related study.</p> <p>b. Office visited: Destroy after 2 years, except files relating to recurring staff visits will be destroyed on completion of the next visit.</p> | 16/12b (1)(6) |
| 201-07 | <u>REFERENCE PAPER FILES.</u> Documents used to facilitate, control, or supervise the performance of a specific function, process, or action--as distinguished from those official records necessary for documenting performance of a function, process, or action. Although accumulated reference papers relate to varied subjects and functions, they should bear a title relating them to the function, subfunction, process, or action they are used with. Reference paper files consist of the following types of documents: | | |

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

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

c. Copies of technical documents, intelligence documents, emergency plans, mobilization plans, and similar reproduced materials that do not fall within the description for reference publication files.

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

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

f. Copies of documents accumulated by chiefs of directorates, divisions, branches, or separate offices. These documents duplicate the record copy files elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.

201-08

UNIDENTIFIED FILES. Documents relating to the performance of mission activities not described in this manual.

NOTE: Use of this temporary file number requires prior approval of the organization's records manager.

a. Cut off on completion of the communication, study, survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.

b. Destroy when no longer needed to facilitate or control work.

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

d. Destroy after 1 year; however, earlier destruction is authorized.

e. Destroy after 1 year; however, earlier destruction is authorized.

f. Destroy after 1 year. However, documents in the inactive file that require additional action or relate to reopened cases should be brought forward for filing in the current file. Earlier destruction is also authorized.

Retain in CFA until file number is added to this manual.

202 - INTERNATIONAL PLANNING FILES

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These files relate to the supervision, administration, and operation of International Logistics Programs (ILP) such as Foreign Military Sales (FMS), including Supply Support Arrangements (SSA), programs/agreements in support of the Agency for International Development (AID) of the State Department and the formulation of DAVA relationship and policies as they affect national audiovisual planning and development.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------------------|
| 202-01 | <u>ILP REQUIREMENT FILES.</u> Documents relating to the requirement of foreign countries for materiel and services. Included are documents reflecting requirements of individual countries, copies of programs, DoD Offer and Acceptances, amendments, papers relating to logistics and fiscal areas pertinent to ILPs, and similar and related documents. | <p>a. Office performing DAVA-wide staff responsibility: Permanent. Cut off when superseded by a new program, the case is closed, or action completed. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995).</p> <p>b. Other offices: Destroy after 2 years.</p> | |
| 202-02 | <u>INTERNATIONAL CONFERENCE FILES.</u> Documents pertaining to view of the Defense Audiovisual Agency relating to the participation of United States representatives of international conferences and DAVA representation on inter-American and international agencies. They relate to the development of basic data for background and guidance and attendance of DAVA personnel at conferences, and control over the appropriation "Inter-American Relations, Defense Audiovisual Agency." | <p>a. Office performing DAVA-wide responsibility: Permanent. Cut off when no longer required for operations. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995).</p> <p>b. Other offices: Destroy after 2 years.</p> | <p>16/12) a(1)</p> |

203 - PLANNING FILES

These files relate to the preparation of plans involving emergency, organizational, and operational procedures for planning and readiness programs.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 203-01 | <u>JOINT PLANNING COMMENT FILES.</u> DAVA documents related to commenting on, establishing the DAVA view on, or providing input for joint plans, other service plans, and operational and contingency plans of unified and specified commands. Included are comments, input data, copies of draft plans, and related papers. | a. DAVA offices responsible for establishing the coordinated DAVA view: Permanent. Offer to NARS when 15 years old in 10-year blocks (e.g., offer 1970-79 blocks in 1995). b. Other offices: Destroy after 2 years. | |
| 203-02 | <u>EMERGENCY PLANNING FILES.</u> Documents relating to emergency planning, including planning for continuity of operations, domestic disturbances, disaster relief, civil defense, and other emergencies requiring preconceived plans. Included are plans, instructions, changes to plans, coordinating actions, and other documents relating to emergency planning. | a. Office having DAVA-wide responsibility: Permanent. Cut off when superseded or obsolete. Offer to NARS when 15 years old in 10-year blocks (e.g., offer 1970-79 block in 1995). b. Other offices: Destroy when superseded, obsolete, or no longer needed. | 18/28a |
| 203-03 | <u>EMERGENCY REPORTING FILES.</u> Documents relating to emergency situations or disasters and reflecting such information as damage, assistance provided to civil agencies or population, and other participation in emergency operations. Included are initial, daily, interim and final emergency operation reports, and related documents. | a. Office of DAVA staff requiring the reports: Permanent. Cut off when related plan or directive becomes obsolete or superseded. Offer to NARS when 15 years old in 10-year blocks (e.g., offer 1970-79 block in 1995). b. Other offices: Destroy after 2 years. | 18/30 |
| 203-04 | <u>EMERGENCY TEST AND EXERCISE FILES.</u> Documents relating to testing of various emergency plans. Included are exercise directives, announcements concerning tests to be conducted, instructions to participating personnel, staffing assignments, test messages, estimates of simulated damages, estimates of cost and resources required to repair simulated damage, estimates of available resources, critique sheets, final exercise reports, and related documents (excluding consolidated and comprehensive reports under file number 203-03). | a. Final reports prepared by office performing DAVA-wide responsibility: Destroy after 3 years. b. Final reports prepared by organizations below Headquarters: Destroy after 2 years. | 18/31 |

FILE
NUMBER

DESCRIPTION

DISPOSITION

GRS

203-05

ORGANIZATION PLANNING FILES. Documents relating to the establishment of and changes in organization functions and relationships of activities and agencies. Included are staff studies; reports of working groups; minutes of committee meetings and staff conferences; documents relating to overall functions and missions; copies of organization and functions plans, manuals, and charts; copies of published directives implementing establishment or change; and related or similar documents.

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

16/13a

b. Files accumulated by offices responsible only for intra-DAVA view, comment, or contribution of information: Destroy after 2 years.

203-06

OPERATION PLANNING FILES. Documents relating to the preparation, coordination, and approval of operational, defense, and other comparable plans which are applicable to or involve the resources and mission of the overall agency. They do not relate to plans described elsewhere in this manual or to plans confined to specific functional areas which are not a segment of or an annex to the overall plan. Included are copies of the approved plans; comments, recommendations, contributions, approvals, and disapprovals regarding the plans; and other directly related papers.

a. Office responsible for preparation of plan: Permanent. Cut off annually. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995).

16/13a

b. Other offices: Destroy copies of plans on supersession or obsolescence and destroy other documents after 2 years.

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204 - AGENCY INSPECTION AND VISIT FILES

These files relate to the planning and execution of agency inspections and visits.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 204-01 | <u>INSPECTION COORDINATION FILES.</u> Documents related to reviewing, controlling, coordinating, and consolidating planned inspections, surveys, and visits. Included are notifications of impending visits, requests for authority to make visits, itineraries, approvals, requests for changes, and related documents. | Destroy after 2 years or on discontinuance, whichever occurs first. | |
| 204-02 | <u>COMPLAINT FILES.</u> Documents accumulated by responsible individual during the processing of complaints and requests for advice, assistance, or information. Included are statements, correspondence, and related documents. | Destroy 1 year after completion and close of case. | |

205 - HISTORICAL FILES

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Documents relating to general policies and procedures governing development of historical data and special historical studies.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 205-01 | <u>HISTORICAL RECORDS AND REPORTS FILES.</u> Documents prepared by historians under the DAVA historical program. | Permanent. Cut off on publication or when no longer needed for current operations. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995). | 16/13c |
| 205-02 | <u>HISTORICAL RESEARCH AND REFERENCE FILES.</u> Copies of documents collected and maintained by historians in the preparation of histories, occasional studies, and reports. | Destroy when superseded or obsolete. | |
| 205-03 | <u>ORGANIZATIONAL HISTORY FILES.</u> Documents reflecting organizational history. Included are Activity histories and annual supplements, when prepared; copies of lineage and honors certificates; data on organizational flags and distinctive insignia (where applicable); citations for organizational decorations; newspaper, book, and magazine clippings; unframed photographs; pictures, certificates, and letters; programs and other data relating to historical ceremonies and organizational traditions; names of the Director and all Activity Chiefs and dates of changes or assumptions of command; copies of letters and orders pertaining to activations, inactivations, redesignations, reorganizations, reductions to zero strength, assignments, attachments, and entry into or release from active federal service; and other documents of primary interest and value to and directly connected with the specific organization. | Permanent. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995). | 16/13c |

NOTE: When these files are retired they will be clearly identified as "organizational history files." They will be retained intact at a FARC and returned to reactivated activities only when the DAVA Records Administrator approves the request. Activity Chiefs should address requests for return of such files to HQ DAVA-RAP, Norton AFB, CA 92409.

206 - COMMITTEE MANAGEMENT FILES

These files relate to the operation of committees and the application of controls over their establishment, use, and dissolution. For purposes of this section, the term "committee" includes councils, boards, commissions, panels, subcommittees, task forces, and comparable groups whose purpose is to consider, investigate, advise, take action, and report to the appointing authority.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|--|
| 206-01 | <u>COMMITTEE MANAGEMENT FILES.</u> Documents used in exercising control over the establishment, use, and dissolution of committees to prevent or eliminate overlap and duplication; preclude committee establishment when normal staff action will suffice; and to apply other management practices to the use of committees. Included are proposals, approvals, and disapprovals to establish, continue, or dissolve committees; charters, terms of references, and agreements; copies of directives authorizing the establishment of committees and comments on them; committee inventory data; documents used to nominate, approve, appoint, and relieve nongovernment members of public advisory committees; and related papers. | <p>a. Office of HQ DAVA Committee Management Officer:</p> <p>(1) Interagency, advisory, or international committees: Permanent. Cut off on disapproval or dissolution of the committee. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 blocks in 1995).</p> <p>(2) Internal committees: Destroy 2 years after termination of committee.</p> <p>b. Office of Activity Committee Management Officers: Destroy 2 years after disapproval or dissolution of the committee.</p> | <p>16/12 a(1)</p> <p>16/12 a(2)</p> |
| 206-02 | <u>ADVISORY COMMITTEE ACTIVITY REPORTING FILES.</u> Documents reflecting name, data established or approved for continuation, function, names and affiliations of members, dates of meetings held, and similar data on each advisory committee. Included are feeder reports, DAVA-wide consolidations or summaries, and papers directly related to them. | <p>a. Office requiring the report: DAVA-wide summaries or consolidations: Destroy after 5 years</p> <p>b. Feeder reports: Destroy after 3 years.</p> <p>c. Other offices: Destroy after 3 years or when no longer needed for reference.</p> | <p>16/12b (1)(a)</p> <p>16/12b (1)(b)</p> <p>16/12b (1)(b)</p> |

207 - INFORMATION REQUIREMENTS MANAGEMENT AND CONTROL FILES

These files result from the direction and operation of the DAVA Information Control System which is designed to control collecting, recording, maintaining, and reporting of information; assure that reports are essential, adequate, accurate, and timely; eliminate unnecessary reports; and standardize materials and procedures.

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| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 207-01 | <u>INFORMATION REQUIREMENTS CONTROL CASE FILES.</u> Documents reflecting action taken in evaluating the requirements for, approving, and controlling specific reports. They also relate to initial evaluation and periodic reevaluation of proposed and actual ADPS outputs to determine feasibility and desirability of using ADPS, essentiality of input and output, and conformance of the output with reporting standards and policy. Included are applications for approval of reports; copies of pertinent forms or descriptions of format; copies of the prescribing directive; preparation instructions; documents relating to continuation, revision, or other change to the report or output; memorandums reflecting results of periodic and special evaluations; documents identifying the relationship of the output to any controlled report to be prepared in whole or in part from the output; and similar related papers. | Destroy 2 years after discontinuance of the report. | 16/8 |
| 207-02 | <u>INFORMATION REQUIREMENTS CONTROL AND OUTPUT REGISTER FILES.</u> Documents used to control the assignment of reports control symbols and ADPS outputs. Included are registers, ledgers, or comparable documents. | Destroy when no longer needed for managerial purposes. | |

208 - RECORDS MANAGEMENT FILES

These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use, and disposition of DAVA records.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 208-01 | <u>RECORDS MANAGEMENT SURVEY FILES.</u> Documents relating to staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits and surveys, reports of corrective actions taken, and related documents. | a. Office performing DAVA-wide staff responsibility: Destroy after 6 years. b. Other activities: Destroy 2 years after next comparable survey or on discontinuance of the surveyed office, which ever is first. | 16/11 |
| 208-02 | <u>RECORDS MANAGEMENT SURVEY BACKGROUND FILES.</u> Documents used in preparing for records management surveys. Included are organizational charts, statements of function, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes, drafts, and similar or related documents. | Destroy 6 months after final action on survey or 3 years after completion of survey if no final action is taken. | 16/10 |
| 208-03 | <u>ACCESS TO INFORMATION FILES.</u> Documents relating to DAVA conditions and restrictions on the release of information from files, release of copies, and the granting of access to records for official or unofficial research. Included are case files with requests, basic interpretations, decisions, precedents, studies, and related or similar papers. | Destroy after 5 years. | |
| 208-04 | <u>RECORDS DISPOSAL AUTHORIZATION FILES.</u> Documents relating to authorization by Congress or the Archivist of the United States to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, and approvals or disapprovals. | Destroy when related records are destroyed or when no longer required for administrative or reference purposes. | 16/3a |
| 208-05 | <u>RECORD LOCATOR AND DISPOSITION FILES.</u> Documents reflecting files that have been transferred or retired. Included are records shipment lists and records transfer lists. | Organization retiring records: Destroy when related records are destroyed or when no longer required for administrative or reference purposes. Upon discontinuance, forward to the gaining organization or to the next higher headquarters. | 16/3a |

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|--------------------|
| 208-06 | <u>RECORDS MANAGEMENT SYSTEM FILES.</u> Documents relating to the appraisal of records systems and procedures, such as those relating to miniaturization, office copying, and word processing. Included are evaluation studies and similar or related documents. | Destroy 5 years after completion of study. | 16/14 |
| 208-07 | <u>RECORDS HOLDING REPORTING FILES.</u> Documents used in preparation of the records holding report. Included are reports and directly related papers. | Office performing DAVA-wide staff responsibility: Destroy after 3 years in CFA. Other offices: Destroy after 1 year. | 16/6a 16/6b |
| 208-08 | <u>RECORDS DISPOSITION STANDARD EXCEPTION FILES.</u> Documents reflecting exception to records disposition standards authorized by responsible records management officials. Included are requests, approvals, and related documents. | Destroy when related records are destroyed or when no longer required for administrative or reference purposes. | 16/3a |
| 208-09 | <u>OFFICE EQUIPMENT MANAGEMENT FILES.</u> Documents relating to the management of office copiers, standard and nonstandard filing equipment, and similar categories of office equipment. These documents accumulate in offices which review and/or approve requests for office equipment. Included are approved requests, disapproved requests, and similar or related documents. | Destroy 5 years after approval or disapproval. | 16/14 |
| 208-10 | <u>RECORDS MANAGEMENT PROGRAM FILES.</u> Reports, correspondence, authorizations, techniques, and related records concerning the development and improvement of records management. Included are documents relating to management of files, forms, correspondence, mail, reports, microforms, automatic data processing, vital records, and related documents not included elsewhere in this subfunctional category. | Destroy after 6 years. Earlier disposal is authorized if records are superseded, obsolete, or no longer required for reference. | 16, 11 |

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209 - PRIVACY ACT FILES

These files relate to implementing the Privacy Act of 1974 and providing or refusing access to or amendment of records in response to requests from individuals to whom the records pertain.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------------------------------|
| 209-01 | <u>PRIVACY ACT CASE FILES.</u> Documents accumulated in notifying requesters of the existence of records on them; providing or refusing access to or amendment of records; acting on appeals or refusals to provide access or amend records; and providing or developing information for use in litigation. Included are requests; approval and refusal actions; appeals and actions on appeals; coordination actions; copies of the requested and amended or unamended records; statements of disagreement; and related documents. | a. Offices of Denial Authority: Approved requests, unappealed denials, and denials fully overruled by appellate authorization: Destroy 5 years after date of reply or after agency/court's final determination, whichever is appropriate. b. Other Offices: Destroy after 4 years. | 14/25 & 26 14/25 & 26 |
| 209-02 | <u>PRIVACY ACT STATEMENT FILES.</u> Documents accumulated by privacy officials in reviewing Privacy Act notification statements and related forms, formats, and other papers used to collect information from individuals, to ensure necessity, compliance with privacy program requirements, consistency with purpose and routine uses of the related system notice, appropriate use of SSN, and similar matters. Included are Privacy Act notification statements, including related forms, formats, surveys, and reports; coordination actions; copies of instructions; and related documents. | Destroy 2 years after discontinuance of related form, format, survey, or report. | 14/30 |
| 209-03 | <u>SYSTEM REPORT AND NOTICE FILES.</u> Documents relating to the preparation, coordination, and submission of reports, system notices, and exemption rules for proposed new systems of records or changes to existing system. Included are system reports, including OMB and Congressional comments on them; copies of system notices and exemption rules and public comments on them; coordination actions; and related documents. | a. Office performing DAVA-wide staff responsibility: Permanent. Offer to NARS when 15 years old in 10-year blocks (e.g., offer 1970-70 block in 1995). b. Office of the preparing system manager: Destroy on discontinuation of the system of records or on determination not to publish notice in the <u>Federal Register</u> . c. Other offices: Destroy after 2 years. | 14/29 |

9-27

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| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|---------------------|
| 209-04 | <u>PRIVACY ACT REPORT FILES.</u> Documents consisting of recurring reports and one-time information requirements relating to Agency implementation of the Privacy Act. Included are annual reports to OMB and Congress, similar reports, and related documents. | a. Annual reports prepared by the office performing DAVA-wide responsibility: Permanent. Offer to NARS when 15 years old in 10-year blocks (e.g., offer 1970-79 block in 1995. b. Other reports: Destroy after 2 years. | 14/29 14/29b |
| 209-05 | <u>DISCLOSURE ACCOUNTING FILES.</u> Documents used for maintaining an accurate accounting of the date, nature, and purpose of each disclosure of a record from a system of records to any person or another agency, as required by reference (g) and shows the subject individual's name and address, purpose and date of disclosure, and proof of subject individual's consent, when applicable. | Retain for the life of the disclosed record, or destroy 5 years after the date of disclosure, whichever is later. (The related disclosed record will be destroyed when it becomes eligible as prescribed elsewhere in this manual.) | 14/27 |

210 - FREEDOM OF INFORMATION ACT FILES

These files relate to the review, release, and/or denial of requests for release of information from DAVA records under the Freedom of Information Act (FOIA).

