

NATIONAL HEADQUARTERS CIVIL AIR PATROL



CAP REGULATION 10-2

16 FEBRUARY 2011
INCLUDES CHANGE 1, 15 MARCH 2012

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.

c. When electronic processes (i.e., eServices, WMIRS or other databases) are developed that meet the documentation requirements of CAP directives, CAP units are authorized to use the electronic process as an alternative to the hard copy files. That information does not then need to be entered on other CAP hard copy formats. CAP units must be sure that the electronic process used meets all documentation requirements of the respective CAP directive before eliminating the use of hard copy 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

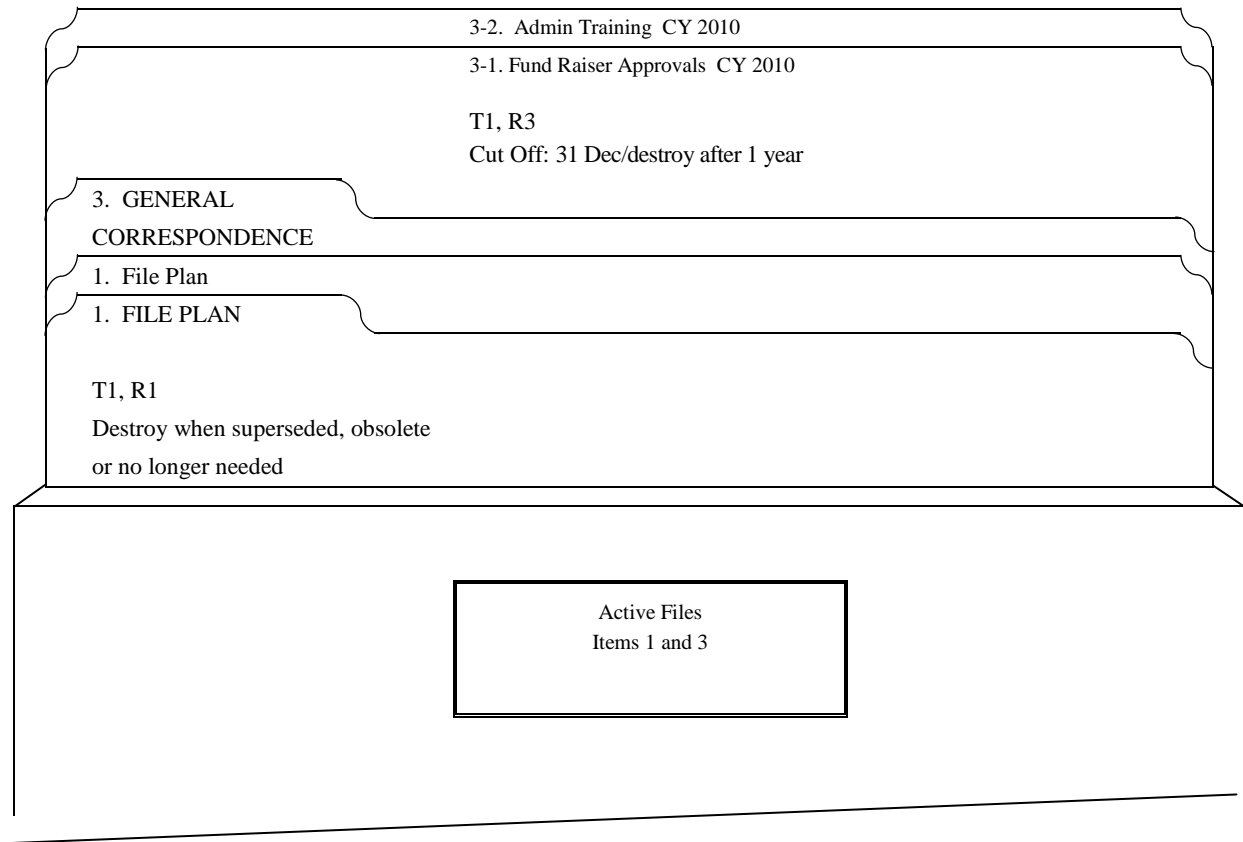
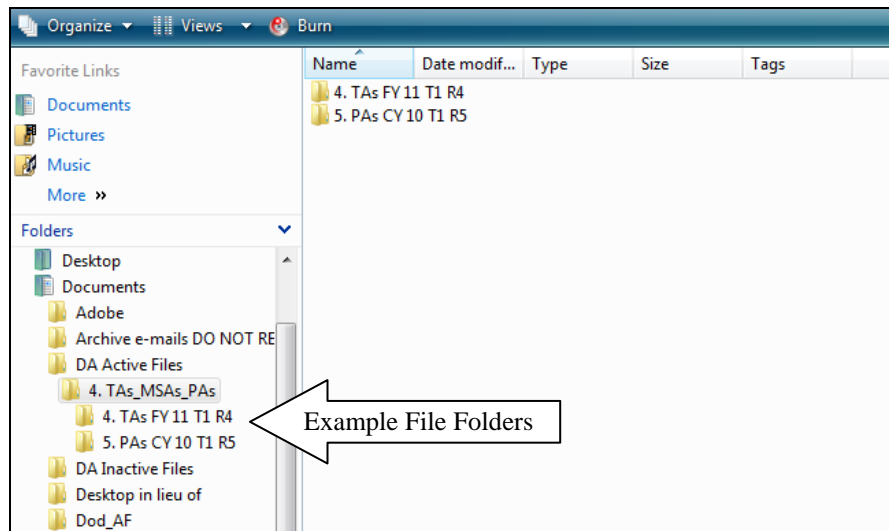


Figure 5. Example Computer File Folders



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 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 (Note: 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

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. 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 loses, 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 See notes below.
12	real property and equipment	records related to acquisition	retained for 3 years after final disposition 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 Note: Cut off annually providing action is complete. Hold 1 year then forward to NHQ/GC
2	governmental inquiries	Presidential, Congressional and/or Legislative inquiries (Note: 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 Note: When aircraft is disposed of forward to NHQ/LG as permanent records
Note:	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) 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



NATIONAL HEADQUARTERS CIVIL AIR PATROL

CHANGE 1

CAP REGULATION 10-2

15 MARCH 2012

Administrative Communications

FILES MAINTENANCE AND RECORDS DISPOSITION

CAP Regulation 10-2, 16 February 2011, is changed as follows:

Page-Insert Change.

Remove	Insert
3/4	3/4

Note: Shaded areas identify new or revised material.

CHARLES L. CARR, JR.

Major General, CAP

Commander