Records Disposition Schedules

Record Group 330: Office of the Secretary of Defense

May 2022

Overview

The records disposition schedules contained in this document are collected from the General Records Schedules (GRS) and National Archives and Records Administration (NARA) approved OSD-specific schedules, as of January 2021. They are arranged by Series, according to a 'functional' file system; that is, by major functions within OSD and the components falling under the purview of OSD for Records and Information Management.

These schedules will be revised periodically; as NARA approves new schedules and as the GRS is updated. The records described in this schedule are created and maintained in different media and formats. In some cases, the file description will specify the media/formats of the records. Unless the media/format is specified, the remaining file numbers are considered to be media neutral, i.e., they were written to authorize the disposition of records in any media or format.

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SERIES 100 – GENERAL OFFICE RECORDS

SERIES TITLE: GENERAL OFFICE RECORDS

SERIES DESCRIPTION: Records described in this series relate to the performance of routine operations of OSD and DoD offices and staff sections responsible for providing them. This series covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents.

SERIES APPLIES T0 THE FOLLOWING ORGANIZATIONS: File Numbers within the 100 Series may be used by any directorate, division, branch, task force, field office or component under the purview of the OSD Records Administrator, including FACA Committees.

RECORDS CATEGORY: 101
CATEGORY TITLE: Office General Information
CATEGORY DESCRIPTION: The file numbers within this records category consist of the day to day administrative (housekeeping) records of an office.

FILE NUMBER: 101-01.1
FILE TITLE: Office Administrative Records
FILE DESCRIPTION: Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- Staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- Office-level administrative policies and procedures and files related to their development
- Calendars or schedules of daily activities of non-high-level officials (see 212 for Senior-Level Officials)
- Informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- Internal office activity and workload reports
- Studies and analyses of office administrative functions and activities
- Non-mission related management reviews and surveys
- Minutes of meetings related to administrative activities

DISPOSITION: Temporary. Cut off and destroy when business use ceases.
AUTHORITY: GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(S): 101-01, 101-14, 101-15, 102-07, 103-14a, 923-02, 923-03, 1301-14, 1605-01, 1605-02

FILE NUMBER: 101-01.2
FILE TITLE: Action/Operations Files
FILE DESCRIPTION: Documents on the administration or operations of a Component's activities that pertain to more substantial activities than routine administrative files and are exclusive of official personnel files pertaining to individuals described in this Records Schedule. These files generally include the following:

- Routine comments on regulations, directives, or other publications prepared by another office with primary responsibility. If comments result in additional action affecting the mission or functions of the office, documents should be filed with the appropriate mission function files.
- Evaluations of suggestions that do not result in issuing an instruction or establishing a project.
- 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.
- Extracts of reports of inspections, surveys, or audits that pertain to the operation of the mission or functions.
- Comments on or contributions to news releases or other media furnished to publicize and promote the mission or functions.
- Preparation and submission of reports to and testimony and hearings before Congress as well as background papers containing comments on proposed legislation affecting programs. NOTE: Not to be confused with papers maintained under File Numbers 102-18.1 or 102-18.2 (Congressional Correspondence), or Series 1000, Office of the Assistant Secretary of Defense (Legislative Affairs).

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff or discontinuance, whichever is first.
AUTHORITY: N1-330-92-001, item 3
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(S): 103-03, 103-04b, 103-11, 303-02.1b, 304-03.3, 304-03.4, 304-03.5, 910-04.4, 1806-06.3

FILE NUMBER: 101-02 – Consolidated into 201-05.3
FILE NUMBER: 101-03 – Moved to 103-02.2
FILE NUMBER: 101-04 – Moved to 201-01.2
FILE NUMBER: 101-05a – Consolidated into 203-05
FILE NUMBER: 101-05b – Consolidated into 203-01

FILE NUMBER: 101-05
FILE TITLE: Facility Security Management Operations Records
FILE DESCRIPTION: Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:

- Control center key or code records
- Registers of patrol and alarm services
- Service reports on interruptions and tests
- Emergency alarm contact call lists
- Temporary identification cards
- Correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date
- Round and perimeter check reports, including facility patrol tour data
- Surveillance records that do not document accidents or incidents
  - Recordings of protective mobile radio transmissions
  - Video surveillance recordings
  - Closed circuit television (CCTV) records

- Door slip summaries

Exclusion 1: Records related to federal law enforcement and federal correctional activities, such as body camera recordings and criminal surveillance records. Law enforcement officer-related records pertaining to the Pentagon Force Protection Agency (PFPA) are covered by the 217 series.
Exclusion 2: Records related to accident or incident investigations. Surveillance recordings that include accidents or incidents may be destroyed using this disposition authority provided a copy is retained in the accident or incident investigation records.
NOTE: Records of accidents and incidents are covered under File Number 204-21; visitor processing are covered under File Numbers 202-03.1 and 202-03.2.
DISPOSITION: Temporary. Cut off and destroy when 30 days old.
AUTHORITY: GRS 5.6, item 090 (DAA-GRS-2021-0001-0003)
PRIVACY ACT: Not Applicable

FILE NUMBER: 101-06
FILE TITLE: Records tracking and controlling access to protected information
FILE DESCRIPTION: Includes:

- Records documenting receipt, internal routing, dispatch, or destruction of classified, and controlled unclassified information.
- Tracking databases and other records used to manage overall program
- Requests and authorizations for individuals to have access to classified and controlled unclassified records and information.

NOTE: Records documenting individuals' security clearances are covered under file numbers 202-40.1 and 202-40.4.
DISPOSITION: Temporary. Cut off after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate. Destroy 2 years after cutoff.
AUTHORITY: GRS 4.2, item 030 (DAA-GRS-2019-0001-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-06, 101-09, 101-10, 101-11, 101-12, 101-18, 209-02, 209-03, 209-04, 209-06, 704-04.4

FILE NUMBER: 101-07
FILE TITLE: Records related to Classified or Controlled Unclassified Document Containers
FILE DESCRIPTION: Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, [such as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheets].
NOTE: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.
DISPOSITION: Temporary. Cut off after last entry on the form, and destroy 90 days after cutoff.
AUTHORITY: GRS 4.2, item 032 (DAA-GRS-2016-0002-0003)
PRIVACY ACT: Not applicable

FILE NUMBER: 101-08
FILE TITLE: Records relating to Classified or Controlled Unclassified Document Containers
FILE DESCRIPTION: Includes:

- Safe and padlock combinations
- Names or other personal identifiers of individuals who know combinations
- Comparable data used to control access into classified document containers

DISPOSITION: Temporary. Cut off and destroy when superseded by a new form or list or upon turn-in of containers.
AUTHORITY: GRS 4.2, Item 031 (DAA-GRS-2013-0007-0020)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-08, 209-07

FILE NUMBER: 101-09 – Consolidated under 101-06
FILE NUMBER: 101-10 – Consolidated under 101-06
FILE NUMBER: 101-11 – Consolidated under 101-06
FILE NUMBER: 101-12 – Consolidated under 101-06
FILE NUMBER: 101-13a – Consolidated into 102-10
FILE NUMBER: 101-13b – Consolidated into 102-10
FILE NUMBER: 101-14 – Consolidated into 101-01.1
FILE NUMBER: 101-15 – Consolidated into 101-01.1
FILE NUMBER: 101-16 – Consolidated into 204-01
FILE NUMBER: 101-17 – Consolidated into 204-01
FILE NUMBER: 101-18 – Consolidated under 101-06
FILE NUMBER: 101-19 – Moved to 203-13.2
FILE NUMBER: 101-20 – Consolidated into 208-18
FILE NUMBER: 101-21 – Consolidated into 204-01
FILE NUMBER: 101-22 – Consolidated into 102-06.4

RECORDS CATEGORY: 102
CATEGORY TITLE: Reference, Correspondence, and Publication Files
CATEGORY DESCRIPTION: File numbers in this category apply to correspondence, publications and reference publications conducted or stored by an office.