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------------|
| 210-01 | <u>FOIA REQUEST FILES.</u> Documents relating to requests for information under the FOIA. Included are the original request; a copy of the reply thereto granting access, stating inability to identify or nonexistence of requested records, and indicating fees charged; and related documents. | Destroy 2 years after date of reply. | 14/16a |
| 210-02 | <u>FOIA REQUEST DENIAL FILES.</u> Documents relating to requests for information under the FOIA for which access to all or part of the requested record is denied. Included are the original request, copies of the reply thereto, and supporting documentation for denial, and related documents. | Destroy 5 years after date of reply, if not appealed. | 14/16a |
| 210-03 | <u>FOIA APPEAL FILES.</u> Documents relating to administrative appeals under the provisions of the FOIA. Included are the appellant's letter, copy of reply thereto, related supporting documents, and copies of the denied records. | Destroy 4 years after final denial by agency, or 3 years after adjudication by courts, whichever comes first. | 14/17 |
| 210-04 | <u>FOIA CONTROL FILES.</u> Documents maintained for control purposes in responding to requests for release of information. Included are registers and similar records, listing date, nature, purpose and number of request, and name and address of requester. | Destroy 5 years after final action by Agency or final adjudication by courts, whichever comes first. | 14/18b |
| 210-05 | <u>FOIA REPORT FILES.</u> Documents relating to recurring reports and one-time information requirements relating to implementation of the FOIA, including annual reports to Congress. | a. Annual reports of office performing DAVA-wide responsibility: Permanent. Offer to NARS when 15 years old in 10-year blocks (e.g., offer 1970-79 blocks in 1995). b. Other reports: Destroy after 2 years. | 14/19a 14/19b |
| 210-06 | <u>FOIA ADMINISTRATIVE FILES.</u> Documents relating to the general implementation of the FOIA. Included are routine correspondence, memorandums, notices, and related documents. | Destroy after 2 years or when no longer required for administrative use. | 14/20 |

211 - PUBLICATIONS MANAGEMENT, OPERATION AND PROCEDURES,
SUPPLY AND LIBRARY FILES

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These files relate to the application of management practices and supervisory controls to the initiation and preparation of publications; to the operation of officially designated libraries; to contract printing; and similar matters. Files relate to the preparation, review, and issuance of publications and to the maintenance of record and reference sets of publications. Record sets of selected publications are required for permanent or long-term retention since they are used extensively for future administrative actions and historical or other research. Files are maintained at directives control points, publications offices, forms stockrooms, and duplicating offices.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 211-01 | <p><u>PUBLICATION DEVIATION FILES.</u> Documents related to approving deviations or exceptions to standard publications procedures. For example: requests and approvals to distribute local publications outside the jurisdiction of the Defense Audiovisual Agency, authorizations to print in more than one color, or to include emblems on envelopes, and similar deviations or special authorizations.</p> <p>NOTE: Files created by offices requiring or re-requesting the exceptions will be filed with printing and binding requisition files, acquisition files, instruction files, or other files, as applicable.</p> | <p>a. HQ DAVA: Approved deviations and exceptions: Destroy after 6 years or on expiration, as applicable.</p> <p>b. Disapproved exception: Destroy after 2 years.</p> | |
| 211-02 | <p><u>PUBLICATION RECORD SETS FILES.</u> Record set of each HQ DAVA or DAVA Activity instruction, manual, supplement, regulation, changes thereto, and related publications which includes: the edited manuscript; copy of the printed publication and changes; request for issuance forms; documents showing coordination, comments, and actions affecting the publication; printed copy of each form prescribed by the publication, including copy of request for approval and development of form; original of the latest form showing annual or special review; adopted suggestions affecting the publication; copy of application for approval of report; adopted recommendations for changes; and any other documentation pertaining to content or issuance of publications described in DAVA 5025.1-M. Each folder or binder of the collection will be distinctly marked RECORD SET.</p> | <p>Permanent. Cut off on supersession or obsolescence. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995).</p> | 16/1a |

- 211-03 PERSONNEL-TYPE ORDER FILES. Orders issued at any level of DAVA to disseminate information and instructions affecting the status of individuals; for example, special orders, letter orders, unit orders, and assignment or appointment notices. Destroy after 10 years.
- NOTE: These files should be posted prior to retirement.
- 211-04 PERSONNEL TRAVEL FILES. Requests for the authorization for military and civilian personnel TDY travel (DD Form 1610 and all related forms). Destroy after 2 years. 9/5a
- 211-05 PUBLICATION REFERENCE SET FILES. Offices responsible for issuing publications will maintain one set for reference purposes in addition to the Record Set. Each folder or binder in this set will be marked REFERENCE SET and will be posted. Destroy when no longer required for reference.
- 211-06 PUBLISHING OFFICE BACKGROUND FILES. Documents accumulated by offices responsible for collecting and publishing material prepared by other offices and included in appropriate functional files; for example, copies of articles to be published in periodicals; documents used as a basis for preparation of special orders or personnel-type orders; items submitted for inclusion in daily, weekly, or monthly bulletins; similar data collected for inclusion in other government publications; and comparable documents. Documents required for filing in the printing job jacket file are not included. Destroy after 1 year. Earlier destruction is authorized.
- 211-07 PUBLICATION MANUSCRIPT FILES. Manuscript copies, printer's copies of galley or page proofs, drafts, and other working or control data used in the preparation of publications. Destroy 1 year after completion of job. 13/3a
- 211-08 COPYRIGHT AUTHORIZATIONS FILES. Documents authorizing the use of copyright material, such as letters and agreements from publishers, authors, or copyright owners. Destroy after 75 years.

NOTE: When the related publication file is scheduled for permanent retention, these documents may be filed with and classified as publication files.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 211-09 | <u>PUBLICATION CONTROL AND PROCESSING FILES.</u> Documents used to control publications work in progress, such as stenographic assignment records, stencil control cards, information and instruction sheets, layouts, daily production records, progress reports, job tickets for labor and materials, and similar control records and related papers, but exclusive of other publications files described herein. | Destroy 1 year after completion of job. | 13/3a |
| 211-10 | <u>PUBLICATIONS REQUISITION FILES.</u> Documents used in requisitioning publications and accountable and nonaccountable blank forms; for example, requisitions, shipping orders, transfer requests, and similar papers. | Destroy 3 months after completion of action; earlier disposal is authorized. | |
| 211-11 | <u>STATUS OF PUBLICATION FILES.</u> Forms reflecting the status of publications and blank forms that provide information which is used to determine required supply action. | Destroy after 1 year. | |
| 211-12 | <u>INITIAL DISTRIBUTION REQUISITION FILES.</u> Forms reflecting the quantities and types of publications and blank forms required for automatic distribution. A current copy of each subscription form will be retained in the current files areas. | Destroy forms indicating changes upon completion of posting to the current series. | |
| 211-13 | <u>INITIAL PUBLICATION DISTRIBUTION FILES.</u> Distribution sheets, delivery instructions, correspondence, and related papers pertaining to the distribution of DAVA publications. | a. Documents pertaining to classified publications: Destroy after 2 years. b. Other documents: Destroy after 3 months. Earlier disposal is authorized. | |
| 211-14 | <u>PUBLICATION STOCK RECORD CARD FILES.</u> Cards reflecting the status of supply of publications and blank forms, including data as to stock levels, quantities on hand, and quantities received or issued. | Destroy when card is filled or on supersession, rescission, or obsolescence of form or publication, whichever is first. | |
| 211-15 | <u>PUBLICATION HISTORY AND STOCK USAGE FILES.</u> Forms reflecting the history and usage for each item of stock. | Destroy on supersession, rescission, or obsolescence of form or publication, whichever is first. | |

- 211-16 SHELF LIST CARD FILES. Cards indicating all books in the library arranged in the order in which the books stand on the shelves, and reflecting item identification by classification, title, author, voucher numbers (additions or reductions), and other information necessary to facilitate the processes of accountability. Destroy after all items indicated thereon have been dropped from accountability records.
- 211-17 LIBRARY CATALOG FILES. Cards enumerating authors, titles, cross-references, and subjects arranged in alphabetical order and indicating descriptive details including location of books on the shelves. Upon discontinuance of the facility and/or transfer of the books to another library, the current library card catalog files will be included in the transfer, if possible. Destroy when related books have been permanently removed from the library collection.
- 211-18 DIRECTORY SERVICE FILES. Correspondence, forms, and other records relating to the compilation of directory service listing. Destroy 2 months after issuance of listing. 11/3

212 - POSTAL AND MAIL SERVICES FILES

DAVA 5015.2-M

These files relate to the postal and mail functions performed by the HQ DAVA and Activity mailrooms.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 212-01 | <u>POSTAL LOSS AND SHORTAGE FILES.</u> Documents relating to the recording, reporting, and investigating of losses and shortage of postage stamps and stamped paper; losses or destruction of mail including delay; and accident, occurrence, or depreciation (theft and/or rifling) involving mail. Included are reports containing facts surrounding the loss or shortage, investigation progress reports, final investigation reports, records of postal claims, records of lost or rifled mail, and related papers. | a. Office performing DAVA staff responsibility: Destroy 3 years after completion of the investigation. b. Other offices: Destroy 1 year after completion of the investigation. | 12/8 |
| 212-02 | <u>MAIL DISTRIBUTION FILES.</u> Mail distribution and data listing Military/Government Post Offices which serve units and organizations. | Destroy upon receipt of revised distribution list. | |
| 212-03 | <u>MAIL ROUTING GUIDE FILES.</u> Documents prepared to facilitate mail delivery, reduce routing errors, and aid in training new routing clerks. Included are cards, manuals, indexes, and similar papers used as mail routing guides. | Destroy on supersession or obsolescence, except background papers relating to the guide will be destroyed after 2 years. | |
| 212-04 | <u>POSTAL DIRECTORY FILES.</u> Cards used in maintaining a locator system to facilitate the delivery of mail to individuals. Included are locator cards and locator card file inspection records. | Destroy locator card 5 months after transfer, departure, or separation of individual. | 12/6h |
| 212-05 | <u>AUTHORIZATION DELIVERY ORDER FILES.</u> Documents used by individuals to authorize representatives to pick up their mail on a continuing basis. | Destroy 1 year after revocation. | |
| 212-06 | <u>MAILROOM ACCOUNTABLE MAIL RECEIPT FILES.</u> Documents reflecting the receipt and dispatch of registered, numbered insured, and certified mail by mailrooms. Included are records for accountable mail, delivery of registers, certified, numbered insured, dispatch books, accountable mail ledger books, and related or similar documents. | Destroy after 1 year. | 12/5a |

212-07

MAIL CONTROL FILES. Documents relating to the control of incoming and outgoing mail. Included are routing and suspense slips, delivery receipts, logs of incoming and outgoing mail, and similar papers.

Destroy after 1 year.

12/6a

212-08

POSTAL SERVICE AUTHORIZATION FILES. Documents relating to authorization for postal services. Included are PS Form 3614 (Application to Distribute Business Reply Cards, Envelopes, Cartons, and Labels) and PS Form 3601-A (Application for a Postage Meter License).

Destroy 1 year after disapproval or 1 year after termination of authorization, as applicable.

213 - FORMS MANAGEMENT FILES

DAVA 5015.2-M

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

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 213-01 | <u>FORMS MANAGEMENT REPORTING FILES.</u> Documents relating to reports on progress in forms management. Included are reports, worksheets, and correspondence directly related to the reports. | a. HQ DAVA: Destroy after 5 years. b. Other offices: Destroy after 1 year or on discontinuance, whichever is first. | |
| 213-02 | <u>NUMERICAL FILES.</u> Documents accumulating in offices having authority to approve forms and resulting from the consideration, approval, control during existence, and revision or rescission of specific forms. Included are requests for approval of form, justifications, coordination papers, instructions governing use of the form, latest record of review, and a copy of each edition of the form. | a. HQ DAVA: Destroy 5 years after supersession or obsolescence of form. b. Activities: Destroy 1 year after supersession or obsolescence of form. | 16/4a |
| 213-03 | <u>FUNCTIONAL FILES.</u> A collection of forms, arranged by functional classification, used to assist in taking forms management actions, such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the forms management office. | Destroy when discontinued, superseded, obsolete, or replaced. | |
| 213-04 | <u>FORMS NUMBER REGISTER FILES.</u> Documents used to record and control the assignment of form numbers, consisting of an entry in the register for each assigned form number. | Destroy after discontinuance or obsolescence of affected form. | 16/4b |
| 213-05 | <u>FORMS MANAGEMENT SURVEY FILES.</u> Documents relating to staff visits and surveys conducted to provide advice and assistance, and to evaluate the effectiveness of forms management operations and programs. Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents. | a. Office performing DAVA staff responsibility: Destroy 6 months after final action on survey or 3 years after completion of survey if no final action is taken. b. Other offices. Destroy after next comparable survey or on discontinuance of the surveyed office, whichever is first. | 16/10 |
| 213-06 | <u>FORMS MANAGEMENT SURVEY BACKGROUND FILES.</u> Documents used to prepare for forms management surveys. Included are organizational charts, statements of functions, copies of forms management directives, lists of personnel responsible for forms management, forms control and usage data, schedules of surveys, notes, drafts, and related documents. | Destroy 6 months after final action on survey or 3 years after completion of survey if no final action is taken. | 16/10 |

214 TRAVEL FILES

These files pertain to control, administration, and operations involving travel.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 214-01 | <u>TRAVEL REQUEST FILES.</u> Documents pertaining to requests for orders placing military and civilian personnel on temporary duty, notices of arrival and departure, approval of issuance of temporary duty orders, placement of personnel on temporary duty, and similar matters. | Destroy after 2 years or on discontinuance, whichever is first. | 9/5a |
| 214-02 | <u>GOVERNMENT TRANSPORTATION REQUEST FILES.</u> Copies of issued and canceled transportation requests, transportation certificates, travel orders, transportation request register, and other pertinent correspondence and related documents. | Destroy after 3 years. | 9/3a |

DAVA FUNCTIONAL FILE SYSTEM
SERIES 300
COMPTROLLER AND MANPOWER FILES

DAVA 5015.2-M

1. Comptroller and Manpower files relate to budgeting, disbursement, allocation, accounting for appropriated and nonappropriated funds, civilian pay and accounting, cost accounting, auditing, and financial management. Offices responsible for these functions will use this series to identify, maintain, and dispose of records documenting their mission.

