CIVIL AIR PATROL
NATIONAL HEADQUARTERS
MAXWELL AFB AL 36112-6332

CAP REGULATION 10-2

10 MAY 1999

INCLUDES CHANGE 1, 20 JUNE 2001 AND CHANGE 2, 15 JULY 2004

Administrative Communications

FILES MAINTENANCE AND RECORDS DISPOSITION

This regulation establishes filing and record management procedures for records created and accumulated at National Headquarters Civil Air Patrol and CAP field. The primary intention of this regulation is implementation of a simple method of making information available when and where needed. Use of computer storage methods is encouraged when appropriate. When computer storage is used, ensure frequent and thorough backup practices protect against possible lose of information due to storage device failure.

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

2. File Plan. (Reference Figure 1.)

2.1. ♦On white 8 ½" x 11" paper, typed or printed, and filed in front of current files.

2.2. ♦Offices with a file plan will forward an information copy to unit administrative officer.

3. File Labels. (Reference Figure 2.)

3.1. ♦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).

3-2. ♦Affix any size labels, typed or printed, to appropriate folders, disks, etc.

3.3. ♦ 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 1999.

4. Guide Cards. (Reference Figure 3.)

4.1. ♦Guide cards are optional.

4.2. Used to identify documentation series

4.3. ♦Size and paper stock is optional.

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

5. File Drawer Labels. (Reference Figure 4.)

5.1. ♦File drawer labels are optional.

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

6. Records and Disposition Instructions. (Reference Tables 1 through 12.) At a minimum, records specified in the Constitution and Bylaws of CAP will be maintained.

7. ♦Computer Files. Are authorized but must be easily retrieved and require a back up.

8. ♦Filing Arrangement. File records in locations and sequence best suited for your needs.

NOTE: Records must be easily retrieved for review and inspection.

9. Records Management and Cut-Off Procedures.

9.1. Calendar year files cut off 31 December each year; new files start 1 January each year.

9.2. ♦Fiscal year files cut off 30 September each year; new files start 1 October each year.

Supersedes CAPR 10-2, 1 July 1992.
OPR: MSA
Distribution: In accordance with CAPR 5-4.

10. Records of Historical Significance.

10.1. 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.

10.2. National Historian will return records determined to not have historical significance.

SUMMARY OF CHANGES.
This publication implements new, approved format (changes numbering format and to a single column, deletes signature elements and official seal). Rescinds CAPF 57, *Files Maintenance and Disposition Plan*, and CAPF 57a, *Files Disposition Control Label.* Guide cards and file drawer labels are optional.

NOTE: A diamond (♦) identifies updated information.

Figure 1. Example File Plan.

Name: Lt Col Les Jarvis, HQ MI WG CAP/DA **Date Prepared: 10 May XXXX**

Item	Title	Table	Rule
1.	**File Plan**	1	1
2.	**Suspense Control (Admin desk)**	1	2
3.	**General Correspondence**	1	3
3.1.	Telephone Toll Calls		
3.2.	Transitory Material		
3.3.	Policy/Precedent Files		
3.4.	Letters of Appreciation		
4.	**TAs/MSAs/PAs (Originals)**	1	4
4.1.	TAs		
4.2.	MSAs		
4.3.	PAs		
5.	**Safety**		
5.1.	Safety Surveys	12	1
5.2.	Safety Meeting Minutes	12	1
5.3.	Safety Mishap Report Forms (CAPFs 78)	12	2

Figure 2. Example File Labels

1. File Plan

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

2. Suspense Control

T1, R2
Destroy when superseded obsolete, or no longer needed

Figure 3. Example Guide Cards (Optional)

3. GENERAL CORRESPONDENCE

or

3. GENERAL CORRESPONDENCE

T1, R3

Cut Off: 31 Dec/Destroy after 1 year

Records And Disposition Instructions

♦ Table 1–Administration

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**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		If FY: 30 Sep/destroy after 1 year If CY: 31 Dec/destroy after 1 year
4	TAs, MSAs, and PAs	travel authorizations, special activities, and task assignments	originals	30 Sep/destroy after 1 year
5			distribution copies	Destroy when no longer needed
6	reports and forms	correspondence and forms related to primary mission objectives, procedural development, and policy for the activity concerned.		31 Dec/destroy after 3 years
7	memorandum of understanding		originals	31Dec/destroy 6 years after superseded or terminated
8			information copies	Destroy when superseded or terminated
9	special orders (NHQ only)	travel authorizations	originals (NHQ only)	30 Sep/destroy after 3 years
10			distribution copies	destroy when no longer needed
11	meeting minutes		originals	31 Dec/retain as permanent
12			information copies	destroy when superseded, obsolete, or no longer needed
13	CAP publications (NHQ only)	CAP numbered regulations, manuals, pamphlets, and blank forms	record sets (NHQ only)	31 Dec/retain as permanent

Records and Disposition Instructions

♦ Table 2–Aerospace Education

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	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
2	test distribution records	test distribution records for AEPSM		31 Dec/destroy after 5 years

♦ Table 3–Cadet Programs

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	cadet activities or workshops			31 Dec/destroy after 1 year

