



# NATIONAL HEADQUARTERS CIVIL AIR PATROL

## CAP REGULATION 10-2

16 FEBRUARY 2011

### Administrative Communications

#### FILES MAINTENANCE AND RECORDS DISPOSITION

This regulation establishes filing and record management procedures. The primary intention of this regulation is implementation of a simple method of making information available when and where needed. This regulation applies to all CAP units.

#### SUMMARY OF CHANGES.

Includes electronic records (paragraph 7); removes reference to records maintained at National Headquarters; and updates various Records and Disposition Instructions (Attachment 1). **Note: Shaded areas identify new or revised material.**

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**1. Responsibility.** Unit administrative officers will implement, supervise and ensure compliance with this regulation.

**2. File Plan.** ([See Figure 1.](#))

a. On white 8½" x 11" paper, typed or printed, and filed in front of current files.

b. Offices maintaining their own file plan will forward an information copy to their unit administrative officer.

**3. File Labels.** ([See Figure 2.](#))

a. Used to identify documentation number, title and disposition instructions.

**NOTE:** When a guide card is used, the disposition instruction may be included on the guide card label instead of file label(s).

b. Affix any size labels, typed or printed, to appropriate folders, disks, etc.

c. Annotate the year in the upper right hand corner for any calendar year or fiscal year cutoff records, i.e., "CY XXXX" for calendar year records, and "FY XXXX" for fiscal year records, where XXXX is the year such as 2010.

**4. Guide Cards.** ([See Figure 3.](#))

a. Guide cards are optional.

b. Used to identify documentation series.

c. Size and paper stock is optional.

d. Affix any size labels, typed or printed, to guide cards.

**5. File Drawer Labels.** ([See Figure 4.](#))

a. File drawer labels are optional.

b. Affix any size labels, typed or printed, to file cabinet drawer, desk drawer, box, etc.

**6. Records and Disposition Instructions.** At a minimum, records specified in the Constitution and Bylaws of CAP will be maintained. Detailed instructions are at Attachment 1.

**7. Electronic Records.** ([See Figure 5.](#))

a. Electronic records are data in a form that can be created, read, stored, retrieved, analyzed, transmitted, deleted and processed by a computer and that satisfy the legal definition of a record. An electronic database is still considered an electronic record, even if the output products are converted to paper records. Electronic records may include, but are not limited to, data files and databases, machine-readable indexes, electronic spreadsheets, electronic mail and electronic messages, scanned documents, as well as other text or numeric information.

b. Uses of computer storage methods are encouraged when appropriate. When computer storage is used, ensure frequent and thorough backup practices protect against possible loss of information due to fire, natural or man-made disaster, or storage device failure. Back-up electronic files should be stored in another physical location (different building) so that a single catastrophic event is not likely to damage/destroy both the primary and back-up records.

**8. Filing Arrangement.** File records in locations and sequence best suited for your needs. Records must be easily retrieved for review and inspection.

**9. Records Management and Cut-Off Procedures.**

- a. Calendar year files cut off 31 December each year; new files start 1 January each year.
- b. Fiscal year files cut off 30 September each year; new files start 1 October each year.

**10. Records of Historical Significance.**

- a. Records not covered by permanent retention criteria but which the commander determines to be of significant historical value will be forwarded to National Historian for review.
- b. National Historian will return records determined to not have historical significance.

**Figure 1. Example File Plan**

|                                  |  |                            |             |
|----------------------------------|--|----------------------------|-------------|
| Name: Lt Col Les Jarvis, MIWG/DA |  | Date Prepared: 10 May XXXX |             |
| <u>Item</u>                      | <u>Title</u>                                     | <u>Table</u>               | <u>Rule</u> |
| 1.                               | File Plan  | 1                          | 1           |
| 2.                               | Suspense Control (administrative officer's desk) | 1                          | 2           |
| 3.                               | General Correspondence                           | 1                          | 3           |
| 3-1                              | Fund Raiser Approvals                            |                            |             |
| 3-2                              | Admin Training                                   |                            |             |
| 4.                               | TAs/MSAs/PAs (DA computer)                       | 1                          | 4           |
| 4-1                              | TAs  |                            |             |
| 4-2                              | MSAs   |                            |             |
| 5.                               | PAs (DA computer)                                | 1                          | 5           |