2. These files have been assigned the basic file number 300. Common Mission Files (201-01 through 201-08) for multipurpose files identification may also be used. Mission files are grouped into subfunctional categories, as follows:

- 301 - Manpower Utilization Files
- 302 - Programming, Budgeting, and Budget Execution Files
- 303 - Property and Fund Accounting and Adjustment Files
- 304 - Consolidated Financial Files
- 305 - Finance and Accounting Files

301 - MANPOWER UTILIZATION FILES

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

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 301-01 | <u>MANPOWER AUTHORIZATION FILES.</u> Documents and supporting papers reflecting manpower spaces allocated to successive echelons of command. Included are authorization vouchers, manning levels, or other instruments which authorize, limit, increase, or decrease the number of personnel allocated to specific DAVA organizational segments; Joint Tables of Distribution; and similar or related documents. | Destroy when superseded or no longer needed, whichever is sooner. | |
| 301-02 | <u>MANPOWER REQUIREMENTS FILES.</u> Documents relating to on-site and other appraisals of manpower requirements and utilization. Included are personnel inventory and appraisal reports, comments, justifications, and similar or related documents. | Destroy when superseded or no longer needed, whichever is sooner. | |
| 301-03 | <u>MANPOWER STAFFING STANDARD FILES.</u> Documents reflecting the development and issuance of manpower staffing standards and the provision of guidance in applying these standards for measuring personnel requirements. Includes are copies of manpower surveys; command-type letters and messages; copies of staffing guides; coordinating actions and interpretations; and similar or related documents. | <p>a. Office responsible for developing standards: Destroy after 10 years.</p> <p>b. Offices responsible for applying standards: Destroy when superseded or obsolete.</p> <p>c. Other offices: Destroy after 2 years or on discontinuance, whichever is first.</p> | |
| 301-04 | <u>MANPOWER STATISTICAL DATA FILES.</u> Documents used to provide a source of statistical data for use in manpower control activities such as forecasting, justifying, and analyzing current or projected manpower requirements and allocating manpower spaces. Included are reports and data concerning such matters as civilian and military strength of organizational segments, strength by occupational specialty, and similar or related documents. | <p>a. Office performing DAVA-wide staff responsibility: Destroy after 2 years.</p> <p>b. Other offices: Destroy after 1 year.</p> | 1/16 |

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 301-05 | <u>WORK MEASUREMENT REPORTING FILES.</u> Documents used to report workload, usually statistically. Included are work reports and consolidations, and extracts or tabulations thereof. | Destroy after 2 years or on discontinuance, whichever is first. | |
| 301-06 | <u>MANAGEMENT ANALYSIS FILES.</u> Documents and supporting papers concerning studies of processes or procedures, work simplification, or productivity enhancement. Included are copies of studies, productivity reports, and supporting or related documentation. | Destroy when superseded or no longer needed, whichever is sooner. | |

302 - PROGRAMMING, BUDGETING, AND BUDGET EXECUTION FILES

1. Documents created in the development of time-phased schedules for obtaining the work forces, facilities, and material required to meet the broad objectives established by the HQ DAVA. They further relate to the formulation and execution of concomitant budgets.
2. These files may accumulate in Comptroller offices of the DAVA Activities and HQ DAVA.
3. Files accumulated by other organizational elements (within DAVA) in developing and executing programs and budgets for their functional areas are not described in this section. Although such files subjectively relate to programming and budgeting, functionally they relate to the primary missions of the accumulating offices; e.g., communications services, logistics services, and transportation services. Accordingly, records of these elements should be identified under the appropriate functional file number in their mission or functional area (normally reference paper files or administrative files).
4. This section, likewise, is inapplicable to actions, procedures, systems, and work schedules or forecasts (generally referred to as programs) which are parallel to, but are not an integral part of, the programming and budgeting system.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 302-01 | <u>DAVA PROGRAM DEVELOPMENT FILES.</u> Documents relating to the preparation, coordination, approval, and issue of DAVA Program Objective Memorandum. These program documents are approved by the Secretary of Defense and, therefore, serve as the basis for development, by the DAVA staff, of the more detailed program and budget guidance to operating activities. Included are summary and descriptive data sheets, program change requests, subject issues, manpower memorandums, minutes of meetings of review committees, coordinating actions, approvals, justification data, correspondence, and related papers. | a. Offices responsible for preparation Permanent: Offer to NARS in 5-year blocks (e.g., offer 1970-74 blocks in 1995). b. Other offices: Destroy after 2 years. | 5/1 |
| 302-02 | <u>DAVA PROGRAM DOCUMENT FILES.</u> Record and reference copies of the published DAVA Five-Year Defense Plan. | a. Record copies: Destroy after 10 years in CFA. b. Other copies: Destroy when superseded, obsolete, or no longer needed for reference. | 5/1 |

9-41

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| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 302-03 | <u>PROGRAM AND BUDGET GUIDANCE FILES.</u> Documents relating to the development, review, approval, and issue of program and budget guidance to echelons of the Defense Audiovisual Agency. Included are program objectives; summary budgets, and directives requiring DAVA staff preparation, revision, or updating of program and budget guidance to operating activities (essentially extracts from the DAVA Five-Year Defense Program reflecting those resources programmed for allocation to operating activities by the Defense Audiovisual Agency, together with statements of policies, priorities, standards, and workloads); operating activity program and budget guidance; coordinating actions; operating schedules; related papers, and operating budgets from all activities. | <p>a. Offices of the DAVA staff responsible for preparation, approval, and issue: Destroy after 10 years in CFA.</p> <p>b. Operating activities: Guidance prepared by the operating activities: Destroy after 6 years.</p> <p>c. Guidance received: Destroy on incorporation in the Agency 5-Year Program or on supersession or rescission, as applicable.</p> <p>Other offices: Destroy 1 year after end of FY to which it pertains or on discontinuance, whichever is first.</p> | |
| 302-04 | <u>DAVA/DOD BUDGET ESTIMATE FILES.</u> Documents created in the DAVA staff preparation, review, and consolidation of budget estimates and in their submission to the Office of the Secretary of Defense for incorporation in the DoD budget. Included are budget estimates prepared by DAVA staff for their functional areas of responsibility, minutes of budget committee meetings, consolidated DAVA budget estimates, approvals, DoD markups (subject/issues) upon which the President's budget is based, briefings, and presentations on the budget estimates for DoD and OMB review, and related papers. | <p>a. Offices responsible for preparation, consolidation, and approval: Destroy 2 years after the close of the fiscal year covered by the budget.</p> <p>b. Other offices: Destroy 1 year after the close of the fiscal year covered by the budget.</p> | |
| 302-05 | <u>CONGRESSIONAL BUDGET JUSTIFICATION FILES.</u> Documents accumulated by DAVA staff and, to a lesser extent, by operating Activities for defending DAVA budget estimates before Congress and Congressional Committees. Included are copies of opening statements, documents reflecting expected questions and answers thereto, prepared testimony, coordinating actions, resumes of Congressional hearings, and related papers. | <p>a. HQ DAVA Comptroller and office responsible for presenting the justification or testimony: Permanent. Offer to NARS when 20 years old in 5-year blocks (e.g., offer 1970-74 block in 1995).</p> <p>b. Other offices: Destroy after 2 years.</p> | 5/2a |
| | NOTE: Similar documents accumulated in nonprogramming and budgeting channels (i.e., offices responsible for staff supervision of the process or item being justified to the Congress) should be filed in the appropriate functional files for that item or process. | | |

302-06

ANNUAL FUNDING PROGRAM FILES. Documents used to to authorize operating activities to incur obligations necessary to permit operation. Included are annual funding programs and documents directly related to them.

a. Office responsible for preparation: Destroy 2 years after the close of the fiscal year in which funds were made available for obligation, or on receipt of notification of liquidation of funds, whichever is applicable.

b. Office of operating activities: Destroy 1 year after the fiscal year in which funds were made available for obligation.

302-07

BUDGET EXECUTION OPERATING PROGRAM PROGRESS REPORTING FILES. Documents which reflect actual performance, progress, accomplishments, deficiencies, and problems in relation to program goals. Included are cost and performance reports, statements of analysis, commander's narratives, summaries, monthly financial reviews, and similar or related documents.

Office responsible for preparation: Permanent. Offer to NARS when 20 years old in 5-year blocks (e.g., offer 1970-74 block in 1995). 5/2a

302-08

BUDGET DOCUMENTS FILES. Documents posted on books of original entry. They include allotment documents, obligation documents, duplicate copies of disbursement vouchers, and collection documents (including adjustments relating to deficiencies and irregularities).

a. Listings for card checks: Destroy after 1 year or on discontinuance, whichever is first.

b. Check reconciliation statements: Destroy on receipt of current list of outstanding checks.

c. Allotment documents: Destroy after 3 years.

d. Copies of individual military pay vouchers for active military personnel: Destroy after 6 months.

e. Copies of outstanding depository checks: Destroy when the checks have been paid.

f. Other documents: Destroy after 3 years, except that documents relating to exceptions taken by GAO will be retained until cleared by a satisfactory reply to the notice of exception and then destroyed.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------------|
| 302-09 | <u>REPORTING FILES.</u> Copies of reports forwarded to higher echelon, such as Office of the Secretary of Defense. Included are the following reports with documents; Status of allotments and suballotments; schedule of obligations by activity accounts; status of reimbursements; miscellaneous net disbursements and net collections; transactions for others; transactions for decentralized accounting offices; servicemen's deposits and repayments; special open allotments; statements of accountability; summary schedules of transactions--allotments; schedules of transactions for others; net expenditures, reimbursements, and related cash transactions; status of advance payments for contracts, status of progress payments for contracts; obligations by object class; reports of appropriation reimbursements; and similar or comparable reports. | a. Annual report (end of FY): Destroy after 5 years. b. Other report files: Destroy 3 years after the end of the FY. | 5/5a 5/5b |
| 302-10 | <u>RECORD OF TRAVEL PAYMENTS (CIVILIAN) FILES.</u> Documents used to reflect travel allowance payments made to individual civilian employees. Included are DD Forms 1588, comparable forms, and related documents. | Destroy 1 year after transfer or termination of employee or on discontinuance, whichever is first. | |
| 302-11 | <u>REPORT OF VIOLATION OF REVISED STATUTES 3679 FILES.</u> Documents relating to the reporting of and circumstances surrounding the overobligation, overexpenditure, or overdistribution of funds. Included are reports, statements, other supporting evidence, and reviews by higher authority. | a. HQ DAVA Comptroller: Destroy 10 years after close of case. Retain in CFA. b. Other offices: Destroy 3 years after close of case. | |
| 302-12 | <u>DAVA FOREIGN MILITARY SALES BUDGET FILES.</u> All documents relating to preparation and execution of the Foreign Military Sales Program. | a. Offices responsible for preparation: Destroy after 10 years in CFA. b. Other offices: Destroy after 3 years. | 5/1 |

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303 - PROPERTY AND FUND ACCOUNTING AND ADJUSTMENT FILES

These files relate to accounting for property and funds, including preparation and review of reports of survey and collection action taken thereon.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 303-01 | <u>INSTALLATION PROPERTY ACCOUNT FILES.</u> Files accumulated by offices in staff supervision of property accounts. They include copies of audit reports received from the Defense Audiovisual Agency, reports on the status of property accounts, and comparable documents relating to property accounts. | Destroy after 2 years. | |
| 303-02 | <u>REPORT OF SURVEY FILES.</u> Documents maintained for the purpose of reviewing circumstances concerning the loss, unserviceability, or destruction of Government property or funds, and for determination of the question of pecuniary or other responsibility for the absence or condition of articles or funds, and action taken thereon, such as reports of survey boards of officers proceedings, and other documents concerning reports of survey. | a. Office performing final review authority: Files involving pecuniary liability, destroy 2 years after completion of final action. b. Other offices: All files, destroy 1 year after completion of final action. | 3/10c |
| 303-03 | <u>REPORT OF SURVEY CONTROL REGISTER FILES.</u> Registers and related documents maintained to control reports of survey. | Destroy after 10 years. | |
| 303-04 | <u>CHARGE COLLECTION FILES.</u> Case files accumulated in connection with the pecuniary charges against individuals as a result of reports of survey or other adjustment procedures which have been approved by the responsible DAVA staff office. | Destroy 2 years after final action. | |

304 - CONSOLIDATED FINANCIAL FILES

These files accumulate at HQ DAVA Comptroller. They relate to the consolidated budgetary, financial, and statistical records and reports of all elements of the Defense Audiovisual Agency.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 304-01 | <u>BUDGETARY REPORTING FILES.</u> Consolidated budgetary reports and directly related documents which reflect the status of appropriations and/or funds accounts. These reports are prepared pursuant to requirements of law or as prescribed by directives issued by the OMB, Treasury Department, General Accounting Office and DoD. Included are such reports as Budget Status, Analysis of Appropriation Status by Activity and/or Project, Annual Certification of Unliquidated Obligations and Unobligated Balances, and Reimbursement Reports. File by report month. | a. Reports required by and submitted to outside agencies: September reports: Destroy after 5 years in CFA. b. Other reports: Destroy after 3 years in CFA. | 5/5a |
| 304-02 | <u>MISCELLANEOUS FEEDER DATA FILES.</u> Reports, listings, schedules, and similar documents that support and/or supplement major reports, consolidations, and reconciliations, or that are incidental to accounting and reporting financial transactions. File by type of data. | Destroy 1 year after the close of the FY covered by the budget. | 5/4 |
| 304-03 | <u>DEPARTMENTAL REPORTING GUIDE FILES.</u> Documents relating to the preparation of departmental reports. Included are instructions from other government agencies and the Department of Defense. | Destroy 3 years after discontinuance of report. | 5/b |
| 304-04 | <u>FOREIGN MILITARY SALES TRANSACTION FILES.</u> Documents relating to transactions consummated under the Foreign Military Sales Program including Supply Support Arrangements. Included are DoD Offer and Acceptances, accounting statements, and allocation advices received or prepared. File by country or international organization, by case designator. | Destroy 10 years after close of case. | |
| 304-05 | <u>LEDGER FILES.</u> General and subsidiary ledgers which are the official records used as a control over all financial transactions made by and for the Defense Audiovisual Agency. File by type. | Destroy 10 years after close of the FY involved. | 7/2 |
| 304-06 | <u>FINANCIAL PRIORITIES PROGRAM.</u> Documents and correspondence relating to the DoD Financial Priorities Program. | Destroy when superseded or no longer needed, whichever is sooner. | |

DAVA 5015.2-M

305 - FINANCE AND ACCOUNTING FILES

These files relate to finance and accounting systems and operations.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 305-01 | <u>ACCOUNTING SYSTEMS.</u> Documents relating to general ledger, property accounting, or other accounting systems used by the Defense Audiovisual Agency. Included are guidance from GAO or DoD, correspondence with supporting Military Department's Finance and Accounting Office, and other miscellaneous data relating to accounting systems used by DAVA. | Destroy when superseded or no longer needed, whichever is sooner. | |
| 305-02 | <u>SUBSIDIARY LEDGER FILES.</u> Documents relating to subsidiary ledgers maintained as a source for ascertaining the composition of general ledger accounts, to accumulate detail for analysis and reporting purposes, and verification of accuracy of general ledger accounts. They consist of allotment ledgers, open allotment ledgers, appropriation revenue ledgers, transactions for others ledgers, and unapplied due-out deposit funds. | Destroy after 3 years. | 7/4a |

SERIES 400
GENERAL COUNSEL AND PUBLIC AFFAIRS FILES

1. General Counsel and Public Affairs Files pertain to files for legal or Congressional and legislative liaison matters, U.S. litigation interests, claims, jurisdictions, and information activities.
2. Offices responsible for these functions will use this series to identify, maintain, and dispose of records documenting these matters.
3. These files have been assigned the basic series number of 400. Common Mission Files (201-01 through 201-08) for multipurpose files identification may also be used. Mission files are grouped in subfunctional categories, as follows:

401 - General Legal and Litigations Files
402 - Legislative and Congressional Files
403 - Informational Services Files

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401 - GENERAL LEGAL AND LITIGATIONS FILES

These files relate to legal opinions, legal assistance matters, employment and financial interest statements, and litigations uses.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 401-01 | <u>LEGAL OPINION PRECEDENT FILES.</u> Documents showing legal opinions concerned with interpretations of statutes, laws, regulations, investigations, and similar legal matters. | a. Formal legal opinions relating to major DAVA functions: Permanent. Retire after reference requirements have been satisfied. Offer to NARS in 5-year blocks when 25 years old (e.g., offer 1970-74 block in 2000). b. Other legal opinions: Destroy when obsolete or no longer needed. | |
| 401-02 | <u>EMPLOYMENT AND FINANCIAL INTEREST STATEMENT FILES.</u> Documents showing government employment, private employment, and financial interest of civilian and military employees. | Destroy 6 years after separation, retirement, reassignment, or death of the person. | |
| 401-03 | <u>LEGAL ASSISTANCE CASE FILES.</u> Documents pertaining to personal legal matters of military personnel or their dependents. | Destroy 6 months after completion of the case. | |
| 401-04 | <u>LITIGATION CASE FILES.</u> Documents on actual or potential legal proceedings in which the Agency has an interest. | Destroy 6 years after completion of litigations. | |

402 - LEGISLATIVE AND CONGRESSIONAL/WHITE HOUSE FILES

DAVA 5015.2-M

These files relate to:

- a. The initiation, processing, and coordination of legislation, Executive Orders, and proclamations either sponsored and supported by, or otherwise of interest to, DAVA.
- b. The preparation and coordination of replies to Congressional/White House inquiries.
- c. Liaison with and assistance provided Congressional committees investigating DAVA activities.
- d. Similar matters of a legislative or Congressional nature.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 402-01 | <p><u>LEGISLATIVE FILES.</u> Documents on preparing and processing of legislation. Executive Orders, proclamations, and reports on legislation proposed by or of interest to the Defense Audiovisual Agency, but exclusive of appropriation bills. Included are:</p> <ul style="list-style-type: none"> a. Communications containing drafts of legislation proposed by DAVA and reports to Congressional committees on introduced legislation. b. Comments on legislative proposals and reports on legislation proposed by or the responsibility of the Secretary of Defense, Navy, Air Force, or Army. c. Reports to the Office of Management and Budget on legislation proposed by agencies outside the Department of Defense. d. Intra-DAVA coordinating actions on the aforementioned legislative proposals. e. Related papers. <p>NOTE: Files gathered by DAVA operating offices will be filed in the proper functional files.</p> | <p>Offices performing staff responsibility for the overall DAVA legislative program: Cut off at close of each Congress. Permanent. Offer to NARS in 5-year blocks when 25 years old (e.g., offer 1970-74 block in 2000).</p> | |
| 402-02 | <p><u>LEGISLATION COMMENT FILES.</u> Documents showing comments on proposed legislation, Executive Orders, and proclamations. Included are:</p> <ul style="list-style-type: none"> a. Related copies of the organization's comments. b. Copies of proposed legislation. c. Related papers. | <p>Destroy after 10 years.</p> | |

402-03

HIGH-LEVEL INQUIRIES CORRESPONDENCE FILES. Documents on Congressional/White House inquiries on all matters within the scope and activity of DAVA, except in areas affecting budgets, appropriations, and related financial matters, or concerning the release of safeguarded information. Included is correspondence between:

- a. Members of Congress and their constituents or other people.
- b. Members of Congress and DAVA on such matters as:
 - (1) Alleged unfair treatment.
 - (2) Improper assignment.
 - (3) Poorly prepared food.
 - (4) Poor housing conditions.
 - (5) Inadequate medical attention.