FILE NUMBER: 102-01
FILE TITLE: Reference Publication Files
FILE DESCRIPTION: Copies of publications issued by other government agencies, and nongovernmental organizations maintained for general reference with an office.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed for reference, except that accountable publications shall be returned to supply channels.
AUTHORITY: NC1-330-77-004, item 102-01
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 102-01, 910-02, 910-06.2, 910-07.1, 910-08, 910-09.2, 910-10.2, 910-10.3, 910-11.2, 910-12.2, 910-13.1, 910-14.2

FILE NUMBER: 102-02
FILE TITLE: Technical Material Reference Files

FILE DESCRIPTION: Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, charts, and maps retained for reference purposes only.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed for reference, except that accountable publications shall be returned to supply channels.
AUTHORITY: NC1-330-77-004, item 102-02
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 102-02, 103-08.2

FILE NUMBER: 102-03 – Consolidated into 102-16
FILE NUMBER: 102-04 – RESCINDED

FILE NUMBER: 102-05.1
FILE TITLE: Policy and Precedent Files
FILE DESCRIPTION: Extra copies of documents establishing policy or precedent for future and continuing action. Normally, policy and precedent files are maintained at the operating level, and consist of copies of standing operating procedures, statements of policy of procedure, examples of typical cases, and other documents duplicated in functional files.
DISPOSITION: Temporary. Destroy individual documents when superseded or obsolete. Cut off and destroy entire file on discontinuance of organizational elements to which it relates.
AUTHORITY: NC1-330-77-004, item 102-05
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 102-05, 1101-01.9

FILE NUMBER: 102-05.2
FILE TITLE: Orientation and Briefing Files
FILE DESCRIPTION: Documents used in 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 viewgraphs, copies of specially prepared handouts, and related or similar documents.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-92-001, item 5
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 103-05

FILE NUMBER: 102-06.1
FILE TITLE: Publications Files – Record Copies
FILE DESCRIPTION: Publications, manuscripts and associated papers on publications issued by the OSD or its components, including Defense Agencies and Field Activities.
DISPOSITION: Permanent. Cut off when publication is final. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-004, item 102-06a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 102-06a

FILE NUMBER: 102-06.2
FILE TITLE: Publications Files – Duplicate Copies

FILE DESCRIPTION: Publications, manuscripts and associated papers on publications issued by the OSD or its components, including Defense Agencies and Field Activities.
DISPOSITION: Temporary. Cut off after issuance of the publication. Destroy duplicate copies 1 year after cutoff.
AUTHORITY: NC1-330-77-004, item 102-06b
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 102-06b

FILE NUMBER: 102-06.3
FILE TITLE: Publications Files – Case Files
FILE DESCRIPTION: Publications, manuscripts and associated papers on publications issued by the OSD or its components, including Defense Agencies and Field Activities.
DISPOSITION: Temporary. Cut off case files and destroy when no longer needed for reference.
AUTHORITY: NC1-330-77-004, item 102-06c
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 102-06c

FILE NUMBER: 102-06.4
FILE TITLE: General Information Request Files
FILE DESCRIPTION: Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgments, replies, and referrals of inquiries to other offices for response.
DISPOSITION: Temporary. Cut off monthly and destroy 90 days after cutoff.
AUTHORITY: GRS 4.2, Item 010 (DAA-GRS-2013-0007-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-22, 701-09.2, 701-09.3

FILE NUMBER: 102-07 – Consolidated into 101-01.1
FILE NUMBER: 102-08 – Consolidated into 102-10

FILE NUMBER: 102-09
FILE TITLE: Customer/Client Records
FILE DESCRIPTION: Distribution lists used to deliver goods and services. Records include:

- Contact information for customers or clients
- Subscription databases for distributing information such as publications and data sets produced by the Agency
- Files and databases related to constituent and community outreach or relations
- Sign-up, request, and opt-out forms

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete or when customer requests the Agency to remove the records.
AUTHORITY: GRS 6.5, item 020 (DAA-GRS-2017-0002-0002)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 102-09.1, 102-09.2

FILE NUMBER: 102-09.1 – Consolidated into 102-09
FILE NUMBER: 102-09.2 – Consolidated into 102-09
FILE NUMBER: 102-09.3 – RESCINDED

FILE NUMBER: 102-10
FILE TITLE: Mail, Printing, and Telecommunication Services Control Record
FILE DESCRIPTION: Records of general day-to-day communication service administration and specific transmission tracking. Includes:

- Records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages
- Messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity
- Reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment
- Records that document requisitioning and receiving stamps and postage meter balances
- Documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger
- Staff and office directories the agency uses to ensure correct mail and package delivery
- Printing requisitions, work orders, samples, manuscript clearances, and related documents
- Mailing and contact lists a mailroom or similar office manages
- Telephone message registers and logs

DISPOSITION: Temporary. Cut off annually or when superseded / obsolete, whichever applies. Destroy 1 year after cutoff.
AUTHORITY: GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-13a, 101-13b, 102-08, 102-10.1, 102-10.2, 102-10.3, 102-10.4, 102-10.5, 102-11.1, 102-11.2, 102-11.3, 102-11.4, 102-11.5, 102-11.6, 206-08.22.5.2

FILE NUMBER: 102-10.1 – Consolidated into 102-10
FILE NUMBER: 102-10.2 – Consolidated into 102-10
FILE NUMBER: 102-10.3 – Consolidated into 102-10
FILE NUMBER: 102-10.4 – Consolidated into 102-10
FILE NUMBER: 102-10.5 – Consolidated into 102-10
FILE NUMBER: 102-11.1 – Consolidated into 102-10
FILE NUMBER: 102-11.2 – Consolidated into 102-10
FILE NUMBER: 102-11.3 – Consolidated into 102-10
FILE NUMBER: 102-11.4 – Consolidated into 102-10
FILE NUMBER: 102-11.5 – Consolidated into 102-10
FILE NUMBER: 102-11.6 – Consolidated into 102-10
FILE NUMBER: 102-12.1a – Moved to 212-10
FILE NUMBER: 102-12.1b – RESCINDED

FILE NUMBER: 102-12.1
FILE TITLE: Email Retention for Non-Capstone Officials

FILE DESCRIPTION: All recorded information maintained in email accounts (regardless of classification) for current and incoming Non-Capstone OSD employees (civilians or military service members) supported by both DEE and non-DEE email systems including personnel on the Secretary of Defense Network who are not designated as CAPSTONE officials. **NOTE:** Use File Number 212-10 for personnel designated as a CAPSTONE Official, File Number 102-11.2 for Contractors and File Number 102-12 for the DoD General Counsel or General Counsels assigned to OSD Components. Includes:

- Email messages and attachments
- Email calendars and appointments
- Email tasks
- Email chat transcripts, and other communications maintained on DEE or non-DEE email systems (including the Secretary of Defense Network for officials not designated as CAPSTONE officials)

DISPOSITION: Temporary. Cut off annually upon receipt. Destroy 7 years after cutoff.
NOTE: Non-Capstone Employees must ensure that all email records with dispositions of longer than 7 years be retained external to their email systems.
AUTHORITY: GRS 6.1-0330-2017-0001-0002
PRIVACY ACT: Not applicable