**Figure 2. Example File Labels**

1. File Plan

T1, R1  
 Destroy when superseded obsolete, or no longer needed

3-1. Fund Raiser Approvals

\*T1, R3  
 Cut Off: 31 Dec/destroy after 1 year

**Figure 3. Example Guide Card (Optional)**

3. GENERAL  
 CORRESPONDENCE

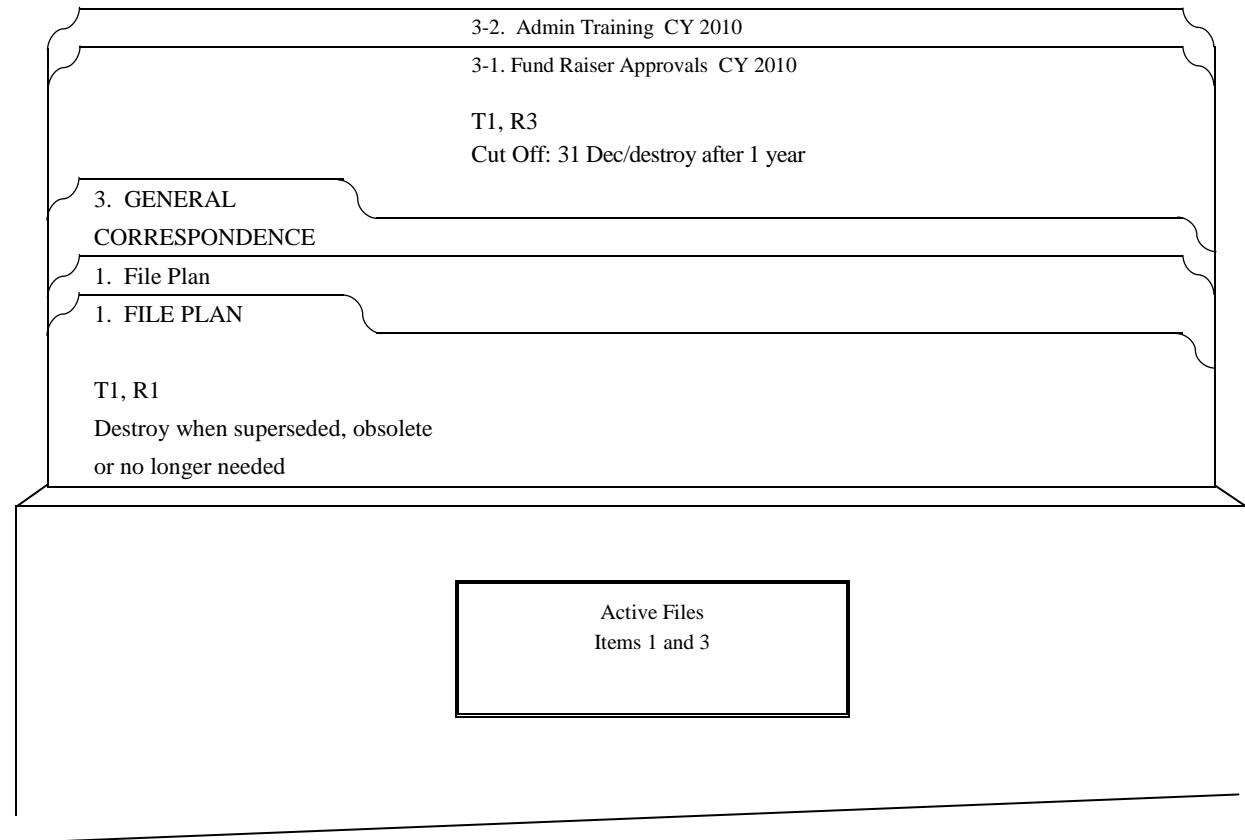
or

3. GENERAL  
 CORRESPONDENCE

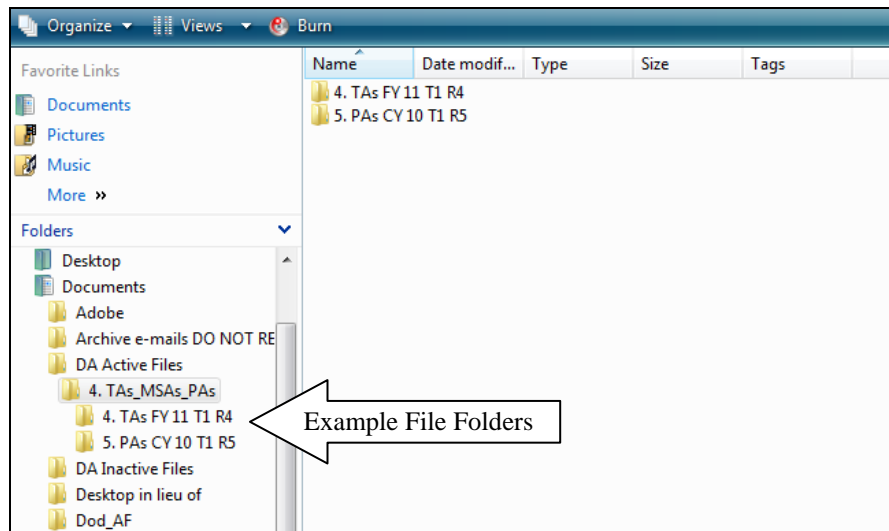
\*T1, R3  
 Cut Off: 31 Dec/Destroy after 1 year

\* Disposition instructions may be placed on either the file label or guide card (if used), is not required on both.

**Figure 4. Example File Drawer and Label**



**Figure 5. Example Computer File Folders**



Note 1: Any combination of file cabinet and computer files may be used. Annotations must be made on the file plan accordingly

Note 2: Hard copy and computer files are the property of Civil Air Patrol and must be released and transferred upon termination of duty position.

**Attachment 1 -Records and Disposition Instructions**

| Table 1. Administration |  |   |  |
|-------------------------|--|---|--|
| Rule                    | If the records are or pertain to   | which include   | cutoff/then  |
| 1                       | file plan  | records disposition plan  | destroy when superseded, obsolete, or no longer needed                                       |
| 2                       | suspense control   | records and notes indicating date items are due   | destroy when superseded, obsolete, or no longer needed                                       |
| 3                       | general correspondence   | records related to the general administration of the activity concerned   | 31 Dec/destroy after 1 year  |
| 4                       | TAs, and MSAs  | travel authorizations and special activities (originals FY)   | 30 Sep/destroy after 1 year  |
| 5                       | PAs  | task assignments (originals CY)   | 31 Dec/destroy after 1 year  |
| 6                       | TAs, MSAs and PAs  | travel authorizations, special activities and task assignments (distribution copies)  | destroy when no longer needed  |