NOTE: Files gathered in operating elements of all echelons will be filed in the proper functional files.

402-04

HIGH-LEVEL INVESTIGATION FILES. Documents showing liaison between DAVA and Congressional/White House committees. Included are:

- a. Papers on the selection of witnesses to appear before and the presentation of evidence to such committees.
- b. Information on the activities of Congressional/White House committees investigating the activities of the Agency.
- c. Analyses of committee reports.
- d. Coordination of Congressional/White House committee visits to DAVA establishments, including release of documents.

Offices in charge of overall coordination of DAVA Congressional/White House liaison activities: Destroy after 5 years.

Offices in charge of the maintenance of liaison between DAVA and Congressional/White House committees: Legislative offices or persons designated to coordinate and control Congressional/White House correspondence DAVA staff: Permanent. Offer to NARS in 5-year blocks when latest document is 25 years old (e.g., offer 1970-74 block in 2000).

FILE
NUMBER

DESCRIPTION

DISPOSITION

GRS

DAVA 5015.2-M

402-05

HIGH-LEVEL VISIT REPORTING FILES. Documents reporting visits by members or staff of Congressional/White House committees (except appropriation committees) to any element of DAVA. Documents include:

- a. The name of the visiting Congressional/White House committee or survey group.
- b. Subject of the visit.
- c. Reference copies of correspondence.
- d. Requests for travel orders.
- e. Messages.
- f. Financial statements and similar data.

- a. Offices in charge of overall coordination of DAVA Congressional/White House liaison activities: Destroy after 2 years.
- b. Other offices: Destroy after 6 months.

403 - INFORMATIONAL SERVICES FILES

These files are gathered from the program designed to keep the public informed of DAVA activities, thereby acquiring understanding, support, confidence, and respect for DAVA. Specifically they relate to:

- a. The release of information to the public.
- b. Action taken in conjunction with civic groups to enhance DAVA community relations.
- c. Participation in local, national, and international events.
- d. Similar actions which are taken to further good public relations.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 403-01 | <u>CEREMONY FILES.</u> a. Documents on the conduct of ceremonies conducted by DAVA or DAVA participation in ceremonies conducted by other organizations. Included are such ceremonies as: <ol style="list-style-type: none">(1) Retirements.(2) Funerals.(3) Reviews.(4) Honor Guards.(5) Parades.(6) Displays.(7) Exhibits.(8) Fairs.(9) Observance of local and national holidays.(10) Comparable activities. b. The files consist of: <ol style="list-style-type: none">(1) Copies of ceremonial and parade orders.(2) Drawings indicating formations or order of march. | a. Offices performing DAVA-wide responsibility: <ol style="list-style-type: none">(1) Historically important ceremonies selected by HQ DAVA: Permanent. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995).(2) Other ceremonies: Destroy after 5 years. b. Other offices: Destroy after 2 years or when no longer needed, whichever is later. | |

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|----------------|
| | (3) Group instructions. | | |
| | (4) Requests for DAVA participation or assistance in ceremonies. | | |
| | (5) Authorizations for troop participation. | | |
| | (6) Events that need coordination with other services and government agencies. | | |
| | (7) The coordinating actions and related papers. | | |
| 403-02 | <u>PUBLIC APPEARANCE SCHEDULE REPORTING FILES.</u> Documents showing scheduled speeches and participation by DAVA staff employees in activities such as panel-type programs sponsored by civilian organizations or for civilian audiences, press conferences or briefings, and radio and TV programs. | a. Offices performing DAVA-wide responsibility and requiring the report: Destroy after 10 years. b. Reporting offices: Destroy after 2 years. | |
| 403-03 | <u>NEWS MEDIA AND RELEASE FILES.</u> Documents on the preparation, coordination, clearance, and release of information to the public through newspapers, periodicals, radio, television, motion pictures, public appearances, and other media of dissemination. Included are: a. Press releases. b. Speeches. c. Radio, television, and motion picture scripts. d. The coordinating documents gathered in obtaining clearances for the releases. | a. Offices performing DAVA-wide responsibility: Permanent. Offer textual records to NARS in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995). b. Other offices: Destroy after 2 years. | 14/1a and b |
| 403-04 | <u>FEATURE STORY REVIEW FILES.</u> Documents on the assistance provided to magazine and book representatives in the development of feature stories concerning DAVA activities. Included are: a. Story outlines prepared by DAVA writers and provided the media representative. b. Advice on proposed stories which are being prepared by other writers. c. Papers on reviews of the stories for accuracy when desired by the writer. | a. Offices performing DAVA-wide responsibility: Destroy after 6 years. b. Other offices: Destroy after 2 years. | |

403-05

CONTRACTOR INFORMATION RELEASE FILES. Documents on procedures governing the release of information by manufacturers, colleges, universities, advertising agencies, and similar commercial and private entities relative to DAVA contracts or activities accomplished by contract. They further relate to the clearing of informational materials depicting DAVA themes which are voluntarily submitted for clearance by commercial organizations. Included are:

- a. Proposed articles.
- b. Technical papers and presentations.
- c. Brochures.
- d. Transparencies.
- e. Similar materials proposed for publication or release.
- f. Coordinating actions.
- g. Similar and related papers.

403-06

DAVA-AUTHORIZED INFORMATION CLEARANCE FILES. Documents on the review and clearance for publication of magazine and book manuscripts on military subjects (fact or fiction) which are authored by DAVA personnel. Included are:

- a. Copies of the manuscripts.
- b. Coordinating actions on the manuscripts.
- c. Related papers.

403-07

PUBLIC INQUIRY FILES. Documents on release of non-safeguarded or non-privileged information in response to requests or inquiries from the public. Included are:

- a. Routine requests for information on DAVA activities.
- b. Requests for photographs of persons and equipment.

Destroy after 6 years.

- a. Offices performing DAVA-wide responsibility: Destroy after 10 years.
- b. Coordinating offices of the DAVA staff: Destroy after 5 years.

Destroy after 2 years.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 403-08 | <p><u>DAVA-COMMUNITY RELATIONS FILES.</u> Documents on the maintenance and enhancement of relations between the Defense Audiovisual Agency and the civilian community. Included are:</p> <p>a. Papers on the work of community relations and civilian advisory committees.</p> <p>b. Meetings with representatives of other military activities located in the community.</p> <p>c. Open house programs.</p> <p>d. Joint social activities.</p> <p>e. Other cooperative endeavors of the Defense Audiovisual Agency and the community.</p> | Destroy after 5 years. | |
| 403-09 | <p><u>BIOGRAPHY FILES.</u> Biographies, photographs, newspaper clippings, and related documents pertaining to leading military and civilian personalities. Arrange alphabetically.</p> | Destroy when superseded or obsolete. | |
| 403-10 | <p><u>HOTLINE FILES.</u> All documents concerning allegations of fraud, mismanagement, and other related unlawful activities identified under the Hotline Program.</p> | Destroy 2 years after Defense Criminal Investigative Service (DCIS) investigation or referral is completed. | |

DAVA FUNCTIONAL FILE SYSTEM
SERIES 500
SECURITY AND PROTECTIVE SERVICES FILES

1. Security and Protective Services files relate to matters concerning security, protection of classified information, and the protective maintenance of all elements of the Defense Audiovisual Agency.
2. These files accumulate in offices responsible for security, personnel security, and protective services.
3. These files have been assigned the basic file number 500. Common Mission files (201-01 through 201-08) for multipurpose files identification may be used. Mission files are grouped in subfunctional categories, as follows:

501 - Information Security Files
502 - Protective Services Files
503 - Personnel Security Files

501 - INFORMATION SECURITY FILES

These records are created from the processes of safeguarding defense information in the interest of national security. These processes relate to the dissemination of classified information; the system for classification, regrading, and declassification; and the safekeeping and control of classified information.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 501-01 | <u>SECURITY CLASSIFICATION FILES.</u> Documents relating to the security classification or guarding system involving the classification or downgrading of documents; for example, correspondence or memorandums on downgrading and reports on security classification, but exclusive of other files described in this series. | a. Offices responsible for classification and downgrading: Destroy after 10 years. b. Other offices: Destroy after 3 years or on discontinuance, whichever comes first. | |
| 501-02 | <u>SECURITY REGRADING CASE FILES.</u> Documents relating to the review of specific classified documents or equipment for the purpose of regrading the documents or equipment | a. Office responsible for regrading audiovisual documents: Destroy after 10 years. b. Other offices: Destroy after 5 years. | |
| 501-03 | <u>CLASSIFIED MATERIAL ACCESS FILES.</u> Documents reflecting authorization to have access to classified files. They include forms containing individual's name, and signature of an official authorizing access. | Destroy 2 years after authorization expires. | 18/7 |
| 501-04 | <u>SECURITY INFORMATION RELEASE FILES.</u> Documents relating to the review of classified or potentially classified documentary materials for purposes of dissemination or release of information to sources outside the Defense Audiovisual Agency; such as the review of manuscripts, photography, lectures, radio and television scripts, and other materials. | a. HQ DAVA: Destroy after 10 years. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | |
| 501-05 | <u>SECURITY INFORMATION EXCHANGE FILES.</u> Documents relating to the exchange of security classified information with other government agencies, industry, and foreign governments; for example, correspondence relating to the exchange of information, exchange agreements, and related documents. | Destroy after 10 years. | |

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|--------|--|--|------|
| 501-06 | <p><u>CLASSIFIED DOCUMENTS INVENTORY FILES.</u> Documents maintained to show the receipt, identity, routing and location of classified documents. This file number is for use by the office responsible for the central inventory for HQ DAVA or DAVA Activities. Other offices will use file number 104-05. When files are used for other purposes, the following instructions will apply:</p> <p>a. Forms, ledgers, or registers that are used as classified document receipts will be disposed of in accordance with file number 501-08.</p> <p>b. Forms, ledgers, or registers that are used as classified document destruction certificates will be destroyed or retired in accordance with file numbers 501-09 or 501-10.</p> <p>c. Forms, ledgers, or registers that are used as a record of the receipt of registered or insured mail will be destroyed in accordance with file number 212-06.</p> | Individual forms or ledger sheets: Destroy 2 years after all classified documents recorded thereon have been transferred or destroyed, when entries have been transferred to a new sheet, or on discontinuance; whichever comes first. | 18/5 |
| 501-07 | <p><u>CLASSIFIED MATTER PERIODIC INVENTORY FILES.</u> Documents relating to periodic inventory of classified matter. Included are lists, registers, statements of satisfactory accounting for material, and related papers.</p> | Destroy after 2 years. | 18/5 |
| 501-08 | <p><u>CLASSIFIED DOCUMENTS RECEIPT FILES.</u> Documents reflecting the receipt, issue, or transfer of classified documents. This file number is for use by the office responsible for the central control of the receipt and dispatch of classified documents within an organization or element. Other offices will use file number 104-04.</p> | Destroy after 2 years. | 18 3 |
| 501-09 | <p><u>NONREGISTERED CLASSIFIED DOCUMENT DESTRUCTION CERTIFICATE FILES.</u> Forms reflecting the destruction of nonregistered classified documents. This file number is for use by the office responsible for maintaining a copy of all destruction certificates prepared within the Agency. Other offices will use file number 104-05.</p> | Destroy after 2 years. | 18/4 |
| 501-10 | <p><u>REGISTERED CLASSIFIED DOCUMENT DESTRUCTION CERTIFICATE FILES.</u> Documents reflecting the destruction of non-DoD noncryptographic registered documents.</p> <p>NOTE: Registered documents are non-DAVA documents controlled under the procedures of DoD 5200.1-R. Documents sent via U.S. Post Office registered mail are not necessarily registered documents.</p> | Destroy after 2 years. | 18/4 |

| | | | |
|--------|--|---|--------|
| 501-11 | <p><u>TOP SECRET MATERIAL ACCOUNTABILITY FILES.</u> Documents reflecting the identity, receipt, dispatch, downgrading, source, movement from one office to another, destruction, and current custodian of all TOP SECRET material for which the TOP SECRET Control officer is responsible.</p> | <p>Destroy in CFA 5 years after all items on individual pages have been destroyed, downgraded, dispatched, or when entries are transferred to new page.</p> | 18/6a |
| 501-12 | <p><u>TOP SECRET DOCUMENT RECORD FILES.</u> Documents used to record the names of persons having had access to the TOP SECRET documents, and to record copies of extracts distributed.</p> | <p>Destroy after related document is destroyed, transferred, or downgraded.</p> | 18/6b |
| 501-13 | <p><u>SECURITY COMPROMISE CASE FILES.</u> Documents relating to investigation of alleged security violations, such as missing documents, unauthorized disclosure of information, unattended open security containers, documents not properly safeguarded, and matters of a similar nature.</p> | <p>Destroy 5 years after completion of final corrective or disciplinary action.</p> | 18/25a |
| 501-14 | <p><u>SECURITY INSPECTION AND SURVEY FILES.</u> Documents relating to inspections and surveys primarily conducted by security officers to determine the adequacy of measures taken to protect security information against the hazards of fire, explosion, sabotage, and unauthorized access. Included are reports, recommendations, and related papers.</p> | <p>Destroy after 3 years or upon discontinuance of facility, whichever is sooner.</p> | 18/10 |
| 501-15 | <p><u>SECURITY EQUIPMENT FILES.</u> Documents relating to the determination of uses and types of security equipment for protecting classified documents and materials such as alarm systems, safes, and other security equipment.</p> | <p>Destroy when superseded or no longer needed, whichever is sooner.</p> | |
| 501-16 | <p><u>INDUSTRIAL INFORMATION SECURITY FILES.</u> Documents relating to the protection of classified information in the possession of industry, including documents relating to the issuance of clearance certificates, and related papers.</p> | <p>Destroy 2 years after authorization expires.</p> | 18/7 |

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502 - PROTECTIVE SERVICES FILES

These files relate to guard activities concerned with the protection and security of DAVA facilities. Included are personnel identification and physical security surveys.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 502-01 | <u>SECURITY IDENTIFICATION ISSUE FILES.</u> Documents pertaining to the issue of security identification cards and badges. Included are applications and similar or related documents. | Destroy documents and identification cards 3 months after return to issuing office. (GRS 11/4a) | 11/4a |
| 502-02 | <u>SECURITY IDENTIFICATION ACCOUNTABILITY FILES.</u> Documents used to maintain accountability for identification cards and badges. Included are registers and similar or related documents. | Destroy after all listed cards or badges are accounted for. | 11/4b |
| 502-03 | <u>PARKING PERMIT CONTROL FILES.</u> Documents relating to the allotment of parking spaces and recording of violations by holders of parking permits. | Destroy 3 months after transfer or separation of parking permit holder, or when permit is superseded or revoked, whichever is first. | 11/4a |
| 502-04 | <u>KEY ACCOUNTABILITY FILES.</u> Documents relating to the issue, return, and accountability of keys to secure areas. | a. Files on keys to restricted security areas: Destroy 3 years after turn-in of key. | 18/17 |
| | | b. Files relating to keys to other areas: Destroy 6 months after turn-in of key. | 18/17 |
| 502-05 | <u>PHYSICAL SECURITY SURVEY FILES.</u> Documents relating to surveys that are concerned with examination of the physical measures designed to safeguard personnel and prevent unauthorized access, sabotage, damage, or theft of equipment and facilities. Included are survey reports, recommendations, and related papers. | Destroy after 3 years. | 18/10 |
| 502-06 | <u>COMPLAINT AND INCIDENT FILES.</u> Documents relating to complaints and incidents observed or reported. Included are reports with supporting documents, such as statements, affidavits, DD Forms 1569, and related papers. | Destroy 2 years after termination or transfer of individual. | 18/12 |
| 502-07 | <u>VISITOR CONTROL FILES.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers. | Destroy 2 years after final entry or 2 years after date of document, as appropriate. | |

503 - PERSONNEL SECURITY FILES

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

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 503-01 | <u>SECURITY CLEARANCE INFORMATION FILES.</u> Documents containing the security clearance of individual personnel and the accreditation of personnel for access to classified files requiring special access authorizations. Included are cards, print-outs, and other lists or indexes. Reports of investigation, counterintelligence case files, and clearance documents filed in the official personnel folders are excluded. | Destroy upon notification of death or not later than 5 years after separation or transfer or employee or no later than 5 years after contract relationship expires, whichever is applicable. | 18/23 |
| 503-02 | <u>SECURITY BRIEFING AND DEBRIEFING FILES.</u> Documents relating to security briefing and debriefing of personnel authorized access to classified material. Included are briefing statements, debriefing statements and certificates, and related papers. | Destroy 2 years after separation, retirement, or obsolescence. | |

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DAVA FUNCTIONAL FILE SYSTEM
SERIES 600
CIVILIAN, MILITARY, AND GENERAL PERSONNEL
MANAGEMENT FILES

1. Civilian, Military, and General Personnel Management Files pertain to personnel management, pay management, employment services, individual employees, training, career management, grievance, welfare, and reduction-in-force programs.

2. Offices responsible for these functions will use this series to identify, maintain, and dispose of records documenting these subject matters.