FILE NUMBER: 102-12.2 – RESCINDED
FILE NUMBER: 102-12.3 – RESCINDED

FILE NUMBER: 102-12.4
FILE TITLE: Email Retention for Contractors assigned to OSD Components, Defense Agencies and Field Activities
FILE DESCRIPTION: All recorded information maintained in email accounts (regardless of classification) for current and incoming contractors assigned to OSD Components, Defense Agencies and Field Activities supported by both DEE and non-DEE email systems including contractor personnel on the Secretary of Defense Network. **NOTE:** Use File Number 212-10 for personnel designated as a CAPSTONE Official, File Number 102-11.1 for Non-Capstone OSD Employees, and File Number 102-12 for the DoD General Counsel or General Counsels assigned to OSD Components. Includes:

- Email messages and attachments
- Email calendars and appointments
- Email tasks
- Email chat transcripts, and other communications maintained on DEE or non-DEE email systems (including the Secretary of Defense Network for officials not designated as CAPSTONE officials)

DISPOSITION: Temporary. Cut off annually upon receipt. Destroy 3 years after cutoff.
AUTHORITY: GRS 6.1-0330-2017-0001-0004
PRIVACY ACT: Not Applicable

FILE NUMBER: 102-12.5
FILE TITLE: Email Retention for the DoD General Counsel and for General Counsels assigned to OSD Components, Defense Agencies, and Field Activities
FILE DESCRIPTION: All recorded information maintained in email accounts (regardless of classification) for the current and incoming DoD General Counsel and General Counsels assigned to OSD Components, Defense Agencies, and Field Activities. **NOTE**: Use File Number 212-10 for personnel designated as a CAPSTONE Official, File Number 102-11.1 for Non-Capstone Officials other than the DoD GC/GCs, and File Number 102-11.2 for Contractors. Includes:

- Email messages and attachments
- Email calendars and appointments
- Email tasks
- Email chat transcripts, and other communications maintained on DEE or non-DEE email systems (including the Secretary of Defense Network for officials not designated as CAPSTONE officials)

DISPOSITION: Temporary. Cut off annually upon receipt. Destroy 10 years after cutoff. **NOTE:** the DoD GC/GCs must ensure that all email records with dispositions of longer than 10 years be retained external to their email systems.
AUTHORITY: GRS 6.1-0330-2017-0001-0003
PRIVACY ACT: Not applicable

FILE NUMBER: 102-13
FILE TITLE: Program Progress Files
FILE DESCRIPTION: Records on program progress and accomplishment, including related planning records and other backup case records. These files contain all significant programs, program objectives, planned milestones, progress reports, and related documents.
DISPOSITION: Permanent. Cut off when no longer needed for current business. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-004, item 102-13a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 102-13a

FILE NUMBER: 102-13b – RESCINDED

FILE NUMBER: 102-14
FILE TITLE: Implementation Files
FILE DESCRIPTION: Records on the implementation of procedures, systems, methods and standards, and associated matters that result in operational and administration changes.
DISPOSITION: Temporary. Cut off when no longer needed for current business. Destroy 30 years after cutoff.
AUTHORITY: NC1-330-77-004, item 102-14a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 102-14a

FILE NUMBER: 102-14b – RESCINDED
FILE NUMBER: 102-15 – Consolidated to 103-13

FILE NUMBER: 102-16
FILE TITLE: Chronological Reading Files – Office Files
FILE DESCRIPTION: Outgoing correspondence arranged in chronological order prepared for office routing to assist in dissemination of information.
DISPOSITION: Temporary. Destroy 1 year after monthly, quarterly, or semiannual cut off. **NOTE:** Chronological files for senior officials are covered under 212-01.
AUTHORITY: NC1-330-77-004, item 102-16a

PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 102-03, 102-16a, 201-19, 1301-19

FILE NUMBER: 102-16b – Consolidated into 212-01

FILE NUMBER: 102-17.1
FILE TITLE: White House Correspondence Files - Routine
FILE DESCRIPTION: White House Correspondence of a routine non-policy nature with no long-term value.
DISPOSITION: Temporary. Cut off every 6 months. Destroy 7 years after cutoff.
AUTHORITY: NC1-330-77-004, item 102-17a
PRIVACY ACT: Not applicable

FILE NUMBER: 102-17.2
FILE TITLE: White House Correspondence Files - Substantive
FILE DESCRIPTION: White House correspondence relating to substantive policy-related matters.
NOTE: The Freedom of Information Act does not apply to the President, the White House Office, and the President's principal advisors. Mail of this nature referred to the OSD is personal mail and should be maintained separately from regular mail, as a courtesy for the White House, and it shall be returned thereto upon request. It may be transferred to NARA only if approved by the White House.
DISPOSITION: Permanent. Cut off every 6 months. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-004, item 102-17b
PRIVACY ACT: Not applicable

FILE NUMBER: 102-18.1
FILE TITLE: Congressional Correspondence - Routine
FILE DESCRIPTION: Correspondence of a routine nature with no historical value. Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, that are forwarded to the OSD for reply. Examples include letters regarding the Office of Civilian Health and Medical Program of the Uniformed Services benefits for dependents, rejections for military service, requests for information about commissary privileges for retirees and retirement benefit programs, physician pay bonus program eligibility, and public inquiries as to how and where military equipment can be purchased, discrimination complaints, and public inquiries on Defense spending.
DISPOSITION: Temporary. Cut off every 6 months and destroy 7 years after cutoff.
AUTHORITY: NC1-330-79-001, item 102-18a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 102-18.1, 201-18, 303-02.2c, 1301-20

FILE NUMBER: 102-18.2
FILE TITLE: Congressional Correspondence - Substantial
FILE DESCRIPTION: Correspondence of a substantial nature with historical significance. Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, that are forwarded to the OSD for reply. They are primarily originated by Congress and pertain to substantial policy issues such as plans, objectives, or responsibilities. Examples include letters between Congress and the Secretary of Defense outlining the appropriations history of weapons projects, international programs,

DoD IT programs, international incidents such as the seizure of vessels or aircraft shootdowns, intelligence operations, war reserves, Defense contract awards, and important investigations.
DISPOSITION: Permanent. Cut off annually and transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-79-001, item 102-18b
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 102-18.2, 201-18, 1301-20

FILE NUMBER: 102-19
FILE TITLE: Mail, Printing, and Telecommunication Services Administrative and Operational Records
FILE DESCRIPTION: Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation, excluding agreements used to support voucher payments (Use 206-09.1 for such files). Includes:

- Agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use
- Records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment
- Telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data
- Records documenting allocation, distribution, and use of telephone calling cards
- Statistical reports on mail and package shipment volume and costs
- Related correspondence

DISPOSITION: Temporary. Cut off annually, or after applicable agreement expires or is cancelled, whichever is applicable. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)
PRIVACY ACT: Not applicable

FILE NUMBER: 102-19.1 – Consolidated into 212-04
FILE NUMBER: 102-19.2 – RESCINDED

FILE NUMBER: 102-20
FILE TITLE: Metered Mail Records
FILE DESCRIPTION: Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.
AUTHORITY: GRS 5.5, item 030 (DAA-GRS-2016-0012-0003)
PRIVACY ACT: Not applicable

FILE NUMBER: 102-21
FILE TITLE: Public Customer Service Operations Records
FILE DESCRIPTION: Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes:

- Incoming requests and responses
- Trouble tickets and tracking logs

- Recordings of call center phone conversations with customers used for quality control and customer service training
- System data, including customer ticket numbers and visit tracking
- Evaluations and feedback about customer services
- Information about customer services, such as "Frequently Asked Questions" (FAQs) and user guides
- Reports generated from customer management data
- Complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports.