| 7                       | reports  | correspondence and forms related to primary mission objectives, procedural development, and policy for the activity concerned | 31 Dec/destroy after 3 years   |
| 8                       | memorandum of understanding (MOU)  | originals   | 31 Dec/destroy 6 years after superseded or terminated  |
| 9                       |  | information copies  | destroy when superseded or terminated  |
| 10                      | meeting minutes  | originals FY  | 30 Sep/ destroy after 3 years or may be destroyed once uploaded into HHQ electronic database |
| 11                      |  | originals CY  | 31 Dec/ destroy after 3 years or may be destroyed once uploaded into HHQ electronic database |
| 12                      |  | information copies  | destroy when superseded, obsolete, or no longer needed                                       |
| 13                      | unit CAP numbered publications (regulations-regional level only; supplements, operating instructions - down to and including unit level) | record sets   | 31 Dec/retain as permanent.  |
| 14                      |  | information copies  | destroy when superseded, rescinded, or no longer needed                                      |

|                   |
|-------------------|
| Table 2. Reserved |
|-------------------|

| Rule | If the records are or pertain to            | which include  | cutoff/then                  |
|------|---|--|------------------------------|
| 1    | cadet program activities or workshops       |  | 31 Dec/destroy after 1 year  |
| 2    | professional development training documents | CAPFs 11, CAPFs 24, training program sign-in sheets, curriculum notes, etc.  | 31 Dec/destroy after 2 years |
| 3    | aerospace education correspondence          | National Congress on Aviation and Space Education records: AE workshop records; AE programs for senior/cadet member records; AE mission awards program records | 31 Dec/destroy after 3 years |
| 4    | testing material control documentation      | test inventory logs including attachments  | 31 Dec/destroy after 2 years |