3. Files relating to the major functional categories of personnel management have been assigned the basic series number of 600. Common Mission files (201-01 through 201-08) may be used for multipurpose identification. Mission files are grouped into subfunctional categories, as follows:

- 601 - Awards and Recognition Files
- 602 - Race Relations, Equal Opportunity, and Equal Employment
Opportunity (RR/EO and EEO) Files
- 603 - Alcohol and Drug Abuse Prevention and Control Files
- 604 - Labor-Management Relations Files
- 605 - Civilian Personnel Program Files
- 606 - Civilian Personnel Position and Pay Files
- 607 - Employment Services Files
- 608 - Employment Application Files
- 609 - Individual Civilian Personnel Files
- 610 - Civilian Personnel Action and Identification Files
- 611 - Civilian Personnel Training Files
- 612 - Promotions, Placement, and Career Management Files
- 613 - Civilian Personnel Welfare and Grievance Files
- 614 - Civilian Personnel Reduction-In-Force Files
- 615 - Military Personnel Distribution, Assignment, Leave, Absence,
Promotion, Elimination, and Demotion Files

601 - AWARDS AND RECOGNITION FILES

DAVA 5015.2-M

These files relate to awards and other forms of recognition given to civilian employees, members of the public, non-U.S. citizens, military units and schools, and private institutions. Additionally, these files relate to approving, disapproving, and reporting awards by incentive awards committees.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 601-01 | <u>AWARD CEREMONY FILES.</u> Documents relating to ceremonies arranged for the presentation of awards. Included are requests for support diagrams, citations, and similar or related documents. | Destroy after 2 years | 1/12a |
| 601-02 | <u>AWARD PUBLICITY FILES.</u> Documents related to publicizing or encouraging participation in specific awards programs such as the employee suggestion program. Includes are record copies of posters, placards, cartoons, newspaper items, photographs, letters, and similar or related documents. | a. Office performing DAVA-wide staff responsibilities: Destroy after 10 years. Cut off in 5-year blocks. b. Other offices: Destroy after 2 years. | |
| 601-03 | <u>PUBLIC AWARD CASE FILES.</u> Documents reflecting the recommendation, review, and approval or disapproval of awards to members of the public, noncareer government officials, private institutions, and non-U.S. citizens. Included in each case are approved or disapproved requests, certificates, and similar or related documents. | a. Office exercising approval authority: Destroy 2 years after approval or disapproval. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 1/12a |
| 601-04 | <u>SPECIAL ACHIEVEMENT AWARD FILES.</u> Documents reflecting the recommendations, review, and approval or disapproval of awards to posts, camps, stations, service schools, and to individuals and groups for achievements, such as research and development. Included are requests, certificates, citations, and similar or related documents. | a. Offices exercising awarding authority: Destroy after 5 years. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 1/12e |
| 601-05 | <u>APPROVED MILITARY AWARD CASE FILES.</u> Documents relating to the recommendation, review, and approval of military awards for individuals. Included are approved requests and related documents. | Destroy 2 years after approval. NOTE: Essential documents which are the basis for issuing orders will be filed in the appropriate background instruction files. | 1/12a |
| 601-06 | <u>DECORATION AND AWARD ISSUANCE FILES.</u> Documents related to providing information concerning awards given to individuals. Included are announcements, lists, cards, and similar or related documents. | Destroy 2 years after approval or disapproval. | 1/12a |

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|--------|--|---|-------|
| 601-07 | <u>DECORATION AND AWARD STATISTICAL FILES.</u> Documents relating to statistical information on the number of awards issued. Included are cards and tabulations, reports compiled from the cards, and similar or related documents. | Destroy after 3 years. | 1/13 |
| 601-08 | <u>DISAPPROVED MILITARY AWARD CASE FILES.</u> Documents relating to the review and disapproval of military awards for individuals. Included are disapproved requests and related documents. | Destroy 2 years after disapproval. | 1/12a |
| 601-09 | <u>INCENTIVE AWARDS REPORTING FILES.</u> Documents used to provide statistical information on participation, approvals, savings, or other aspects of the incentive awards program. Included are retained copies of reports, reports corrections, and similar or related documents. | a. Office performing DAVA-wide staff responsibility: Destroy after 3 years b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 1/13 |
| 601-10 | <u>INCENTIVE AWARD CASE FILES.</u> Documents related to submitting, evaluating, and approving or disapproving each incentive awards case. Included are approved and rejected suggestions and awards nominations. | Destroy 2 years after approval or disapproval. | 1/12a |
| 601-11 | <u>LOCAL INCENTIVE AWARDS COMMITTEE MEETING FILES.</u> Documents reflecting actions taken by local incentive award committees. Included are minutes of meetings and similar or related documents. | Destroy after 3 years or on discontinuance, whichever is first. | |
| 601-12 | <u>LENGTH OF SERVICE AND SICK LEAVE AWARDS FILE.</u> Documents include correspondence, memorandums, reports, computations of service and sick leave, and list of awardees. | Destroy after 1 year. | 1/12b |

602 - RACE RELATIONS, EQUAL OPPORTUNITY, AND EQUAL
EMPLOYMENT OPPORTUNITY (RR/EO AND EEO) FILES

DAVA 5015.2-M

These files result from DAVA programs established to promote racial harmony concerning race relations and equal opportunity and treatment for all personnel and to guarantee equal employment opportunity to all civilian employees.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|--------------------------|
| 602-01 | <u>RR/EO AND EEO REPORTING FILES.</u> Documents reflecting information reported on activities and conditions related to race relations and equal opportunity for military personnel and/or equal employment opportunity for civilian employees. Included are statistical and narrative reports, training report information, summaries, consolidations, and similar or related documents. | a. Office performing DAVA-wide staff responsibility: Destroy after 5 years or when superseded or obsolete, whichever is applicable. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 1/26 |
| | NOTE: Authorization to produce and maintain above data and statistics will be filed under 201-01 RR/EO Instruction Files. | | |
| 602-02 | <u>RR/EO AND EEO SURVEY FILES.</u> Documents related to conducting surveys on the implementation and effectiveness of race relations and equal opportunity for military personnel and equal employment opportunity for civilian employees. Included are reviews, appraisals, recommendations, final survey reports, and similar or related documents. | a. Office performing DAVA-wide staff responsibility: Destroy after 3 years or when superseded or obsolete, whichever is applicable. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 1/26g |
| 602-03 | <u>RR/EO AND EEO COMPLAINT FILES.</u> Documents related to complaints of personnel concerning race relations and equal opportunity for military personnel and equal employment opportunity for civilian employees. Included are complaints, transmittal letters, investigative data and summaries, findings of fact statements, final disposition reports, acceptance statements, withdrawal notices, and similar or related documents. | a. Office performing DAVA-wide staff responsibility: Destroy 4 years after resolution of case. (GRS 1/26a) b. Other offices: Destroy 1 year after resolution of case. | 1/26a 1/26b |
| 602-04 | <u>RR/EO AND EEO AFFIRMATIVE ACTION PLANS (AAP) FILES.</u> Documents related to the Agency affirmative action plans and related documents. | a. Consolidated plan prepared by the office performing DAVA-wide responsibility: Destroy 5 years from date of plan. b. Feeder reports: Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. | 1/26h(1) 1/26h(2) |

602-05

RR/EO AND EEO GENERAL FILES. Documents related to committee minutes, program activities, records of community contracts, sexual harassment records, and other related documents, for minorities, women, and handicapped personnel.

Destroy after 3 years or when superseded or obsolete, whichever is applicable.

1/26g

9-67

DAVA 5015.2-M

603 - ALCOHOL AND DRUG ABUSE PREVENTION AND CONTROL FILES

These files relate to the establishment and operation of a program to prevent and control alcohol and drug abuse by military personnel, dependents of military personnel, and civilian employees.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 603-01 | <u>ALCOHOL AND DRUG ABUSE PREVENTION AND CONTROL MANAGEMENT FILES.</u> Documents reflecting the implementation and status of the alcohol and drug abuse prevention and control program. Included are reports, lessons learned, and other documents relating to alcohol and drug abuse prevention, identification, treatment, rehabilitation, evaluation, and research and development. | a. HQ DAVA: Destroy 3 years after termination of counseling. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 1/27a |
| 603-02 | <u>ALCOHOL AND DRUG ABUSE PREVENTION AND CONTROL STATISTICAL FILES.</u> Documents reflecting statistics related to the alcohol and drug abuse prevention and control program. Included are complaints and similar or related documents. | a. HQ DAVA: Destroy after 3 years. b. Other offices: Destroy when no longer needed. | 1/27b |

DAVA 5015.2-M

604 - LABOR-MANAGEMENT RELATIONS FILES

These files relate to employee-management cooperation to increase efficiency within the Defense Audiovisual Agency and to contribute to the well-being of employees.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|----------------------|
| 604-01 | <u>BASIC LABOR RELATIONS FILES.</u> Documents relating to overall labor relations between the Defense Audiovisual Agency and labor organizations. Included are petitions for recognition, election plans, lists of employees eligible to vote and participate, certifications of election results, letters of recognition, union complaints, and related or similar documents. | Destroy after 5 years. | 1/29a(1) |
| 604-02 | <u>LABOR NEGOTIATION FILES.</u> Documents relating to contract negotiations between the Defense Audiovisual Agency and labor organizations. Included are labor organization proposals, counter proposals, minutes of meetings, transcripts, draft and approved agreements, supplements, and related or similar documents. | a. HQ DAVA: Destroy after 5 years. b. Other Offices: Destroy when superseded or obsolete. | 1/29a(1) 1/29a(2) |

605 - CIVILIAN PERSONNEL PROGRAM FILES

These files relate to statistical reporting and inspections of civilian personnel activities.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 605-01 | <u>CIVILIAN PERSONNEL PROGRAM REPORTING FILES.</u> Documents which provide data concerning various aspects of civilian personnel management activities. Included are statistical and narrative reports; consolidations, summaries, extracts of reports, and similar or related documents. | a. HQ DAVA: Consolidated and summarized reports: Destroy after 5 years. b. Other offices: Destroy after 2 years. | 1/16 |
| 605-02 | <u>CIVILIAN PERSONNEL INSPECTION FILES.</u> Documents reflecting inspections conducted by the Office Personnel Management (OPM) and authorized agencies. Included are reports of inspection, reports of corrective action taken, reclamation, and similar or related documents. | a. HQ DAVA: Destroy after 5 years. b. Other offices: Destroy 1 year after next comparable inspection. NOTE: Retain reports containing job evaluation determinations with effect on grade-level standards until superseded. | |

DAVA 5015.2-M

606 - CIVILIAN PERSONNEL POSITION AND PAY FILES

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

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|---------------------------|
| 606-01 | <u>POSITION NUMBER LOG FILES.</u> Documents reflecting a continuing list of numbers assigned and other identifying data pertaining to evaluated positions. Included are registers, logbooks, and similar or related documents. | Destroy on discontinuance of installation or when a new numbering system is prescribed. | |
| 606-02 | <u>POSITION STANDARDS FILES.</u> a. Documents used in analyzing a specific position to determine whether the position matches an existing position. Included are position descriptions and similar or related documents. OPM standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements. b. Documents which provide guidance in evaluation of positions and consist of OPM, DAVA classification and qualification standards. Included are position evaluation decisions, post-audit reports by OPM and higher headquarters which have the effect of standards, and similar or related documents. | a. Record copy: Destroy 5 years after position is abolished or description superseded, unless there is likelihood the position will be reestablished. b. Other copies: Destroy when position is abolished or description superseded. | 1/7a(2) 1/7a(2) |
| 606-03 | <u>CIVILIAN POSITION STRUCTURE FILES.</u> Documents reflecting the civilian position structure of each organizational segment. Included are individual organizational folders containing position structure charts, summaries and survey lists, position descriptions, target transition plans, evaluation statements, and similar or related documents. | Destroy when superseded or obsolete. | |
| 606-04 | <u>POSITION DESCRIPTIONS FILES.</u> Files describing established positions including information on titles, series, grade, duties, and responsibilities. | a. Record copy: Destroy 5 years after position is abolished or description superseded. b. Other copies: Destroy when position is abolished or description superseded. | 1/7b(1) 1/7b(2) |
| 606-05 | <u>JOB STANDARD DEVELOPMENT FILES.</u> Documents relating to the development of classification or qualification standards. Included are tentative drafts of standards, correspondence, project schedules, materials, and similar or related documents. | Case File: Destroy 5 years after position is abolished or description superseded, unless there is likelihood the position will be reestablished. Review file: Destroy after 2 years. | 1/7a(2) 1/7a(2)(b) |

9-71

DAVA 5015-2-M

FILE
NUMBER

DESCRIPTION

DISPOSITION

GRS

606-06

WAGE RATE FILES. Documents relating to the determination and application of base rate schedules for wage grade jobs. Included are tentative and revised schedules of full-scale wage surveys; requests for changes to surveys; requests for changes to survey schedules; minutes of meetings; comments, recommendations, and justifications; collected and supplemental wage data concerning regular and overtime rates, bonuses, incentives, and shift differentials; data summaries; wage schedules; notifications of wage schedule applications; and similar or related documents.

a. Destroy after completion of second succeeding wage survey.

2/24

b. Other offices: Destroy when superseded or obsolete.

DAVA 5015.2-M

607 - EMPLOYMENT SERVICES FILES

These files relate to selecting and retaining employees for DAVA.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 607-01 | <u>CIVIL SERVICE ELIGIBILITY CERTIFICATE FILES.</u> Documents providing a record of requests to the OPM for certification of eligibles and reports of action taken on certificates of eligibles. | Destroy after 2 years. | 1/5 |
| 607-02 | <u>REEMPLOYMENT FILES.</u> Documents reflecting persons separated by reduction in force, for military service, or having other restoration or reemployment rights. Included are skills listings and similar or related documents. | Destroy 1 year after employee restoration or reemployment rights have expired. NOTE: Return to employee evaluation record file (file number 612-03) if employee is reemployed. | |
| 607-03 | <u>SPECIAL DEFERMENT FILES.</u> Documents pertaining to each request for deferment or action in support of deferment. | Destroy 1 year after transfer or separation of individual or on termination of deferment. | |

608 - EMPLOYMENT APPLICATION FILES

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

DAVA 5015.2-M

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 608-01 | <u>ROSTER FILES</u> . Documents providing an index to applications of qualified eligibles; governing the order of selection of applicants for appointment; and providing a basis for determining subsequent recruiting needs, a reference to determine action taken on specific applications, and a reference to the Qualification Standard files. | Destroy after OPM inspection. | |
| 608-02 | <u>QUALIFICATION STANDARD FILES</u> . Documents used in rating applications for appointments and approving noncompetitive actions. Included are index to standards; OPM Handbook X-118; examination announcements; special standards, such as promotion and training agreements; and similar or related documents. | Destroy when qualification standard is superseded. (Superseded standards may be retained until OPM inspection covering covering period during which the standard was applicable.) | |
| 608-03 | <u>ACTIVE APPLICATION FILES</u> . Documents pertaining to individuals who can be considered for appointment. Included are applications (Standard Form (SF) 171) and related documents. | Destroy after 2 years or on receipt of OPM inspection report, whichever is first. NOTE: In all cases, retain applications having direct bearing on appointment in question until question is settled. | 1/15 |
| 608-04 | <u>INACTIVE APPLICATION FILES</u> . Documents pertaining to federal employment rated as not qualified for consideration for appointment; applicants for whom employment determinations preclude selection. Included are applications (SF 171) and related documents. | Destroy after 2 years or on receipt of OPM inspection report, whichever is first. | 1/15 |

609 - INDIVIDUAL CIVILIAN PERSONNEL FILES

These files relate to documenting the service of each individual employee of DAVA.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|---|
| 609-01 | <p><u>OFFICIAL PERSONNEL FOLDER FILES.</u> Documents which reflect qualification, efficiency, promotions, awards, certificates of clearance and/or security determination, and similar information on a civil service employee. Included are individual personnel folders.</p> <p>NOTE: For purposes of this definition, the material in Book V, Table 8, FPM Supplement 206-31 (records containing information of a privileged nature not deemed appropriate for inclusion in the employee's Official Personnel Folder during employment) is considered a part of this file, although it is maintained separately under the personal supervision of the civilian personnel officer.</p> | <p>a. Transfer of employee: Transfer folder to new employing office.</p> <p>b. Separation of employee: Retire to National Personnel Records Center (Civilian), 111 Winnebago St., St. Louis, MO 63118, 30 days after separation, unless retention is indicated by subparagraph S6-7 Appendix A, FPM Supplement 296-31. NPRC (CIV) will destroy 75 years after date of birth or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, or 5 years after latest separation, whichever is later.</p> | <p>1/lb(1)</p> <p>1/lb(2)</p> |
| 609-02 | <p><u>EMPLOYEE SERVICE RECORD FILES.</u> Documents reflecting the service of civil service employees. Included are SF 7 and similar or related documents.</p> | <p>Destroy 3 years after separation or transfer of employee.</p> | <p>1/2b</p> |
| 609-03 | <p><u>EXPERT AND CONSULTANT DATA FILES.</u> Documents reflecting the names, designations, rates of compensation, duties, and number of days service of experts and consultants. Included are extra copies of personnel actions, descriptions of services to be performed, and similar or related documents.</p> | <p>Destroy 2 years after separation of employee.</p> | |
| 609-04 | <p><u>CIVILIAN SERVICE EMBLEM CONTROL FILES.</u> Documents reflecting eligibility for, or award of, civilian service emblems. Included are cards, printouts, and similar or related documents.</p> | <p>Destroy on transfer or separation of employee, or when no longer needed.</p> | |
| 609-05 | <p><u>EMPLOYEE PERFORMANCE FILES.</u> Documents include listing of the employee's performance elements, both critical and noncritical, and the performance standard for them. Documents challenging a denial of a within-grade increase. Any documents prepared by a reviewing official or other Agency official for personnel actions and all other documents affecting or pertaining to the employee's performance rating.</p> | <p>a. Performance appraisals pertaining to SES appointees: Destroy after 5 years.</p> <p>b. Performance appraisals pertaining to all other employees: Destroy after 3 years.</p> <p>c. Performance-related documents: Destroy after 1 year. Documents needed in grievance procedures, or similar actions may be retained longer.</p> <p>NOTE: Appraisals of unacceptable performance and related documents are destroyed after the employee completes 1 year of acceptable performance from the date of the proposed removal or reduction-in-grade notice.</p> | <p>1/23b(3)</p> <p>1/23a(3)</p> <p>1/23a(5)</p> <p>1/23a(1)</p> |