DISPOSITION: Temporary. Cut off after resolved or when no longer needed for business use, whichever is appropriate. Destroy 1 year after cutoff.
AUTHORITY: GRS 6.5, item 010 (DAA-GRS-2017-0002-0001)
PRIVACY ACT: Not applicable

RECORDS CATEGORY: 103
CATEGORY TITLE: Common Mission Files
CATEGORY DESCRIPTION: General policy and administrative files relating directly to the mission of an OSD functional element that are distinct from office administrative and management files.

FILE NUMBER: 103-01.1
FILE TITLE: Policy Files – Issuances
FILE DESCRIPTION: Issuances memoranda, letters, or other correspondence that announce, modify or change, rescind, or explain any process, procedure, or function. These files accumulate in the offices of the Secretary and Deputy Secretary of Defense, immediate offices of the Under and Assistant Secretaries of Defense, or any element of any OSD Component involved in making, promulgating, or analyzing policy relating to a Component's mission. They are not to be confused with Policy and Precedent (102-05.1), Publications (102-06.1), or Instruction (103-02.1) files. **NOTE:** Use 101-14 for background papers associated with policy case files.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-93-001, item 1
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-01.2, 206-01, 304-04.1, 304-04.1.1, 304-04.1.2, 404-01, 702-01.1, 704-02.6, 705-06.1, 705-06.2, 705-06.3, 910-04.3, 910-04.5, 1206-03, 1404-02, 1404-03, 1405-04, 1802-02.1, 1807-01.1, 1807-01.6, 1807-01.7, 2200-01.1, 2200-03

FILE NUMBER: 103-01.2
FILE TITLE: Policy Files – Evaluation
FILE DESCRIPTION: Analyses, studies, and substantive correspondence and memos that evaluate or assist in the evaluation of a process, procedure, or function. These files accumulate in the offices of the Secretary and Deputy Secretary of Defense, immediate offices of the Under and Assistant Secretaries of Defense, or any element of any OSD Component involved in making, promulgating, or analyzing policy relating to a Component's mission. They are not to be confused with Policy and Precedent (102-05.1), Publications (102-06.1), or Instruction (103-02.1) files. **NOTE:** Use 101-14 for background papers associated with policy case files.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.

AUTHORITY: N1-330-93-001, item 2
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-01.2, 206-01, 304-04.1, 304-04.1.1, 304-04.1.2, 404-01, 702-01.1, 704-02.6, 705-06.1, 705-06.2, 705-06.3, 910-04.3, 910-04.5, 1206-03, 1404-02, 1404-03, 1405-04, 1802-02.1, 1807-01.1, 1807-01.6, 1807-01.7, 2200-01.1, 2200-03

FILE NUMBER: 103-01.3 – RESCINDED

FILE NUMBER: 103-02.1
FILE TITLE: Mission/Program-related Instruction Files
FILE DESCRIPTION: Documents on preparing, coordinating, issuing, and interpreting directives, regulatory instructions and comparable instructional material. 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 regulations, supplements, memoranda, circulars, pamphlets, and bulletins; Standard Operating Procedures (SOPs) or similar issuances; messages used for expeditious interim changes to instructions; technical newsletters or comparable media used to forward semiofficial and authoritative instructions; and official training materials.
DISPOSITION: Permanent. Cut off annually or when superseded or obsolete, as reference needs require. Transfer to NARA 30 years after cutoff.
AUTHORITY: N1-330-92-001, item 2
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-02, 704-01.5, 704-02.7, 1807-01.5

FILE NUMBER: 103-02.2
FILE TITLE: Office Instruction Files
FILE DESCRIPTION: Documents on the preparation and issuance of office memorandums or comparable continuing instructions applicable only to internal administrative practices within the preparing office. Included are copies of the instructions and communications relating to them. **NOTE:** Use File Number 103-02.1 for instructions concerning the performance of mission functions of the office even though they may be issued as standing operating procedures or in comparable format.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: NC1-330-77-004, Item 101-03
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-03

FILE NUMBER: 103-02.3
FILE TITLE: Administrative Guidance Instruction Files
FILE DESCRIPTION: Documents on Administrative Instructions, backup, previous issues, notes, and related papers.
DISPOSITION: Temporary. Cut off upon completion. Destroy 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-16
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 201-15, 204-03

FILE NUMBER: 103-03 – Consolidated into 101-01.2

FILE NUMBER: 103-04.1
FILE TITLE: Agreement Files involving Transfer of Personal Spaces and Training – Office requesting and Office providing Support
FILE DESCRIPTION: Agreements, memoranda of agreement (MOA), memoranda of understanding (MOU), and similar documents between the OSD Components and WHS and the Military Services, the Defense Agencies, Federal Agencies, non-Federal organizations or agencies, BUT NOT FOREIGN GOVERNMENTS that pertain to the transfer of personal spaces and/or training. These agreements are negotiated to provide for continued support and understanding between recognized organizations in the Department of Defense or within OSD concerning administrative, personnel, training and other matters. Included are the agreements, agreement checklists, amendments to agreements, review comments, related correspondence, and similar documents.
DISPOSITION: Temporary. Cut off after supersession, cancellation, or termination of the agreement; destroy 6 years after cutoff.
AUTHORITY: N1-330-92-001, item 4a(1)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-04a(1), 705-02.2, 705-02.3, 910-04.1

FILE NUMBER: 103-04.2
FILE TITLE: Agreement Files Other than Personal Spaces and/or Training
FILE DESCRIPTION: Agreements, memoranda of agreement (MOA), memoranda of understanding (MOU), and similar documents between the OSD Components and WHS and the Military Services, the Defense Agencies, Federal Agencies, non-Federal organizations or agencies, BUT NOT FOREIGN GOVERNMENTS involving other forms of support (than transfer of personal spaces and/or training).
DISPOSITION: Temporary. Cut off and destroy upon supersession, cancellation or termination.
AUTHORITY: N1-330-92-001, item 4a(2)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-04a(2), 910-04.1, 1806-12

FILE NUMBER: 103-04b – Consolidated into 101-01.2
FILE NUMBER: 103-05 – Moved to 102-05.2

FILE NUMBER: 103-06.1
FILE TITLE: Federal Advisory Committee Files - Substantive Committee Records (Non-Grant Review Committees)
FILE DESCRIPTION: Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. **NOTE**: The term "advisory committee" as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies or officers of the Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government. **Exclusion**: This item

does not include records of committees whose sole purpose is grant review. See item 103-06.3 for these records.
Records may include:

- Records related to the establishment of the committee:
  - Charters (original, renewal, re-establishment, and amended)
  - Enacting legislation
  - Explanation of committee need, when required
  - Filing letters to Congress
  - Organization charts
  - Committee specific bylaws, standard operating procedures, or guidelines
  - Any other materials that document the organization and functions of the committee and its components
- Records related to committee membership:
  - Memos or similar documentation of how and/or why individual members were selected
  - Membership balance plans
  - Membership rosters
  - Appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc.
  - Resignation or termination letters
- Records of committee meetings and hearings:
  - Agency head's determination that a meeting or portion of a meeting may be closed to the public
  - Agendas
  - Materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations
  - Meeting minutes
  - Public comments
  - Testimony received during hearings
  - Transcripts of meetings and hearings (**NOTE:** If transcripts do not exist, audio/visual recordings are permanent under 103-06.2)
- Records related to committee findings and recommendations:
- One copy each of final reports, memoranda, letters to Agency, studies, and pamphlets produced by or for the committee
  - Responses from Agency to committee regarding recommendations
  - Committee presentations or briefings of findings
- Records created by committee members:
  - Correspondence documenting discussions, decisions, or actions, related to the work of the committee (excluding administrative or logistical matters), including electronic mail (email), exchanged between one or more committee members and/or Agency committee staff (such as the Designated Federal Officer)
- Records related to research collected or created by the committee:
  - Records related to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data)
  - Raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies
- Documentation of Advisory Committee Subcommittees (i.e., working groups and other subgroups):
  - Records relating to the formulation of the subcommittee or working group, if they exist