| Rule | If the records are or pertain to | which include    | cutoff/then  |
|------|----------------------------------|------------------|--|
| 1    | statistical reports              | CAPFs 34 and 34A | 31 Dec/destroy after 1 year                            |
| 2    | appointment application          | CAPFs 34 and 35A | destroy when superseded, obsolete, or no longer needed |
| 3    | newsletters                      |                  |  |

| Rule | If the records are or pertain to                           | which include  | cutoff/then  |
|------|--|--|--|
| 1    | inspection guides  | compliance inspection (CI) subordinate unit inspections (SUI) or other inspection guides   | destroy when superseded, obsolete, or no longer needed   |
| 2    | inspection reports<br>self-inspection reports              | reports of CIs; staff assistance visits (SAV); short-notice inspections; self-inspections and associated correspondence                            | destroy when superseded by the next successive inspection report   |
| 3    |  | subordinate unit inspection (SUI)  | retain last two reports from each unit inspected   |
| 4    | IG complaints  | complaint case file consisting of all documentation, including memoranda of commander's final action ( <b>Note:</b> Maintained under lock and key) | destroy after 5 years from date case was closed unless a legal action is pending; destroy upon completion of the legal action if the 5 year requirement has been met |
| 5    | any adverse information against CAP senior level officials |  | maintained permanently by the CAP/IG   |

| Table 6. Financial Management |                                      |  |   |
|-------------------------------|--------------------------------------|--|---|
| Rule                          | If the records are or pertain to     | which include  | cutoff/then   |
| 1                             | accounts payable                     | vendor invoices and supporting documentation   | 30 Sep/destroy after 3 years after filing IRS Form 990 and 3 years from the date of submission of the final expenditure report and A-133 audit with Federal Audit Clearing House per DODGAR 32.53, OMB A-110, Sub Part C, 53.<br><br>See notes below. |
| 2                             | accounts receivable                  | all documents relating to NHQ reimbursements and advances relating to appropriated funds; corporate AR documents |   |
| 3                             | general ledger                       | account reconciliations and all supporting information and posting documents                                     |   |
| 4                             | audit records                        | letters and documents relating to the audit period   |   |
| 5                             | budgets                              | annual financial plans and substantiating documentation; periodic and quarterly reviews                          |   |
| 6                             | checking accounts                    | bank statements; cancelled and voided checks; monthly reconciliations  |   |
| 7                             | region and wing financial statements | annual audits and financial reporting  |   |
| 8                             | region and wing tax forms            | IRS forms 990; IRS forms 990-T   |   |
| 9                             | CAPFs 173-2c                         | annual wing consolidated reports on the financial activities of units below wing level                           |   |
| 10                            | investment statements                | reconciliations; schedules of gains and losses, income, and investment activity                                  |   |
| 11                            | payroll records                      | timesheets; payroll reports; and all documents filed with federal and state taxing authorities                   | 31 Dec/destroy after 4 years<br><br>See notes below.  |
| 12                            | real property and equipment          | records related to acquisition   | retained for 3 years after final disposition<br><br>See notes below.  |

NOTE 1: Civil Air Patrol will adhere to OMB A-110 which states: "If any litigation, claim, or audit is started before the expiration of the 3 year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken."

NOTE 2: The grants officer may request that CAP transfer certain records to Air Force custody when it is determined that the records possess long term retention value. However, in order to avoid duplicate record-keeping, the grants officer may make arrangements for CAP to retain any records that are continuously needed for joint use.

| Table 7. Legal |                                  |   |  |
|----------------|----------------------------------|---|--|
| Rule           | If the records are or pertain to | which include   | cutoff/then  |
| 1              | legal records                    | legal cases in which CAP is or was involved; records of possible use in defending claims against CAP; records of possible use in prosecuting claims by CAP; records of possible use in prosecuting individuals for fraud and other illegal acts; records affecting the rights or liabilities of CAP and CAP personnel; records of any legal action originated by and/or imposed upon CAP or CAP personnel; records of legal opinions; insurance records; taxation records | 31 Dec/retain as permanent<br><br>Note:<br>Cut off annually providing action is complete. Hold 1 year then forward to NHQ/GC |
| 2              | governmental inquiries           | Presidential, Congressional and/or Legislative inquiries ( <b>Note:</b> Maintained under lock and key)  | 30 Sep/retain at NHQ and then destroy after 5 years  |