610 - CIVILIAN PERSONNEL ACTION AND IDENTIFICATION FILES

These files relate to processing personnel actions pertaining to civilian employees of DAVA and providing civilian employees with identification cards.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 610-01 | <u>LOCATOR FILES.</u> Documents reflecting the organizational segment to which the employee is assigned. | Destroy on transfer or separation of employee. Earlier destruction is authorized. | |
| 610-02 | <u>POSITION DESCRIPTION EXTRA COPY FILES.</u> Documents used for distribution to employees and for filing in Official Personnel Folders when personnel actions are processed. Included are extra copies of position descriptions. | Destroy when superseded or when position is abolished. | 1/7b |
| 610-03 | <u>CHRONOLOGICAL JOURNAL FILES.</u> Documents used for preparing reports, review of actions previously processed, and OPM inspections. Included are SF 50 (Notification of Personnel Action) (Copy 5) and similar or related documents. | Destroy after 2 years. Cut off at end of each month. | |
| 610-04 | <u>GROUP ACTION REQUEST LIST FILES.</u> Documents related to processing personnel and position actions resulting from position surveys. | Destroy 4 years after supersession. | |

DAVA 5015.2-M

611 - CIVILIAN PERSONNEL TRAINING FILES

These files relate to training DAVA civilian employees by various methods of on-the-job and off-the-job training.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 611-01 | <u>TRAINING AND PROMOTION AGREEMENT FILES.</u> Documents related to negotiating master training and promotion agreements with OPM in professional fields in which there is a current and continuing DAVA shortage of available personnel. Included are requests for establishment of training programs not currently authorized by regulations, agreements, program approvals, and similar or related documents. | a. Office responsible for negotiating the agreement: Destroy 6 years after supersession or obsolescence. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | |
| 611-02 | <u>CIVILIAN TRAINING WAIVER FILES.</u> Documents related to authorizing waivers to the criteria for selecting and assignment of employees for training in nongovernment facilities. Included are requests for waivers, recommendations, approvals, and similar or related documents. NOTE: Operating personnel offices will use file number 611-08, CONTRACT TRAINING FILES. | a. Offices responsible for authorizing the waiver: Destroy when 5 years old or 5 years after completion of a specific training program. b. Other offices: Destroy after 2 years. | 1/30b |
| 611-03 | <u>NONGOVERNMENT TRAINING CONTRIBUTIONS FILES.</u> Documents relating to authorizations for civilian employees to accept contributions from nongovernment organizations incident to training in nongovernment facilities or to accept payment for travel, subsistence, and other expenses incident to attendance at meetings. Included are requests for approval of acceptance, certifications as to the tax exempt status of the organization making the contribution, acceptance authorizations, and similar or related documents. | Destroy after 3 years or on discontinuance, whichever is first. | |
| 611-04 | <u>FOREIGN TRAINING APPROVAL FILES.</u> Documents related to approving the use of facilities of foreign governments or international organizations for the training of civilian employees. Included are recommendations for use of foreign training facilities, approvals, and similar or related documents. Excluded are contractual documents and personnel assignment documents. | a. Offices responsible for DAVA approval: Destroy 5 years after withdrawal of the facility for training purposes. b. Recommending offices: Destroy on determination that the services of the foreign facility are no longer required. c. Other offices: Destroy after 2 years. | |

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 611-05 | <u>CIVILIAN TRAINING REPORTING FILES.</u> Documents reflecting the status of civilian training in government and nongovernment facilities. Included are reports and related documents. | a. HQ DAVA: Destroy after 3 years. b. Other offices: Destroy after 2 years. | 1/30b(2) |
| 611-06 | <u>CIVILIAN TRAINING PROGRAM FILES.</u> Documents relating to the establishment, management, and evaluation of local training programs for civilian employees. Included are minutes of training and development committee meetings; training plans; reviews of training requirements; apprentice training program registration with the Department of Labor; higher echelon approvals; and similar or related documents. | a. Operating personnel offices: Destroy after 5 years or 5 years after completion of a specific training program. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 1/30b |
| 611-07 | <u>TRAINING FILES.</u> Documents reflecting attendance and progress of employees in specific courses involving off-the-job and/or on-the-job training. Included are completed forms reflecting training attendance, rating and training timetables, and similar or related documents. | Destroy after 5 years or when superseded or obsolete, whichever is first. | 1/30c |
| 611-08 | <u>CONTRACT TRAINING FILES.</u> Documents reflecting contract training of civilian employees in nongovernment facilities. Included are requests for approval of the training, justification, obligated service agreements, recommendations for waivers, approvals, and similar or related documents. | Destroy after 5 years or upon expiration of obligated service agreement. | 1/30c |
| 611-09 | <u>RECORD OF TRAINING FILES.</u> Documents reflecting information pertinent to individual trainee participation in off-the-job training courses, the second copy of completed record of training forms, and similar or related documents. | Destroy after 5 years or when superseded or obsolete, whichever is sooner. | 1/30c |
| 611-10 | <u>CIVILIAN TRAINING MATERIAL FILES.</u> Documents used in the training of civilian personnel through short onsite training courses and instructional conferences. Included are minutes and agenda of instructional conferences, course outlines, handouts, instruction sheets, and similar or related documents. | a. Offices preparing materials for DAVA use: Destroy after 10 years. Cut off annually or when superseded or obsolete. b. Offices preparing material for local use: Destroy 2 years after superseded or obsolete or destroy on discontinuance, whichever is first. | 1/30a |

611-11 INDIVIDUAL APPRENTICE TRAINING FILES. Documents related to apprenticeship training. Included are apprenticeship applications; apprenticeship agreements; notices of authorization of training and subsistence allowance; Veterans Administration certificates of eligibility and entitlement; Veterans Administration notices of expiration of entitlement; daily progress records; monthly reports of progress; and similar or related documents.

Destroy 1 year after completion of the prescribed course of training or on discontinuance, whichever is first. However, when apprentice does not complete training, destroy 6 years after the individual drops out of training.

611-12 APPRENTICE TRAINING EXAMINATION FILES. Documents reflecting an apprentice's achievement in the apprentice training program. Included are examinations and related documents.

Destroy after 1 year or on discontinuance, whichever is first.

612 - PROMOTIONS, PLACEMENT, AND CAREER MANAGEMENT FILES

DAVA 5015.2-M

These files relate to the promotion, placement, oversea employment, and career management of civilian employees.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 612-01 | <u>REFERRAL AND SELECTION FILES.</u> Documents reflecting placement and promotion actions under the Merit Placement and Promotion Program. NOTE: Maintain in chronological order by effective date of personnel action. File provides cross-reference to chronological file of SF 50 for inspection purposes. | Destroy after 2 years. | 1/14a |
| 612-02 | <u>PLACEMENT CONSIDERATION FILES.</u> Documents pertaining to employees considered to fill a vacancy but not selected and held for future consideration of employment. Included are requests for consideration, vouchers, results of interviews, qualification summaries, copies of notices of eligibility, "stopper lists," and similar or related documents. | Destroy after 2 years or on receipt of OPM inspection report, whichever is first. | 1/15 |
| 612-03 | <u>EMPLOYEE EVALUATION RECORD FILES.</u> Documents reflecting qualifications, personal data, interviews, training data, and evaluations which are used as a "tickler" for followup interviews. | Destroy 6 months after transfer or separation of employee. | 1/8 |
| 612-04 | <u>CAREER MANAGEMENT FILES.</u> Documents related to formulating and directing a planned system for the progressive development of employees and to provide a source of input to meet continuing staffing requirements within designated career occupational fields. Included are coordinating actions, studies, interpretations, and published record copies of instructions; command-type letters; messages; technical newsletters; and similar or related documents. | a. Offices responsible for Agency-wide career fields: Destroy after 10 years in CFA. b. Other offices: Destroy after 5 years. | |
| 612-05 | <u>OCCUPATIONAL INVENTORY FILES.</u> Documents reflecting qualifications, availability, appraisals, and other data on persons registered in specific career fields. Included are forms, printouts, and similar or related documents. | Destroy 3 years after individual is no longer eligible for consideration. | |
| 612-06 | <u>CIVILIAN CAREER REFERRAL FILES.</u> Documents related to requesting and furnishing names of individuals from occupational inventory files or general information concerning career programs. Included are replies to requests and similar or related documents. | Destroy after 3 years. | 1/3 |

| | | | |
|--------|--|--|------|
| 612-07 | <u>INDIVIDUAL OVERSEA EMPLOYMENT REFERRAL FILES.</u> Documents pertaining to individuals registered in the Oversea Employment Program. Included in each folder are the application; name, skills, grade levels, and locations for which registered; offers received and action taken; correspondence with registrant; date dropped from system and reason; and similar or related information. | Destroy after 3 years. | 1/3 |
| 612-08 | <u>CAREER TRAINEE INPUT REQUIREMENT FILES.</u> Documents reflecting trainee input requirements in occupational fields. Included are letters, forms, printouts, and similar or related documents. | Destroy after 3 years. | 1/3 |
| 612-09 | <u>OCCUPATIONAL QUALIFICATION LIST FILES.</u> Documents reflecting employee's skills or special qualifications, when necessary as an integral part of an inservice placement program. | Destroy when superseded. | |
| 612-10 | <u>SEPARATED CAREER EMPLOYEE FILES.</u> Documents relating to the separated career employee program. Included are displacement orders issued by regional offices of the OPM and similar or related documents. | Destroy after 3 years. | 1/3 |
| 612-11 | <u>REPROMOTION ELIGIBILITY FILES.</u> Documents pertaining to employees demoted without personal cause and eligible for placement in former or higher grade. Included are lists or cards recording names, titles, grades and positions for which employees meet minimum qualification requirements. | Destroy 2 years after personnel action or after the action has been audited by OPM, whichever is sooner. | 1/33 |

613 - CIVILIAN PERSONNEL WELFARE AND GRIEVANCE FILES

DAVA 5015.2-M

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

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 613-01 | <u>HOURS OF WORK FILES.</u> Documents relating to the establishment of working hours, staggered shifts, holiday staffing, and similar matters affecting the work schedule of civilian employees. Included are coordinating actions, studies, interpretations, and published record copies of instructions; letters; messages; and similar or related documents. | a. HQ DAVA: Destroy 5 years after no longer effective. b. Other offices: Destroy 1 year after no longer effective. | |
| 613-02 | <u>APPEAL AND GRIEVANCE CASE FILES.</u> Documents reflecting action taken on appeals and grievances submitted by civil service employees. Included in each case are employee grievance records; decisions delivered, including records of grievance committee; review decisions; and similar or related documents. | Destroy 3 years after case is closed. | 1/31a |
| 613-03 | <u>APPEAL AND GRIEVANCE LOG FILES.</u> Documents reflecting a continuing list of numbers assigned to control individual appeal and grievance case files. Included are registers, logbooks, cards, and similar or related documents. | Destroy when no longer needed to facilitate or control individual case files. | |
| 613-04 | <u>ADVERSE ACTION FILES.</u> Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand. | Destroy 4 years after case is closed. | 1/31b |

614 - CIVILIAN PERSONNEL REDUCTION-IN-FORCE FILES

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

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 614-01 | <u>REDUCTION-IN-FORCE CARD FILES.</u> Documents reflecting reduction-in-force data, including name of employee, date, position, grade, last performance rating, competitive level code, and similar information. Included are plain cards, punched cards, card forms, and similar or related documents. | Destroy on separation of employee. However, cards used as work cards for preparation of retention registers will be destroyed on completion of the activity for which they were established. | |
| 614-02 | <u>COMPETITIVE LEVEL LOG FILES.</u> Documents reflecting competitive levels within areas serviced by the civilian personnel officer which are used as a basis for preparing retention registers. Included are cards, listings, and similar or related documents. | Destroy when superseded or obsolete. | 1/17b(2) |
| 614-03 | <u>RETENTION REGISTER FILES.</u> Documents reflecting retention groups of employees according to tenure, length of service, performance ratings, and veterans preference. Included are registers and similar or related documents. | Destroy after 2 years, unless appeals are pending. | 1/17b(1) |

615 - MILITARY PERSONNEL DISTRIBUTION, ASSIGNMENT, LEAVE, ABSENCE,
PROMOTION, ELIMINATION, AND DEMOTION FILES

DAVA 5015.2-M

These files relate to distributing available individuals to meet personnel requirements; assigning, transferring, or detailing individuals for duty with specific units or activities; and prescribing conditions and procedures for the promotion or demotion of military personnel. These files also relate to the granting of leave and passes to military personnel and to unauthorized absences from duty.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 615-01 | <u>MILITARY PERSONNEL DISTRIBUTION CONTROL FILES.</u> Documents related to determining and effecting the actual distribution or redistribution of personnel. Included are notifications of allocations and levies, reports or rosters of personnel available, requirements (requisitions), distribution instructions, short shipments, and similar or related documents. | Destroy after 1 year or on discontinuance, whichever is first. | |
| 615-02 | <u>MILITARY PERSONNEL ASSIGNMENT FILES.</u> Documents related to assigning or reassigning specific officers and enlisted personnel to their places and/or types of duty. Included are requisitions, nominations; applications and preference statements of individuals; assignment orders or instructions; deferments, delays, or restrictions (such as sole surviving son or conscientious objectors); terminations or extensions thereof; and similar or related documents. | Destroy after 1 year or on discontinuance, whichever is first. | |
| 615-03 | <u>LEAVE OF ABSENCE FILES.</u> Copies of AF Form 988 or comparable form used in requesting and granting leave for military personnel. | Destroy after 6 months or on discontinuance, whichever is first. | |
| 615-04 | <u>ENLISTED PERSONNEL PASS FILES.</u> Documents authorizing enlisted personnel to be absent on other than leave. | Destroy upon return of the individual from pass, except when required as evidence in proceedings. | |
| 615-05 | <u>LEAVE CONTROL LOG FILES.</u> AF Form 1436 or comparable form, used to control absences from unit or activities containing name, grade, SSN of individual authorized for absences; control number; date of departure and return; length of absence; and related information. Included are logs and similar or related documents. | Destroy after 1 year or on discontinuance, whichever is first. | |
| 615-06 | <u>PROMOTION ELIGIBILITY ROSTER FILES.</u> Documents relating to individuals eligible for consideration for promotion. Included are recommendations and similar or related documents. | Destroy after 2 years. | |

615-07

ENLISTED PROMOTION FILES. Documents related to considering enlisted personnel for promotion. Included are approved requests, disapproved requests, orders, promotion lists, and similar or related documents.

Destroy on promotion of individual. Forward on change of custodian.

615-08

MILITARY PERSONNEL INFORMATION FILES. Copies consist of personnel career briefs; efficiency reports (USA); fitness reports (USN); and effectiveness reports (USMC); personal biographies; award recommendations; military personnel information roster; and related information. Included are copies of official correspondence submitted by the individual concerned or received from his/her parent service regarding requests or proposed duty assignments and related matters.

Destroy 1 year after transfer or separation of individual.