        - Decision documents
        - Membership
        - Statement of purpose or other documentation of duties and responsibilities
    - Records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to:
        - Meeting minutes
        - Transcripts
        - Reports
        - Briefing materials
        - Substantive correspondence, including electronic mail (email), exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or Agency committee staff (such as the Designated Federal Officer)
        - Background materials
    - Records related to committee termination ((i.e., email, letter, memo, etc.)
    - Other records documenting decisions, discussions or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records

NOTE: Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).
DISPOSITION: Permanent. Office of committee chairman or secretariat, whichever is the designated office of record: Cut off annually and transfer to NARA 15 years after cutoff or upon termination of the Committee, whichever is earlier.
AUTHORITY: GRS 6.2, item 010 (DAA-GRS-2015-0001-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-06, 910-01.2a, 1803-02

FILE NUMBER: 103-06.2
FILE TITLE: Federal Advisory Committee Files – Substantive Audiovisual Records (Non-Grant Review Committees)
FILE DESCRIPTION: Records include:

- Audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed
- Captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings
- Posters (2 copies) produced by or for the committee

Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 103-06.3 for these records.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 3 years after cutoff or upon termination of the committee, whichever is sooner.
AUTHORITY: GRS 6.2, item 020 (DAA-GRS-2015-0001-0002)
PRIVACY ACT: Not applicable

FILE NUMBER: 103-06.3

FILE TITLE: Federal Advisory Committee Files - Committee Accountability Records
FILE DESCRIPTION: Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include:

- Travel costs
- Committee member payments
- Meeting room costs
- Contractor costs
- Federal Register notice costs

Exclusion: Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records (See File Category 403 and File Numbers 202-80 and 202-81). These forms may apply to committee members designated as special Government employees (SGEs).
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.
AUTHORITY: GRS 6.2, Item 040 (DAA-GRS-2015-0001-0004)
PRIVACY ACT: Not applicable

FILE NUMBER: 103-06.4
FILE TITLE: Federal Advisory Committee Files – Non-Substantive Committee Records
FILE DESCRIPTION: Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere.

- Drafts and copies of Federal Register notices
- Audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)
- Photographs of committee social functions, routine award events, and other non-mission related activities
- Records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.
- Routine correspondence:
    - Correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues)
    - Public requests for information
- Non-substantive committee membership records, including:
    - Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee
    - Member credentials (resumes or biographies)
    - Member files (personnel-type records)
    - Non-substantive web content

DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.
NOTE 1: Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.
NOTE 2: Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to 103-06.3.
AUTHORITY: GRS 6.2, Item 050 (DAA-GRS-2015-0001-0005)
PRIVACY ACT: Not applicable

FORMER FILE NUMBER(s): 103-06.2, 910-01.2b
FILE NUMBER: 103-06.5
FILE TITLE: Federal Advisory Committee Files – Grant Review Committee Records
FILE DESCRIPTION: Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 103-06.1 for further definition of committee records for non-Grant Review committees.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials. **NOTE**: If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records under File Number 103-06.1.
DISPOSITION: Temporary. Cut off and destroy upon termination of committee.
AUTHORITY: GRS 6.2, item 030 (DAA-GRS-2015-0001-0003)
PRIVACY ACT: Not Applicable

FILE NUMBER: 103-06.6
FILE TITLE: Federal Advisory Committee Files – Committee Management Records
FILE DESCRIPTION: Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for the Department of Defense. These records may pertain to specific committees or to the committee management function in general. Records include:

- Agency guidelines
- Correspondence
- Requests for approval of committee nominees
- Copies of records about committees maintained for reporting purposes, such as:
    - Information provided to GSA Secretariat for annual comprehensive reviews
    - Statistical data files and reports
    - Annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act
    - Financial operating plans and final cost accountings

DISPOSITION: Temporary. Cut off and destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate.
AUTHORITY: GRS 6.2, item 060 (DAA-GRS-2015-0001-0006)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 201-10, 201-11a, 201-11b

FILE NUMBER: 103-07
FILE TITLE: Staff Visit Files
FILE DESCRIPTION: Documents on scheduled or special visits (but not inspections, surveys, or audits) for performing staff or technical supervision or for conducting studies. This description is not applicable to visits made in connection with a specific process or case that should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visit, recommendations, and other directly related documents.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff, except files on recurring staff visits shall be destroyed on completion of the next visit.
AUTHORITY: N1-330-92-001, item 7

PRIVACY ACT: Not applicable
FILE NUMBER: 103-08.1 – Consolidated into 103-14
FILE NUMBER: 103-08.2 – Consolidated into 103-14
FILE NUMBER: 103-08.3 – Consolidated into 102-02
FILE NUMBER: 103-08.4 – RESCINDED
FILE NUMBER: 103-08.5 – RESCINDED
FILE NUMBER: 103-08.6 – RESCINDED

FILE NUMBER: 103-09
FILE TITLE: Official Visits Files
FILE DESCRIPTION: These files pertain to both foreign and domestic visitors but not consultants, contractors, or the officials of other Government Agencies visiting in connection with special projects or other mission-related matters. They may consist of letters, memorandums or other correspondence; schedules or itineraries; lists of points of contact; and information on clearances and liaison activities required to obtain official approval for visits. Also included may be duplicate copies of travel orders, papers accumulated in the process of arranging billeting, transportation, messing and other purely logistical arrangements to support visitors, and documents relating to the selection and activities of escort officers.
DISPOSITION: Temporary. Cut off after completion of visit, hold in the CFA for 5 years and destroy. Earlier destruction is authorized if no longer needed for reference purposes.
AUTHORITY: N1-330-93-006, item 1
PRIVACY ACT: USDP 08

FILE NUMBER: 103-10
FILE TITLE: General Accounting Office/Inspector General (GAO/IG) Audit Report Files – Action Copies
FILE DESCRIPTION: These are action copies of GAO/IG audit reports and other correspondence used to track the processing of inspection activities in connection with ongoing programs. This provides a central, discrete file of these reports for use by action offices.
DISPOSITION: Temporary. Cut off when no longer needed for oversight or action; destroy 15 years after cutoff.
AUTHORITY: N1-330-93-006, item 2a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-10a, 304-03.6, 910-03.1, 2002-02a

FILE NUMBER: 103-10b – Consolidated into 103-13
FILE NUMBER: 103-11 – Consolidated into 101-01.2
FILE NUMBER: 103-12a – Consolidated into 101-01.1
FILE NUMBER: 103-12b – Consolidated into 101-01.1

FILE NUMBER: 103-13
FILE TITLE: Transitory Records
FILE DESCRIPTION: Records required only for a short time (generally less than 180 days), and are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:

- Messages coordinating schedules, appointments, and events

- Transmittal documents such as email, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments
- Received copies of circulated internal information such as Agency instructions, notifications, circulars, newsletters, and email blasts to employees
- Messages received from Agency distribution lists or listservs
- Suspense or "To-do" or task lists and assignments

DISPOSITION: Temporary. Cut off and destroy when no longer needed for business use.
AUTHORITY: GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 102-15, 103-10b, 103-13, 304-06.5, 304-06.6, 701-09.8b, 1301-21, 1910-07, 1912-07, 1912-09, 2002-02b

FILE NUMBER: 103-14
FILE TITLE: Intermediary Records
FILE DESCRIPTION: Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:

- Non-Substantive Working Files: Collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision-making. These working papers do not result directly in a final product or an approved finished report. Included are such material as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials.
- Audio and visual recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)
- Dictation recordings
- Input or source records, which Agencies create in the routine process of creating, maintaining, updating or using electronic information systems and which have no value beyond input or output transaction
    - Hardcopy input source documents where all information on the document is incorporated into an electronic system (See Exclusion 1)
    - Electronic input source records such as transaction files or intermediate input/output files
- Ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report
- Data files output from electronic systems, created for the purpose of information sharing or reference (See Exclusion 2)

Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.
Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):

- Files created only for public access purposes
- Summarized information from unscheduled electronic records or inaccessible permanent records

- Data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original
- Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under 203-32 [GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)].