| Table 8. Operations |  |  |  |
|---------------------|--|--|--|
| Rule                | If the records are or pertain to         | which include  | cutoff/then  |
| 1                   | Pilot and ES qualification documentation | SQTRs, certificates of completion, checkride documentation   | 30 Sep/destroy after 1 year; retain current documentation and two renewals prior for trend analysis and review; destroy 2 years after qualifications lapse (destroy originals and copies once loaded into ops qual.) |
| 2                   | mission records                          | CAPF 115 with ICS 201 or full incident action plan; IC's log; mission flight plans; personnel, vehicle, and aircraft registers; all CAP and wing forms used; sortie logs; interview/interrogations forms; message log; copies of news releases; reports to the controlling agency (CAPF 122, SITREPs, etc.); and any related information that may be needed in answering future inquiries relating to the mission (originals and copies may be destroyed once loaded into WMIRS) | 30 Sep/destroy after 4 years following closure or suspension of the mission except where there is actual or potential litigation and then they will be retained until that issue is resolved                         |
| 3                   | non-CAP passengers                       | CAPFs 9; waivers to fly non-CAP members (destroy originals and copies once loaded into WMIRS.)   | 30 Sep/destroy after 1 year;   |
| 4                   | CAP flight release log                   | CAPFs 99   | 30 Sep/destroy after 1 year or when loaded into WMIRS  |

| Rule | If the records are or pertain to | which include  | cutoff/then   |
|------|----------------------------------|--|---|
| 1    | safety correspondence            | safety visit reports, reports of safety survey corrections     | 31 Dec/destroy after 1 year                           |
| 2    | safety inspections               | annual safety survey   | destroy when superseded by the next successive survey |
| 3    | mishap reports                   | documents related to on-line mishap reports and investigations | 30 Sep/destroy after 3 years                          |

| Rule         | If the records are or pertain to                          | consisting of  | cutoff/then   |
|--------------|---|--|---|
| 1            | CAPF 73 CAP Vehicle Inspection Guide and Usage data (LGT) |  | maintain for 12 months in vehicle record folder. Destroy after 12 months                                |
| 2            | vehicle ownership documents (LGT)                         | title and vehicle registration certificates  | maintain as long as the vehicle is owned by CAP   |
| 3            | vehicle records (LGT)                                     | other than CAP Vehicle Inspection Guide and Usage Data CAPF 73 and Vehicle ownership documents   | 31 Dec/Destroy after 3 years  |
| 4            |   | correspondence, licenses, leases, and other records relating to real property  | destroy when superseded   |
| 5            | real property (LGS)                                       | deeds and records pertaining to acquisition and disposition  | 31 Dec/ destroy 10 years after disposition  |
| 6            | temporary Issue (LGS)                                     | temporary issue CAPF 37  | destroy when property returned  |
| 7            | aircraft records (LGM)                                    | records pertaining to aircraft   | 31 Dec/retain as permanent<br>Note: When aircraft is disposed of forward to NHQ/LG as permanent records |
| <b>Note:</b> | Operational Resource Management System (ORMS)             | screener authorization letters, subordinate unit receipts, transfer or disposal documentation, to include DD Fm 1348-1a/SF 122, reports of survey, invoices for receipt of nonexpendable items, certificates of donation and bills of sale | destroy at system administrator discretion  |

| Rule | If the records are or pertain to | which include  | cutoff/then  |
|------|----------------------------------|--|--|
| 1    | personnel administration         | personnel plans and policies,  | 31 Dec/destroy after 3 years   |
| 2    | personnel records                | CAP seniors (e.g., CAPFs 2, 2a, 12, 12a, 45)<br>CAP cadets (e.g., CAPFs 2, 2a, 7, 15, 31, 50-series, 52-series, 66, 77, 95, 120) | Cut off when membership expires or transfers and destroy after 5 years |

| Rule | If the records are or pertain to | which include  | cutoff/then  |
|------|----------------------------------|--|--|
| 1    | public affairs records           | community and media speeches, radio and television scripts, press releases, periodicals, displays, motion pictures, videotapes, sound recordings | destroy when superseded, obsolete, or no longer needed |
| 2    | public affairs reports           |  | 31 Dec/destroy after 1 year                            |
| 3    | historical records               |  | 31 Dec/retain as permanent                             |