WITHDRAWN

DAVA FUNCTIONAL FILES SYSTEM
SERIES 700
AUDIOVISUAL FILES

DAVA 5015.2-M

1. Audiovisual Files relate to audiovisual missions and functions.
2. Offices responsible for audiovisual functions will use this series to identify, maintain, and dispose of documents relating to these operations.
3. These files have been assigned the basic series number of 700. Common Mission files (201-01 through 201-08) for multipurpose files identification may be used. Mission files are grouped into subfunctional categories, as follows:

701 - Still Photographs Files
702 - Motion Pictures Files
703 - Videotapes Files
704 - Audiovisual Services Files

(RESERVED)

WITHDRAWN

DAVA FUNCTIONAL FILE SYSTEM
SERIES 800
LOGISTICS, ACQUISITION, ENGINEERING/MAINTENANCE, AND SAFETY FILES

1. Logistics, Acquisition, Engineering, Maintenance and Safety Files relate to the acquisition, storage, issue, disposition, maintenance, and accountability of all types of supplies and equipment. These files also relate to the management of administrative motor vehicles, such as the direction, control, and supervision of transportation functions; expediting supply shipments; and the use of bills of lading.
2. Offices responsible for logistics, supplies, acquisition, maintenance, and transportation functions will use this series to identify, maintain, and dispose of records pertaining to these functions or operations.
3. This series has been assigned the basic file number of 800. Common Mission files (201-01 through 201-08) may be used for multipurpose identification. Mission files are grouped into subfunctional categories, as follows:

- 801 - Acquisition Files
- 802 - General Supply Accounting Files
- 803 - Energy Conservation Files
- 804 - Safety Program Files
- 805 - Engineering/Maintenance Files

801 - ACQUISITION FILES

DAVA 5015.2-M

These files relate to the supervision and administration of DAVA acquisition of supplies, equipment, and services. These files accumulate at Activities concerned with contracting.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 801-01 | <u>CONTRACT STATUTORY RESTRICTION FILES.</u> Documents used in developing standard contract forms and clauses and in authorizing deviations from them. Included are copies of statutory requirements; coordination documents; studies, requests, approvals, and disapprovals of deviations; and similar documents. | Offices performing DAVA-wide staff responsibility: Destroy 6 years after completion of action, such as publication of clause or form, or approval or disapproval of deviation. | |
| 801-02 | <u>DETERMINATIONS AND FINDINGS FILES.</u> Documents related to determinations and findings required prior to negotiation of contracts. Included are determinations and findings and directly related correspondence. NOTE: Offices administering contracts which result from the determinations and findings will file the documents with the resulting contract. | Destroy after 6 years. | |
| 801-03 | <u>CONTRACT REVIEW FILES.</u> Documents used by supervisory headquarters reviewing contracts for such aspects as legal sufficiency, appropriateness of award, reasonableness of price and cost, and similar matters. Included are copies of contracts, worksheets, related correspondence, and similar data. | Destroy after 6 years or after completion of review, whichever is applicable. | |
| 801-04 | <u>BID AND AWARD PROTEST FILES.</u> Documents relating to actions taken with respect to correcting mistakes in bids and in settling of protests of awards. Included are copies of bids, contracts, notices of award; decisions; copies of statutes; similar documents; and related papers. | a. Offices authorized to perform final review: Destroy 6 years after final determination. b. Other offices: File and dispose of with related files. | |

- 801-05 CONTRACT APPEAL FILES. Documents compiled by contracting officers and transmitted through channels to the Armed Services Board of Contract Appeals. These files relate to appeals by contractors from decisions on disputed questions by contracting officers or their authorized representative pursuant to appendix A, Defense Acquisition Regulation. Included are all documents pertinent to the appeal, such as findings of facts, and the decision from which the appeal is taken; the contract and pertinent plans, specifications, amendments, and change orders; correspondence between the parties; transcripts of testimony taken during the course of proceedings on the matter in dispute prior to filing the notice of appeal with the Board; and such additional documents as the contracting officer may consider essential or as may be designated by the Board.
- Destroy 10 years after final decision of the Board. 3/19
- 801-06 ACQUISITION MISCONDUCT CASE FILES. Documents accumulated as case files which deal with specific incidents relating to fraud, misconduct, criminal conduct, or misconduct in connection with contract matters. Included are investigations, statements, reports, decisions, similar documents, and related papers. These files also provide information for publication of the debarred, ineligible, or suspended bidders list.
- a. Offices authorized to make final determination: Destroy 20 years after final determination.
Other offices: Destroy 1 year after close of case.
- 801-07 ADVANCE PLANNING ACQUISITION FILES. Documents relating to the release of advance planning information to industrial firms for their use in future planning and to aid in submitting bids for required material. Included are synopses of advance contract planning information, lists of bidders, inquiries from industrial firms and answers thereto, reports, similar documents, and related papers.
- Destroy after 6 years.
- 801-08 SOLICITATION REVIEW FILES. Invitations for bids or requests for proposals submitted to HQ DAVA or DAVA Activities for review to ensure compliance with acquisition regulations prior to solicitation.
- Destroy 1 year after completion of review.
- 801-09 CONTRACTING OFFICER DESIGNATION FILES. Documents reflecting the designation and rescission of contracting officers and contracting officer's representative which include the specific acquisition authorities delegated.
- Destroy 6 years after rescission or termination.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|---------------------|
| 801-10 | <u>SMALL/DISADVANTAGED BUSINESS.</u> Documents relating to small or socially disadvantaged business, goals, policies, and procedures. | Destroy after 6 years. | |
| 801-11 | <u>REPORTS.</u> Acquisition/contracting reports prescribed by acquisition directives (e.g., DAR Section XXI). Other examples are ID Forms 350 and 1057 reports. | Destroy after 6 years. | |
| 801-12 | <u>TRANSACTION OF MORE THAN \$10,000 FILES.</u> Consisting of records set of contract, requisition, purchase order, lease, and bond and surety bonds, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment. | a. Transactions of more than \$10,000 and all construction contracts exceeding \$2,000: Destroy 6 years and 3 months after final payment. b. Obligation copy: Destroy when funds are obligated. | 3/4a(1) 3/4b |
| 801-13 | <u>TRANSACTION OF \$10,000 OR LESS FILES.</u> Consisting of record set of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment. | a. Transactions of \$10,000 or less and construction contracts under \$2,000: Destroy 3 years after final payment. (Close file at the end of the fiscal year; retain 3 years and destroy, except those files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.) b. Obligation copy: Destroy when funds are obligated. | 3/4a(2) 3/4b |
| 801-14 | <u>COMMERCIAL-INDUSTRIAL TYPE FUNCTIONS (CITF) PROGRAM FILES.</u> Documents accumulated as a result of conducting studies to determine the feasibility of performing commercial-industrial type functions either by in-house or contract. Included are feasibility studies, triennial review of functions, cost analyses justifications, approvals, new start proposals, and supporting documentation. | a. Office performing DAVA-wide staff responsibility: Destroy after 6 years. b. Other offices: Destroy upon completion of next triennial review. | |

DAVA 5015.2-M

802 - GENERAL SUPPLY ACCOUNTING FILES

These files accumulate as a result of accounting for supplies and equipment, a responsibility of accountable supply officers and other responsible individuals at HQ DAVA and DAVA Activities.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 802-01 | <u>AUTHORIZED SUPPLY CODE FILES.</u> Documents relating to the assignment of authorized organization supply code to each unit, organization, or activity authorized to maintain property on an organization and/or installation property book. Included are registers and related papers. | a. Registers: Destroy 1 year after cancellation of all supply codes listed on the sheet or in the bound register. b. Other files: Destroy after 2 years. | |
| 802-02 | <u>PROPERTY OFFICER DESIGNATION FILES.</u> Documents reflecting the designation of property officers. Included are letters of appointment and revocation. | Destroy 2 years after termination of appointment. | |
| 802-03 | <u>PROPERTY ACCOUNTING WAIVER FILES.</u> Documents relating to waivers of military property accounting requirements. Included are requests for waiver, reports of circumstances or conditions, coordination papers, approvals, disapprovals, similar documents, and related papers. | Destroy 6 years after rescission of waivers. | |
| 802-04 | <u>SUPPLY OR EQUIPMENT AUTHORIZATION FILES.</u> Documents relating to requests for authorizations for allowances or authority to exceed or change existing authorizations. | Destroy when incorporated in a numbered publication or on rescission, whichever is first. | |
| 802-05 | <u>PROPERTY BOOK AND SUPPORTING DOCUMENT FILES.</u> Documents reflecting the description, receipt, and turn-in of property for which the property book officer is accountable. Included are property books (installation/organization property record), receipts, turn-in slips, reports of survey, inventory adjustment reports, and other documents supporting entries to the property book. | a. Property books: Destroy 2 years after page is filled and initial accounting entry is carried forward to a new page, or 2 years after property balance becomes zero and there will be no activity on the item. b. Remaining documents: Destroy after 2 years. | |

NOTE: Upon receipt of notice that an activity is to be discontinued, the installation commander will cause the pertinent property books to be examined by a qualified representative to determine that the property books have been reduced to a zero balance, and to verify that all property has been turned in to the appropriate supply officer or otherwise satisfactorily accounted for in accordance with applicable instructions. If the officer conducting the examination is satisfied that the required action has been taken and that formal audit is unnecessary, the commander referred to above will direct immediate destruction of the records upon completion of examination or discontinuance of the activity.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 802-06 | <u>DOCUMENT REGISTER FILES.</u> Registers listing the document number and type of supply action taken on documents that support entries to the property book. Included are document registers for supply actions and comparable forms. | Destroy after 2 years. | 3/10a |
| 802-07 | <u>HAND RECEIPT FILES.</u> Receipts reflecting acceptance of responsibility for items of property listed thereon. Included are individual receipts and listings. | Destroy on turn-in or other complete accounting for the property, or when superseded by a new receipt or listing. | |
| 802-08 | <u>OFFICE NONACCOUNTABLE PROPERTY FILES.</u> Documents relating to the receipt and issue of military property which is not recorded on an accountable stock record account of the station or on memorandum receipt account of the stock cards, property issue and turn-in slips, copies of purchase orders, and shipping documents. | Destroy after 2 years or on turn-in of equipment, or after other proper settlement of responsibility, or consolidation, whichever is applicable. | |
| 802-09 | <u>PROPERTY RECORD INSPECTION REPORTING FILES.</u> Reports of inspection of property records and related papers reflecting results of semiannual inspection. | a. Offices conducting inspection: Destroy after 3 years. b. Offices inspected: Destroy after 1 year. | |
| 802-10 | <u>EQUIPMENT LOAN FILES.</u> Documents reflecting loan of equipment, tools, or material to or from other government agencies. Included are requests, approvals, reports, agreements, and related documents. This description does not include documents required to be filed in property accounts. | Destroy 2 years after turn-in or other satisfactory accounting for items involved. | |
| 802-11 | <u>REPORT OF SURVEY FILES.</u> Reports that describe the circumstances and recommend action concerning the loss, damage, or destruction of government property. Included are reports of survey, control register, and supporting documents. | Office taking final action: Reports involving pecuniary liability, destroy 2 years after completion of final action. | 3/10c |
| 802-12 | <u>INVENTORY ADJUSTMENT REPORTING FILES.</u> Approving authority copies of reports used to adjust inventory discrepancies disclosed as a result of physical inventories. Included are inventory adjustment reports, inventory count cards, copies of reports of survey, and related documents. | Destroy after 3 years. | |
| 802-13 | <u>LEASE AND RENTAL CASE FILES.</u> Documents relating to individual leases or rentals of government-owned equipment to private concerns or individuals. Included are invoices, shipping documents, collection vouchers, agreements, and related documents. | Destroy 6 years after close of fiscal year in which final collection of rentals is made. | |

803 - ENERGY CONSERVATION FILES

These files accumulate at Activities responsible for the management of the Energy Conservation Program, and relate to actions taken to conserve energy and manage fuel resources in accordance with mission and readiness priorities. They include the relationship of energy to operation and maintenance of facilities, utilities and equipment, and associated projects.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 803-01 | <u>ENERGY SURVEY AND STUDY FILES.</u> Documents relating to investigations, surveys, and studies of energy management, fuel consumption, and potential improvement of fuel savings, including surveys by other agencies or contractors utilizing visual and instrumental techniques. Included are surveys, study reports, and related documents. | <p>a. Office performing DAVA-wide responsibility: Destroy 5 years after next comparable investigation, survey, or study, or when no longer needed for reference, whichever is first.</p> <p>b. Other offices: Destroy after 2 years.</p> | |
| 803-02 | <u>ENERGY CONSERVATION PROJECT FILES.</u> Documents relating to projects in the Energy Conservation Investment Program (ECIP), Equipment Energy Conservation Investment Program (EQ-ECIP), and other programs for planning, developing, designing, and construction of facilities for installation of equipment to reduce energy requirements in new or existing facilities. Included are documents relating to the preparation and review of energy resource impact assessments or statements. | Destroy 5 years after completion of project. | |
| 803-03 | <u>ENERGY CONSERVATION REPORTING FILES.</u> Documents consisting of reports of energy consumption, projected fuel requirements, fuel availability and storage capacity, boiler plant equipment data, and similar reports. Included are Defense Energy Information System (DEIS) reports, Department of Energy data requirements, information collected for higher level agencies, and related documents. | <p>a. Office performing DAVA-wide staff responsibility: Destroy after 5 years.</p> <p>b. Other offices: Destroy after 2 years.</p> | |

804 - SAFETY PROGRAM FILES

DAVA 5015.2-M

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

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 804-01 | <u>SAFETY SURVEY FILES.</u> Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures. Included are survey reports, records of changes made as a result of the findings of the surveys, and similar or related documents. | a. All safety offices: Destroy after 5 years. b. Offices surveyed: Use file number 101-03. | |
| 804-02 | <u>SAFETY LIAISON FILES.</u> Documents reflecting the coordination and exchange of information with private and public safety agencies and representation of DAVA on safety councils and committees, but exclusive of documents which are an integral part of the safety standards files described in this subfunctional category. Included are replies to inquiries, requests for information, and similar or related documents. | Destroy after 2 years. | |
| 804-03 | <u>SAFETY HAZARD FILES.</u> Documents relating to technical review, advice, and guidance for identifying and eliminating or controlling safety hazards. Included are hazard reports and similar or related documents. | Destroy after 5 years. | |
| 804-04 | <u>SAFETY AWARENESS FILES.</u> Documents related to developing or selecting materials, such as posters, placards, cartoons, literature, or other means of making personnel aware of safety hazards. Included are copies of posters, placards, and cartoons; newspaper items; photographs; letters; and similar or related documents. | Destroy after 2 years or on discontinuance, whichever is first. | |
| 804-05 | <u>SAFETY STANDARD FILES.</u> Documents reflecting the development of safety standards and practices in developmental and production operations and other areas requiring safety standards. Included are recommendations, coordination actions, studies, and similar or related documents. | a. Office responsible for developing standard: Destroy 10 years after superseded or obsolete. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | |

804-06

MISHAP AND INCIDENT CASE FILES. Documents relating to individual mishaps and incidents. Included are reports of mishaps and incidents, and investigations thereof, involving DAVA and non-DAVA motor vehicles; DAVA fires, explosions, and damage to DAVA property; harmful chemical and biological explosions; occupational injuries, illnesses, or death of military and civilian personnel; and similar or related documents.

a. Office performing DAVA-wide staff responsibility for safety function and reviewing offices at lower echelons: Destroy after 5 years.

b. Offices initiating reports and investigations: Destroy after 2 years or on discontinuance, whichever is first.

804-07

MISHAP EXPERIENCE FILES. Documents related to the statistical reporting of DAVA mishaps and summarizing and analyzing DAVA mishap experience trends involving DAVA motor vehicles, fires, damage to property, and recordable mishaps resulting from occupational injury and illness. Included are exposure reports, listings, and similar or related documents. This definition does not include documents relating to the investigation of specific mishaps, mishap claims files, nor the control documents accumulated by data processing activities for the preparation of statistical reports.

a. Office performing DAVA-wide staff responsibility: Destroy after 5 years.

b. Other offices: Destroy after 3 years or on discontinuance, whichever is first.

805 - ENGINEERING/MAINTENANCE FILES

DAVA 5013.2-M

These files relate to the program designed to keep equipment in working condition. They accumulate incident to the receipt, operation, maintenance, management, modification, reporting, transfer, and disposal of equipment. These files relate only to the maintenance of items of supply, including depot maintenance, where applicable, and not to the maintenance of real or installed property. Unless longer retention periods are specified herein, files relating to an item of equipment involved in an accident causing possible injury or death or damage to property of others, or known to be pertinent to a pending claim or litigation, will not be destroyed but will be withdrawn and retained until settlement of the claim or completion of the litigation or until 2 years after such mishap, whichever is later.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 805-01 | <u>HISTORICAL EQUIPMENT MAINTENANCE REPAIR FILES.</u> Equipment logbooks and maintenance historical records begun at the time of delivery of the equipment by the manufacturer. These records are identified, maintained, and accompany the item of equipment until it is dropped from the DAVA inventory. Historical maintenance documents provide maintenance personnel up-to-date information concerning the readiness and condition of equipment, and maintenance accomplished and required. | Retain for life of the equipment or dispose of when it is no longer a part of the DAVA inventory. | |
| 805-02 | <u>EQUIPMENT MAINTENANCE MANUAL FILES.</u> Manufacturer's technical publications for equipment maintenance repair and service. These publications serve as a guide for repair technician to perform factory-recommended equipment maintenance repair procedures. | Retain for life of the equipment or dispose of when it is no longer a part of the DAVA inventory. | |

DAVA FUNCTIONAL FILE SYSTEM
SERIES 900
FACILITIES FILES

1. Facilities Files relate to the mission of acquisition, utilization, management, and disposal of real property; design and construction of projects; maintenance; operation of utilities; performance of engineering services; accounting for real and installed property; and engineering studies.

2. Offices responsible for facilities operations will use this series to identify, maintain, and dispose of documents pertaining to these functions.