DISPOSITION: Temporary. Cut off and Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.
AUTHORITY: GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 103-08.1, 103-08.2, 103-14, 910-14.3.2, 1002-08.3.2, 1101-01.8, 1209-01.5, 1601-02.4, 1601-05, 1601-06, 1601-07, 1601-08, 1601-13.1, 1601-13.2, 1601-14, 1601-15, 1601-16

FILE NUMBER: 103-14a – Consolidated into 101-01.1
FILE NUMBER: 103-14b – Consolidated into 212-01

FILE NUMBER: 103-15
FILE TITLE: Records of Non-Mission Related Internal Agency Committees
FILE DESCRIPTION: Records created or maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities, that are not subject to the Federal Advisory Committee Act or interagency committees. Records include:

- Meeting minutes, summaries, agendas, and transcripts
- Reports and studies
- Membership records
- Correspondence, mailing, and distribution records

DISPOSITION: Temporary. Cut off and destroy when business use ceases.
AUTHORITY: GRS 5.1, item 030 (DAA-GRS-2016-0016-0003)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 910-01.2b, 1801-11

FILE NUMBER: 103-16
FILE TITLE: Event Planning and Management Files – OSD Components Hosting DoD-Wide and/or International Events
FILE DESCRIPTION: Records and information documenting the planning and management of DoD Wide and/or International events hosted by OSD components. Records include but are not limited to information on Venue, Request for Funding, Military Interdepartmental Purchase Requests (MIPRs), contracts for services, security and security clearances, development of brochures, pamphlets, placards, seating charts and other related materials and email coordination. **NOTE:** Event Planning and Management is the process of planning a festival, ceremony, competition, party, concert, or convention. Event planning can include budgeting, establishing dates and alternate dates, selecting and reserving the event site, acquiring permits (insurance, licenses, etc.), coordinating transportation and parking, developing a theme or motif for the event, arranging for speakers and alternate speakers, coordinating location support (such as electricity and other utilities), and arranging decor, event support and security, catering, emergency plans, aid stations, and cleanup. Event planning and management records are developed for DoD-wide events such as training (ex. DoD FOIA Training Conference, DoD Career Fairs or

DoD World-wide security conference), OSD-wide training, education and events or for training, education, and events held internally by OSD components.

DISPOSITION: Temporary. Cut off Event/Project files upon completion of event. Destroy 10 years after cutoff.

AUTHORITY: DAA-0330-2015-0002-0001

PRIVACY ACT: Not applicable

FILE NUMBER: 103-17

FILE TITLE: Event Planning and Management Files – OSD Components Hosting OSD-wide, Local and/or Internal Component Events

FILE DESCRIPTION: Records and information documenting the planning and management of OSD Wide or Local/Internal events. Records include but are not limited to information on Venue, Request for Funding, Military Interdepartmental Purchase Requests (MIPRs), contracts for services, security and security clearances, development of brochures, pamphlets, placards, seating charts and other related materials and email coordination. **NOTE:** Event Planning and Management is the process of planning a festival, ceremony, competition, party, concert, or convention. Event planning can include budgeting, establishing dates and alternate dates, selecting and reserving the event site, acquiring permits (insurance, licenses, etc.), coordinating transportation and parking, developing a theme or motif for the event, arranging for speakers and alternate speakers, coordinating location support (such as electricity and other utilities), and arranging decor, event support and security, catering, emergency plans, aid stations, and cleanup. Event planning and management records are developed for DoD-wide events such as training (ex. DoD FOIA Training Conference, DoD Career Fairs or DoD World-wide security conference), OSD-wide training, education and events or for training, education, and events held internally by OSD components.

DISPOSITION: Temporary. Cut off Event/Project files upon completion of event. Destroy 5 years after cutoff.

AUTHORITY: DAA-0330-2015-0002-0002

PRIVACY ACT: Not applicable

SERIES 200 – MANAGEMENT AND OPERATIONS

SERIES TITLE: MANAGEMENT AND OPERATIONS

SERIES DESCRIPTION: Records described in this series relate to the performance, management and direction of the OSD and/or the DoD. Includes, but is not limited to, personnel management, security review, program progress, declassification, program management, project management, financial management, property management, Freedom of Information Act (FOIA) records and information management, organizational structure, work measurements, special task force/committee work (other than FACA), and other functions.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 200 Series reflect the mission of the Immediate Office of the Secretary of Defense and the Principal Staff Assistants within the OSD (e.g., Deputy Secretary of Defense, USDs, ASDs, and Agency Directors, etc.), the Office of the Chief Management Officer (CMO), Director, Cost Assessment and Program Evaluation (CAPE), Director, Operational Test and Evaluation (DOTE), Defense Advanced Research and Projects Agency (DARPA), Defense Human Resources Activity (DHRA), Defense Legal Services Agency (DLSA), Defense Media Activity (DMA), Defense Security Cooperation Agency (DSCA), Defense Technology Security Administration (DTSA), Department of Defense Education Activity (DoDEA), DoD Office of General Counsel (DoD OGC), the Office of Economic Adjustment (OEA), the Office of Military Commissions (OMC), Pentagon Force Protection Agency (PFPA), White House Mililtary Office (WHMO), and the Washington Headquarters Services. However, other components may use file numbers that are applicable. **NOTE:** If a component has a permanent File Number in another Series of this Schedule that applies specifically to that component, they may not substitute a 200 file number for it.

RECORDS CATEGORY: 201
CATEGORY TITLE: Organization Planning Files and Management Control Records
CATEGORY DESCRIPTION: Records relate to the establishment of DoD activities, components, or other major organizations and their functional relationships. Includes enterprise-wide organizational charts, management surveys implementing the systematic formal review of organizational structure or operational procedures, delegations of authority records, and status change files.