♦ Table 4–Chaplain

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	statistical reports	CAPFs 34	NHQ only	31 Dec/destroy after 3 years
			below NHQ	destroy when superseded, obsolete, or no longer needed
2	appointment application	CAPFs 35	NHQ only	31 Dec Note: cut off when membership expires and destroy after 3 years
			below NHQ	destroy when superseded, obsolete, or no longer needed
3	newsletters		NHQ only	31 Dec/retain as permanent
			below NHQ	destroy when superseded, obsolete, or no longer needed

♦ Table 5–Inspector General

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	inspection guides	wing QAFA/LO QAFA; unit self assessments		destroy when superseded, obsolete, or no longer needed
2	inspection reports	QAFA/SAV/survey audit; CAPR 60-2; no-notice inspection results		31 Dec/destroy after 3 years
3	congressional inquiries			31 Dec/destroy after 5 years
4	IG complaints			31 Dec/destroy after 3 years

Records and Disposition Instructions

Table 6 – Financial Management

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**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.

Records and Disposition Instructions

♦ Table 7–Legal

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**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 CAP/GC.

♦ Table 8–Operations

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	mission training authorizations	CAPFs 10		destroy when superseded, obsolete, or no longer needed
2	ES qualification documentation	CAPFs 100		30 Sep/destroy after 1 year
3	non-CAP passengers	CAPFs 9; waivers to fly non-CAP members		30 Sep/destroy after 1 year
4	CAP LO flying invoice/vender certification/receiving report (CAP LO only)	CAPFs 16		30 Sep/destroy after 1 year
5	CAP flight release log	CAPFs 99		30 Sep/destroy after 1 year
6	counterdrug reports	CAPFs 82, and 84		30 Sep/destroy after 2 years
7	operations monthly activity report	CAPFs 18		30 Sep/destroy after 4 years
8	AFRCC reports	CAPFs 102 through 110, 121, & 122		30 Sep/destroy after 4 years
9	AFNESP/tempest rapid reports	CAPFs 102 through 110, 121, & 122		30 Sep/destroy after 4 years

Records and Disposition Instructions

♦ **Table 9–Safety**

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	safety correspondence	safety surveys; safety visit reports, minutes of safety meetings		31 Dec/destroy after 1 year
2	accident and incident reports	CAPFs 78 & 79		30 Sep/destroy after 3 years

♦ **Table 10–Logistics**

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	vehicle status report (S2)			destroy when superseded, obsolete, or no longer needed
2	logistics inventory (S3)			destroy when superseded, obsolete, or no longer needed
3	supply officer appointment	CAPFs 2a		destroy when superseded, obsolete, or no longer needed
4	wing want list			destroy when superseded, obsolete, or no longer needed
5	excess property	application for receipt of and disposition of excess property		31 Dec/destroy after 1 year
6	nonexpendable property	CAPFs 37 other than aircraft and vehicles		31 Dec/destroy after 1 year
7	expendable property	CAPFs 37		31 Dec/destroy after 3 years
8	vehicle records	other than vehicle status report (S2)		31 Dec/destroy after 3 years
9	custody receipts and loans of non- expendable property	CAPFs 37		31 Dec/destroy after 3 years
10	real property	correspondence, licenses, and other records relating to real property		31 Dec/destroy after 7 years
11	aircraft records	records pertaining to aircraft (other than aircraft inventory status report (S1)		31 Dec/retain as permanent Note: when aircraft is disposed of then forward to NHQ CAP/LG as permanent records

Records and Disposition Instructions

♦ Table 11–Personnel

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**cutoff/then**
1	personnel administration	personnel plans and policies,	below NHQ	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, 59-1, 59-2, 59-3, 66, 66a, 77, 95, 120	below NHQ	31 Dec Note: cut off when membership expires or transfers and destroy after 5 years
3	corporate employment requests	resumes; applications for employment	NHQ only	31 Dec/destroy after 1 year
4	injury or workers' compensation claims		NHQ only	31 Dec/destroy after 5 year
5	corporate employee records		NHQ only	31 Dec Note: cutoff when employment ceases and destroy after 5 years
6	personnel actions	transfers; membership terminations; retirements; renewals	NHQ only	31 Dec/destroy after 1 year
7	membership applications		NHQ only	31 Dec/destroy after 5 year
8	screening records		NHQ only	31 Dec/retain as permanent

♦ Table 12–Public Affairs

	A	B	C	D
Rule	**If the records are or pertain to**	**consisting of**	**which are**	**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
4	annual reports to congress (NHQ only)			31 Dec/retain as permanent

CIVIL AIR PATROL
NATIONAL HEADQUARTERS
MAXWELL AFB AL 36112-6332

CHANGE 1
CAP REGULATION 10-2
20 JUNE 2001

Administrative Communications

FILES MAINTENANCE AND RECORDS DISPOSITION

CAP Regulation 10-2, 10 May 1999, is changed as follows:

Page-Insert Change.

Remove	**Insert**
3-4	**3-4**

Note: Shaded areas identify new or revised material.

OPR: LGRF
Distribution: In accordance with CAPR 5-4.

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CHANGE 2 (EMERGENCY)
CAP REGULATION 10-2
15 JULY 2004

Administrative Communications

FILES MAINTENANCE AND RECORDS DISPOSITION

CAP Regulation 10-2, 10 May 1999, is changed as follows:

Page-Insert Change.

Remove	**Insert**
5-6	**5-6**

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