3. This series has been assigned the basic file number of 900. Common Mission files (201-01 through 201-08) for multipurpose files identification may also be used. Mission files are grouped into subfunctional categories, as follows:

- 901 - Facilities Engineering Files
- 902 - Fire Prevention Files
- 903 - Environmental Pollution Files

901 - FACILITIES ENGINEERING FILES

DAVA 5015.2-M

These files relate to the operation and performance of facilities engineering activities at installations, including repairs and alterations to buildings and structures, and repair, maintenance, and operation of utility plants, systems, and equipment.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|--|------------|
| 901-01 | <u>FACILITIES ENGINEERING PROJECT ESTIMATE FILES.</u> Documents relating to the preparation, review, and approval of projects for the maintenance, repair, or modification of buildings, grounds, improved areas, or other facilities engineering projects. Included are individual project estimates prepared by post engineers, requests for approval of projects, papers reflecting approval of projects, and related documents. | Reviewing offices: Destroy after 3 years or on discontinuance, whichever is first. | |
| 901-02 | <u>FACILITIES ENGINEERING SERVICE AND WORK ORDER FILES.</u> Originals and copies of service orders, work orders, and related papers maintained by the office which is authorized to perform repair, maintenance, minor construction, and operational work. | a. Original forms and related papers: Destroy 2 years after completion of work. b. Copies of forms: Destroy 1 month after completion of work or earlier when not required for management purpose, as determined locally. | |
| 901-03 | <u>FACILITIES ENGINEERING WORK ORDER CONTROL FILES.</u> Copies of work orders used for such purposes as followup of authorized work. | Destroy 1 month after completion of work. | |

9-58

902 - FIRE PREVENTION FILES

These files relate to action taken to reduce loss by fire through use of prevention and protection measures.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 902-01 | <u>FIRE PREVENTION FILES.</u> Documents relating to the criteria, standards, practices, and application of fire prevention and protection practices and methods. | a. Offices performing DAVA-wide responsibility: Destroy after 6 years. b. Other offices: Destroy when superseded, obsolete, or no longer required for reference, whichever is first. | |
| 902-02 | <u>FIRE PROTECTION DESIGN FILES.</u> Documents relating to the application of fire protection criteria and standards in the design and construction of DAVA facilities. | a. Offices performing DAVA-wide staff responsibility: Destroy after 10 years. b. Other offices: Destroy when superseded or no longer required for reference, whichever is first. | |
| 902-03 | <u>FIRE PROTECTION MEETING FILES.</u> Documents that accumulate from DAVA participation in meetings and liaison with public agencies and representatives of private industry on fire prevention and protection methods and practices. | Destroy after 6 years. | |
| 902-04 | <u>FIRE REPORTING CASE FILES.</u> Reports of fires or explosions followed by fire resulting in loss of life, material, and structures, received from field organizations, including related reports of investigation and communications. | a. HQ DAVA: Destroy after 10 years in CFA. b. Other offices: Destroy 1 year after close of investigation or on discontinuance, whichever is first. | |
| 902-05 | <u>FIRE LOSS EXPERIENCE FILES.</u> Documents containing information and data compiled from fire reports or other sources in order to compile data about trends and experience from losses due to fires or explosions followed by fire. | a. HQ DAVA: Destroy after 10 years in CFA. b. Other offices: Destroy after 5 years. | |

903 - ENVIRONMENTAL POLLUTION FILES

DAVA 5015.2-M

These files relate to action taken within the Defense Audiovisual Agency to abate environmental pollution.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 903-01 | <u>ENVIRONMENTAL POLLUTION ABATEMENT FILES.</u> Documents relating to the criteria, practice, and application of measures to prevent water, air, noise, or ground pollution or to abate such pollution as may exist. Included are inventories of sources of pollution, annual reports describing progress in accomplishing objectives of environmental pollution abatement plans, and related or similar documents. | a. Office performing DAVA-wide staff responsibility: Consolidated or summary reports. Destroy after 10 years. b. Other offices: Destroy when superseded, obsolete, or no longer required for reference, whichever is first. | |
| 903-02 | <u>ENVIRONMENTAL POLLUTION COMPLAINT FILES.</u> Documents relating to complaints regarding alleged environmental pollution by activities at installations. Included are letters of complaint, investigations, or studies; replies to complaints; and similar or related documents. | Destroy 10 years after close of case. | |
| 903-03 | <u>ENVIRONMENTAL POLLUTION SUPERVISORY FILES.</u> Documents maintained by HQ DAVA Facilities Engineer that duplicate the files maintained in Activity offices, as described herein. | Destroy 1 year after the prescribed cutoff for the subordinate office copy. Earlier destruction is authorized. | |

DAVA FUNCTIONAL FILE SYSTEM
SERIES 1000
DATA PROCESSING SYSTEMS, PROCEDURES, AND MACHINE-READABLE RECORDS

1. This series establishes policies and procedures for the identification, maintenance, and disposition of machine-readable records (MRR) to ensure permanent preservation of archival information and to provide authorization for the systematic disposal of all other data recorded in machine-readable form.

2. Automatic data processing facilities normally are responsible for storing and maintaining data contained on magnetic tape, disk packs, data cells and drums (collectively referred to herein as magnetic media), and punched cards and punched tape. In general, data kept for 30 days or more on drums and disks should be transferred to magnetic tape.

3. Record and reference copies or reports, printouts, microforms and similar hard-copy format containing either information produced as output or used as input by ADP facilities will be maintained by the organizational element for which the information has been manipulated and produced.

4. ADP facilities managers are responsible for assigning disposition standards for those records identified in series 1001, as well as Common Mission files identified in series 201 of this chapter. The DAVA Records Administrator, in concert with ADP facilities managers, will review all ADP operating and master files identified in series 1002 and 1003 as not automatically disposable, and apply appropriate disposition standards in accordance with the instructions contained in other functional file series 100 through 900. Where two or more functional file descriptions apply to a single machine-readable operating or master file, the disposition standard which requires the longer retention period prior to disposal will be selected. Where the disposition standard prescribes a permanent designation, the corresponding machine-readable operating or master file will also be designated as permanent.

5. These files have been assigned the basic series of 1000, as follows:

1001 - ADP Management Control Files
1002 - ADP Operating Files
1003 - ADP Master Files

1001 - ADP MANAGEMENT CONTROL FILES

DAVA 5015.2-M

These files relate to the study, selection, use, and management control of automatic data processing (ADP) activities and services of the Defense Audiovisual Agency.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|--|---|------------|
| 1001-01 | <u>PLANNING AND PROGRAMMING FILES.</u> Documents relating to the development of plans, policies, and procedures for automatic data processing systems (ADPS) and programs; conversion to ADPS; and supervision thereof. Included are master plans, feasibility studies, coordinating documents, approvals, disapprovals, charts, diagrams, and similar documents. | a. HQ DAVA: Permanent. Cut off on supersession or termination of system or program. Offer to NARS in 5-year blocks when latest document is 20 years old (e.g., offer 1970-74 block in 1995). b. Other Activities: Destroy after 2 years or on supersession or termination, as applicable. | |
| 1001-02 | <u>ADPE ACQUISITION CASE FILES.</u> Documents relating to planning and preparing for initial acquisition (including selection, evaluation, acquisition, and installation) of automatic data processing equipment, a multiple equipment when part of (ADPS) system, auxiliary equipment, and attachments for existing equipment. Included are feasibility and application studies, system specifications and reports of their review, manufacturers' proposals and evaluation thereof, documents relating to installation of equipment or systems, reports of readiness reviews and performance evaluations, benchmark computation information outputs, benchmark accounting information outputs, and related papers. | a. Office performing DAVA-wide staff responsibility for the functional areas of ADPS application and equipment selection: Permanent. Cut off on completion of performance evaluation or on determination that such an evaluation will not be made or that the system will not be installed. Offer to NARS in 5-year blocks when latest document is 20 years old (e.g., offer 1970-74 block in 1995). b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 3/1 |
| 1001-03 | <u>ADPS SPECIFIC STUDY FILES.</u> Documents relating to studying specific functional areas to determine advantages that would result from the use of automatic data processing systems already available. Included are studies, source data, solutions, advantages, requirements, benefits, cost data, and similar or related documents. | a. Office making the study: Permanent. Cut off on completion of study. Offer to NARS in 5-year blocks when latest document is 20 years old (e.g., offer 1970-74 block in 1995). b. Offices with DAVA-wide responsibility for the functional area: Destroy after 5 years. c. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 20/13 |
| 1001-04 | <u>ADP TEST FILES.</u> Documents relating to the testing of ADPE equipment and/or data processing methods and procedures and to the trial application of existing or proposed data processing systems. Included are requests for tests, approvals or disapprovals, test reports, and communications relating to the tests. | a. Final approving office: Destroy 1 year after completion of testing. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | 20/4 |

| | | | |
|---------|--|---|------------------|
| 1001-05 | <u>ADP MANAGEMENT REPORTING FILES.</u> Documents containing management data on costs, equipment, staffing, workload capacities, and overall effectiveness of ADP operations and documents used to evaluate rental, purchase, operations, and maintenance costs. Included are reports, briefs, and similar or related documents. | a. Office requiring report: Permanent. Destroy feeder reports 2 years after summarization. b. Other offices: Destroy after 2 years or on discontinuance, whichever is first. | |
| 1001-06 | <u>ADPS CENTRAL REFERENCE FILES.</u> Documents reflecting the acquisition of ADPS for nonbusiness types of applications which are maintained by HQ DAVA as a source of reference. Included are copies of feasibility and application studies, system specifications, acquisition proposals, acquisition documents, and related documents. | Destroy on supersession, obsolescence, or when no longer needed for reference. | |
| 1001-07 | <u>ADPE INVENTORY FILES.</u> Documents reflecting inventory of available automatic data processing equipment and which may become available in the event of mobilization or emergency conditions. | Destroy 2 years from date of list. | 3/10a |
| 1001-08 | <u>ADP SYSTEM AND PROGRAM DESIGN AND SPECIFICATIONS FILES.</u> Documents, cards, and/or magnetic media designated as master files, library files, or record-copy files which include complete necessary documentation and instructions for operation of ADP systems, programs, and jobs. Included are analytical reports, design requirements; system instructions; user requests, guides, and manuals; input, output, and report specifications; block diagrams; flow charts, coding instructions; test plans; reference to or copies of applicable software and reference materials; job instructions; and similar or related files. | a. Systems for which all related magnetic data files are authorized for disposal: Destroy with related data file. b. Systems for which any related magnetic data file is not authorized for disposal: Retain with related data file. | 20/6 20/7 |
| 1001-09 | <u>DATA PROCESSING REGISTER AND SCHEDULE FILES.</u> Documents used to record approved jobs that reflect job numbers, requesting office, job description data received, and date due; documents reflecting available machine and personnel time, job requirements, priorities, and time-phasing information on individually approved jobs. Included are registers, schedules, and directly related documents. | Destroy 1 year after completion of related job or on discontinuance, whichever is first. | |
| 1001-10 | <u>DATA PROCESSING CONTROL AND BALANCE FILES.</u> Documents maintained by data processing activities to verify cumulative balances reflected by master or detailed summary cards or tapes. | Destroy on supersession or obsolescence. | |

1002 - ADP OPERATING FILES

DAVA 5015.2-M

These files comprise the life cycle of most computerized records prior to the production of a master file. They are used to create and use a master file, are generally disposable, and require only short retention. Under certain conditions input files and transaction files can be appraised as permanent. See Series 1002-05 and 1002-07.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|---|------------|
| 1002-01 | <u>MACHINE LISTINGS</u> . Copies of tabulations, machine listings, printouts used for verification purposes, briefs, reports, punch cards, and documents pertaining to magnetic or similar media. | Destroy on completion of next comparable report, printout, tabulation, brief, or similar document, when files or media have served the intended purposes, or after 30 days, whichever is later. | |
| 1002-02 | <u>SCRATCH TAPE FILES</u> . Tapes used to facilitate general computer runs, such as sort and merge runs. | Retain for reuse after each pass-through facility. Blank when no longer needed for current operations. | |
| 1002-03 | <u>TEST TAPE FILES</u> . Tapes used in testing a proposed system. | Blank after system is in operation and approved or after determination is made that system will not be put in operation. | |
| 1002-04 | <u>PROGRAM TAPE FILES</u> . Tapes or disk extracts containing sequence of instructions to accomplish processing of data or solving problems. | Blank after no longer required to reconstruct history data, when superseded by revision, or when product is no longer required by the system. | |
| 1002-05 | <u>DATA INPUT FILES</u> . Data abstracted from input/source documents or other media and entered into the system for each update cycle. | When used for independent analysis, retain or dispose in accordance with appropriate functional standards. Otherwise, destroy after fourth update cycle. | |
| 1002-06 | <u>WORKING TAPE FILES</u> . Tapes containing output data from one run to a subsequent run which manipulates, sorts, or moves data through the system. Includes such edit steps as pre-edit, correction, stripping, rejection receding, unmatched data elimination error listing, and weighting. | Blank when data has been converted to other media (cards, listings, etc.), when files have been converted to current file configuration, or in accordance with standards set for appropriate functional file disposition. | |
| 1002-07 | <u>TRANSACTION TAPE FILES</u> . Tapes containing a valid file of items used with master data tapes input file for creation of master data output files. | When used for independent analysis, retain or dispose in accordance with appropriate functional standards. Otherwise, blank after fourth update cycle. | |

1003 - ADP MASTER FILES

Master files constitute the definitive state of a data file in a system at any given time. Master files of accumulated data from previous transactional updates are generally retained for historical purposes provided the information content meets the criteria for permanent files under the appropriate functional file.

| <u>FILE NUMBER</u> | <u>DESCRIPTION</u> | <u>DISPOSITION</u> | <u>GRS</u> |
|--------------------|---|--|------------|
| 1003-01 | <u>MASTER CONTINUOUS UPDATE TAPE FILES.</u> Tapes containing data created by merging of prior master file with valid transaction data to create a new master file which includes cumulative data of all information-producing query services. | Retain or dispose in accordance with appropriate functional standards. | |
| 1003-02 | <u>SUMMARY DATA TAPE FILES.</u> Tapes containing summarized data from valid transaction or master files. | Retain or dispose in accordance with appropriate standards for the related master file. | |
| 1003-03 | <u>PRINT TAPE FILES.</u> Tapes containing source output data from the system (without destroying source tapes) and used for printing publications, ledgers, tables, registers, and reports. | Blank after output has been released and approved. | |
| 1003-04 | <u>REFORMED DATA TAPE FILES.</u> Tapes used to facilitate general computer runs, such as sort and merge runs. | Retain for reuse after each pass-through facility. Blank when no longer needed for current operations. | |
| 1002-05 | <u>SECURITY BACK-UP TAPE FILES.</u> Tapes containing identical data to master data tapes and retained as security in case master tape is damaged or inadvertently erased. | Dispose in accordance with the appropriate standards for the related master file. | |
| 1003-06 | <u>INFORMATION RETRIEVAL FILES.</u> Tapes which contain indexes or tracking systems to machine-readable or hard-copy systems. | Retain or dispose in accordance with related information system. | |

1002 - ADP Operating Files

These files comprise the life cycle of most computerized records prior to the production of a master file. They are used to create and use a master file, are generally disposable and require only short retention. Under certain conditions input files and transaction files can be appraised as permanent. See 1002-05 and 1002-07.

| | <u>DESCRIPTION</u> | <u>DISPOSITION</u> |
|---------|---|---|
| 1002-01 | <u>MACHINE LISTINGS</u> . Copies of tabulations, machine listings, printouts used for verification purposes, briefs, reports, punch cards, and documents pertaining to magnetic or similar media. | Dispose on completion of next comparable report, printout, tabulation, brief, or similar document, when files or media have served the intended purposes, or after 30 days, whichever is later. |
| 1002-02 | <u>SCRATCH TAPE FILES</u> . Tapes used to facilitate general computer runs, such as sort and merge runs. | Retain for reuse after each pass through facility. Blank when no longer needed for current operations. |
| 1002-03 | <u>TEST TAPE FILES</u> . Tapes used in testing a proposed system. | Blank after system is in operation and approved or after determination is made that system will not be put in operation. |
| 1002-04 | <u>PROGRAM TAPE FILES</u> . Tape or disk extracts containing sequence of instructions to accomplish processing of data or solving problems. | Blank after no longer required to reconstruct history data, when superseded by revision, or when product is no longer required by the system. |
| 1002-05 | <u>DATA INPUT FILES</u> . Data abstracted from input/source documents or other media and entered into the system for each update cycle. | When used for independent analysis, retain or dispose in accordance with appropriate functional standards. Otherwise, dispose after fourth update cycle. |
| 1002-06 | <u>WORKING TAPE FILES</u> . Tapes containing output data from one run to a subsequent run which manipulates, sorts, or moves data through the system. Includes such edit steps as pre-edit, correction, stripping, rejection receding, unmatched data elimination error listing, and weighting. | Blank when data has been converted to other media (cards, listings, etc.), when files have been converted to current file configuration, or in accordance with standards set for appropriate functional file disposition. |

DESCRIPTIONDISPOSITION

1002-07 TRANSACTION TAPE FILES. Tapes containing a valid file of items used with master data tapes input file for creation of master data output files.

When used for independent analysis, retain or dispose in accordance with appropriate functional standards. Otherwise, dispose after fourth update cycle.

1003 - ADP MASTER FILES

Master files constitute the definitive state of a data file in a system at any given time. Master files of accumulated data from previous transactional updates are generally retained for historical purposes provided the information content meets the criteria for permanent files under the appropriate functional file.

| | <u>DESCRIPTION</u> | <u>DISPOSITION</u> |
|---------|---|--|
| 1003-01 | <u>MASTER CONTINUOUS UPDATE TAPE FILES.</u> Tapes containing data created by merging of prior master file with valid transaction data to create a new master file which includes cumulative data of all information-producing query services. | Retain or dispose in accordance with appropriate functional standards. |
| 1003-02 | <u>SUMMARY DATA TAPE FILES.</u> Tapes containing summarized data from valid transaction or master files. | Retain or dispose in accordance with appropriate standards for the related master file. |
| 1003-03 | <u>PRINT TAPE FILES.</u> Tapes containing source output data from the system (without destroying source tapes) and used for printing publications, ledgers, tables, registers, and reports. | Blank after output has been released and approved. |
| 1003-04 | <u>REFORMED DATA TAPE FILES.</u> Tapes used to facilitate general computer runs, such as sort and merge runs. | Retain for reuse after each pass through facility. Blank when no longer needed for current operations. |
| 1003-05 | <u>SECURITY BACK-UP TAPE FILES.</u> Tapes containing identical data to master data tapes and is retained as security in case master tape is damaged or inadvertently erased. | Dispose in accordance with the appropriate standards for the related master file. |
| 1003-06 | <u>INFORMATION RETRIEVAL FILES.</u> Tapes which contain indexes or tracking systems to machine-readable or hard-copy systems. | Retain or dispose in accordance with the related information system. |