FILE NUMBER: 201-01.1
FILE TITLE: Organization Planning Files
FILE DESCRIPTION: Documents on the establishment of and changes in organizational functions and relationships of activities and Agencies, when such action affects Department of Defense. Included are reports of working groups, minutes of committee meetings and staff conferences; documents on overall functions and missions, copies of organizations and functions plans, manuals and charts; copies of published directives implementing establishment or change; and related or similar documents.
DISPOSITION: Permanent. Cut off annually except that plans, charts, and manuals or portions thereof shall not be cut off until superseded or rescinded. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-01
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 201-01

FILE NUMBER: 201-01.2
FILE TITLE: Office Organization Files
FILE DESCRIPTION: Documents on the organization and function of an office, such as copies of documents that are duplicated in the office charged with determining the organization and functions of the Agency. Included are copies of functional charts and functional statements; copies of documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; and similar papers. Also included are documents reflecting minor changes in the organization of the office that are made by the office chief and that do not require evaluation and approval by the Secretary of Defense.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed for reference.
AUTHORITY: NC1-330-77-004, item 101-04
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 101-04

FILE NUMBER: 201-02
FILE TITLE: Organizational Structure
FILE DESCRIPTION: Documents, charts, publications, and backup on the OSD organizational structure.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-02
PRIVACY ACT: Not applicable

FILE NUMBER: 201-03
FILE TITLE: Organization Activation and Status Change Files
FILE DESCRIPTION: Documents on constituting, reconstituting, organizing, converting, consolidating, assigning, locating, and affiliating offices or Agencies of the OSD. Included are requests for publications, implementing instructions, copies of affiliation agreements, coordination actions, and similar or related documents.
DISPOSITION: Permanent. Cut off annually or on discontinuance or related offices as applicable. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-03
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 201-03, 201-17

FILE NUMBER: 201-04
FILE TITLE: Management Practices
FILE DESCRIPTION: Papers, charts, diagrams, policy on management practices; theory techniques, case studies, and the like to develop and improve management practices.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-04
PRIVACY ACT: Not applicable

FILE NUMBER: 201-05.1
FILE TITLE: Management Survey Case Files – Comprehensive Surveys

FILE DESCRIPTION: Documents on enterprise-wide systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services that are comprehensive in nature. Individual studies and surveys involving a comprehensive review of organization and all operating procedures. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.
DISPOSITION: Permanent. Cut off upon completion and transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-05a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 201-05a

FILE NUMBER: 201-05.2
FILE TITLE: Management Survey Case Files – Non-Comprehensive Surveys
FILE DESCRIPTION: Documents on the systematic formal review of organizational structure or operational procedures of a component and accumulated in the office conducting the survey or the office sponsoring a contract for survey services that are non-comprehensive in nature. Individual studies and surveys of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.
DISPOSITION: Temporary. Cut off on completion of project. Destroy 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-05b
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 201-05b

FILE NUMBER: 201-05.3
FILE TITLE: Management Survey Case Files – Office Surveyed Copy
FILE DESCRIPTION: Documents on the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services that are retained by the office being surveyed. Individual studies and surveys may range in scope from comprehensive review of organization and all operating procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.
DISPOSITION: Temporary. Cut off and destroy on completion of next comparable survey, or when no longer required for reference.
AUTHORITY: NC1-330-77-004, item 101-02
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-02, 201-05c

FILE NUMBER: 201-06 – RESCINDED

FILE NUMBER: 201-07.1
FILE TITLE: Administrative Internal Control Management Records
FILE DESCRIPTION: Records related to internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office (GAO)

Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes:

- Copies of internal and external directives outlining management control policy
- Management control plans and records of the planning process
- Records of management reviews
- Comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements
- Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions
- Feeder reports and compliance statements from OSD components contributing to consolidated reports OSD submits to the President/OMB or Congress (excluding the final agency reports submitted to the President/OMB or Congress, which are covered under File Number 201-07.3)
- Records tracking assignments, tasks, and responsibilities
- Related correspondence

DISPOSITION: Temporary. Cut off on submission or when superseded, as appropriate. Destroy 1 year after cutoff.
AUTHORITY: GRS 5.7, item 010 (DAA-GRS-2020-0001-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 201-07.1, 201-07.2a

FILE NUMBER: 201-07.2a – Consolidated into 201-07.1
FILE NUMBER: 201-07.2b – Consolidated into 201-07.2
FILE NUMBER: 201-07.2c – Consolidated into 201-07.2

FILE NUMBER: 201-07.2
FILE TITLE: Internal Control Review, Response, and Mitigation Records
FILE DESCRIPTION: Copies of reports and audits identifying internal administrative program weaknesses, mitigation actions plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating Internal Management Control (IMC) Program functions in the OSD.
DISPOSITION: Temporary. Cut off after no further corrective action is needed. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.7, item 020 (DAA-GRS-2017-0008-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 201-07.2b, 201-07.2c

FILE NUMBER: 201-07.3
FILE TITLE: Management Improvement Files - Internal Management Control Program: Annual Statements of Assurance
FILE DESCRIPTION: Annual Statements of Assurance submitted to the President and the Congress by Operating Committee (OC), DoD Management Systems, Director of Management Improvement, including backup materials on the administration and control of the Internal Management Control (IMC) Program in the OSD.

DISPOSITION: Permanent. Cut off when final corrective action taken; transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-86-003, item 201-07.2d
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 201-07.2d

FILE NUMBER: 201-08
FILE TITLE: Management Improvement Project Background Files
FILE DESCRIPTION: Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file.
DISPOSITION: Temporary. Cut off after completion of related project or on discontinuance, whichever is first. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-08
PRIVACY ACT: Not applicable

FILE NUMBER: 201-09
FILE TITLE: Work Simplification Proposal Files
FILE DESCRIPTION: Documents on the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts, work counts, motion economy studies, layout studies, actions taken on proposals, and similar documents.
DISPOSITION: Temporary. Cut off when final action has been taken on proposal. Destroy 25 years after cut off.
AUTHORITY: NC1-330-77-004, item 201-09
PRIVACY ACT: Not applicable

FILE NUMBER: 201-10 – Consolidated into 103-06.6
FILE NUMBER: 201-11a – Consolidated into 103-06.6
FILE NUMBER: 201-11b – Consolidated into 103-06.6

FILE NUMBER: 201-12
FILE TITLE: Federal / State Relations Files
FILE DESCRIPTION: Documents pertaining to Federal / State agreements, legal relationships, cooperation emergency support, and real estate.
DISPOSITION: Permanent. Cut off when canceled or superseded. Transfer to NARA 20 years after cutoff. Backup material may be destroyed when canceled or superseded.
AUTHORITY: NC1-330-77-004, item 201-12
PRIVACY ACT: Not applicable

FILE NUMBER: 201-13
FILE TITLE: Emergency Planning Files
FILE DESCRIPTION: Documents that describe high-level Agency-wide Continuity of Government (COG) records, including evacuation, relocation, vital records program, and continuity of operation, personnel assignments and related procedures. **NOTE:** Use File Number 201-22 for all other files concerning Continuity of Operations.

DISPOSITION: Permanent. Cut off upon cancellation or when superseded. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-13
PRIVACY ACT: Not applicable

FILE NUMBER: 201-14
FILE TITLE: Staffing Surveys and Studies Files
FILE DESCRIPTION: Results, recommendations, charts, and papers on staffing surveys and studies within the OSD. These generally result from new functional requirements requiring new staffing and include both civilian and military. Includes Department of Defense Education Activity Staff Authorization and Voucher System (DSAVS) Master File, a manpower/Full-Time Equivalent (FTE) issuance database, used to project future staffing requirements. DSAVS tracks locations and positions; calculates the number of FTEs; and shows projected school, District and Area level staffing by location, job title, and number of required FTEs.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-004, item 201-15
PRIVACY ACT: Not applicable

FILE NUMBER: 201-15 – Moved to 103-02.3
FILE NUMBER: 201-16 – Consolidated into 204-01
FILE NUMBER: 201-17 – Consolidated into 201-03
FILE NUMBER: 201-18 – Consolidated into 102-18.1 (Routine) or 102-18.2 (Substantial)
FILE NUMBER: 201-19 – Consolidated into 212-01 (Senior officials) or 101-16 (all others)

FILE NUMBER: 201-20
FILE TITLE: Hotline Investigative Files – Routine
FILE DESCRIPTION: Investigative materials, including correspondence, memoranda of telephone conversations/witness interviews, research, and all other materials relating to investigations that have been referred by the Department of Defense. Such investigations pertain to fraud, waste, and review complaints relating to the Washington Headquarters Services (WHS), Raven Rock Mountain Complex, or the Office of the Secretary of Defense (OSD) and its components.
DISPOSITION: Temporary. Cut off upon closure of case or when the Department of Defense Inspector General (DoD IG) accepts final Report of Findings. Destroy 2 years after cutoff.
AUTHORITY: N1-330-10-005, item 1
PRIVACY ACT: OIG 16

FILE NUMBER: 201-21
FILE TITLE: Hotline Investigative Files – Significant Cases
FILE DESCRIPTION: Investigative materials, including correspondence, memoranda of telephone conversations/witness interviews, research, and all other materials relating to investigations that have been referred by the Department of Defense to another Federal Agency for investigation/contribution to case or are deemed significant by the Director, Administration & Management (DA&M). Such investigations pertain to fraud, waste, and review complaints relating to the Washington Headquarters

Services (WHS), Raven Rock Mountain Complex, or the Office of the Secretary of Defense (OSD) and its components.
DISPOSITION: Temporary. Cut off upon closure of case and destroy 10 years after cutoff.
AUTHORITY: N1-330-10-005, item 2
PRIVACY ACT: OIG 16

FILE NUMBER: 201-22
FILE TITLE: Continuity Planning and Related Emergency Planning Files
FILE DESCRIPTION: Records may include:

- Records on continuity and emergency planning administrative and operational activities:
  - Briefing materials and presentations
  - Status reports
  - Informational papers
  - Files documenting policy or plan development, including policy studies
  - Procedures, operational manuals, and related development records
  - Implementation guidance
  - Related correspondence
  - Memorandum (s) of Understanding
  - Delegations of Authority/Orders of Succession
- Continuity plans or directives and supporting documentation, including but not limited to:
  - Continuity of Operations (COOP) plans
  - Devolution Plans
  - Occupant Emergency Plans (OEP)
  - Emergency Action Plans (EAP)
  - Facility Emergency Action Plans (FEAPS)
  - Records Emergency Plans (REMT)
  - Disaster Recovery Plans (DRP)
  - Pandemic Influenza Plans
- Records on continuity or emergency tests or exercises, such as:
  - Instructions to members participating in tests
  - Staffing assignments
  - Records of tests of communications and facilities
- Evaluative reports on continuity or emergency tests or exercises, such as:
  - Result reports
  - Readiness reports
  - Risk and vulnerability assessments
  - Site evaluations and inspections
  - Corrective action plans
  - After action reports/improvement plans

NOTE 1: Use file number 201-13 for Continuity or emergency plans that are acted upon in the event of a national emergency or may be of permanent value.
NOTE 2: Use 202-48.2 for records on employee training for COOP and file number 202-14.2 for vital records.
DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)
PRIVACY ACT: Not applicable

FILE NUMBER: 201-23
FILE TITLE: Employee Emergency Contact Information
FILE DESCRIPTION: Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete, or upon transfer or separation of employee.
AUTHORITY: GRS 5.3, item 020 (DAA-GRS-2016-0004-0002)
PRIVACY ACT: OPM/GOVT 1
Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers.

FILE NUMBER: 201-24
FILE TITLE: Interactive Customer Evaluation (ICE) System – Comment Card Submissions
FILE DESCRIPTION: Comment card submissions from the customer module of ICE, a DoD wide, web-based tool that collects feedback on services provided by components, facilities and commercial vendors throughout the Department of Defense (DoD) relating to customer queries, responses; query monitoring and customer feedback records; and related trend analysis and reporting. The ICE system allows customers to create online comment cards to rate the service provided at military installations and related facilities around the world.
DISPOSITION: Temporary. Cut off closed comment card responses and associated comments at the end of response period. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2014-0010-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 201-25
FILE TITLE: Interactive Customer Evaluation (ICE) System – Manager Account Records
FILE DESCRIPTION: Information from the Manager's Component of ICE, which comprises information provided by the service provider (SP), including but not limited to; name of the agency/organization of the comment card and SP, SP location, service description, POC (ICE Service Provider Manager) Name, POC work contact information, standard comment card questions and custom designed comment card questions (questions that they would like their customers to answer).
DISPOSITION: Temporary. Cut off after comment period ends. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2014-0010-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 201-26
FILE TITLE: Interactive Customer Evaluation (ICE) System – Comment Cards (Questionnaire) Records
FILE DESCRIPTION: Questionnaires developed by the service provider (SP) in the Manager's Component of ICE which are manually keyed in responses by customers. Includes, but is not limited to, customer comment, customer name and contact information such as home, work and/or personnel cell phone number and email address.
DISPOSITION: Temporary. Cut off after comment period ends. Destroy 5 years after cutoff.

AUTHORITY: DAA-0330-2014-0010-0003
PRIVACY ACT: Not Applicable

FILE NUMBER: 201-27
FILE TITLE: Interactive Customer Evaluation (ICE) System – Survey Application
FILE DESCRIPTION: Information from the Survey Component of ICE, which is designed for collecting more detailed customer satisfaction and quality of life information from target populations. ICE survey services can be requested by DoD organizations that have an established presence in the ICE System.
DISPOSITION: Temporary. Cut off after each survey project (including questionnaire, responses, report, associated comments, and raw data sets) is completed. Destroy 1 year after cutoff.
AUTHORITY: DAA-0330-2014-0010-0004
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 202
CATEGORY TITLE: Office Personnel Files
CATEGORY DESCRIPTION: The personnel files described in this records category are maintained by operating officials and are used in administering military and civilian employees within the organizational segments that are under their control.

FILE NUMBER: 202-01.1 – Consolidated into 202-23
FILE NUMBER: 202-01.2 – Consolidated into 202-01

FILE NUMBER: 202-01
FILE TITLE: Workforce and Succession Planning Records
FILE DESCRIPTION: Records about workforce planning and analysis, including succession planning, developed in support of executive-level or other Agency planning initiatives, excluding records maintained by executives responsible for policy formulation or other high-level actions. Includes:

- Planning and analysis models
- Planning data
- Briefing materials
- Studies and surveys
- Lists of functions and staff at key locations

DISPOSITION: Temporary. Cut off after issuing each new plan. Destroy 5 years after cutoff.
AUTHORITY: GRS 2.2, item 020 (DAA-GRS-2017-0007-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-01.2, 202-25.2, 1803-03.4

FILE NUMBER: 202-02
FILE TITLE: Office Personnel Register Files
FILE DESCRIPTION: 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, but not official personnel registers used as direct source documents for preparing morning reports.
DISPOSITION: Temporary. Cut off monthly. Destroy 6 months after cutoff. Earlier disposal is authorized.
AUTHORITY: NC1-330-77-004, item 202-02
PRIVACY ACT: DWHS P51

FILE NUMBER: 202-03.1
FILE TITLE: Visitor Processing Records – Areas Requiring Highest Level Security Awareness
FILE DESCRIPTION: Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers for areas under maximum security (areas designated by the Interagency Security Committee as Facility Security Level V).
DISPOSITION: Temporary. Cut off annually after final entry or after date of document, as appropriate. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.6, item 110 (DAA-GRS-2017-0006-0014)
PRIVACY ACT: DWHS P51
FORMER FILE NUMBER: 202-03a

FILE NUMBER: 202-03.2
FILE TITLE: Visitor Processing Records – All Other Facility Security Areas
FILE DESCRIPTION: Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers for all other facility security areas than those under highest level security (areas designated by the Interagency Security Committee as Facility Security Levels I through IV) .
DISPOSITION: Temporary. Cut off annually after final entry or date of document, as appropriate. Destroy 2 years after cutoff.
AUTHORITY: GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)
PRIVACY ACT: DWHS P51
FORMER FILE NUMBER(s): 202-03b, 917-02b

FILE NUMBER: 202-04 – RESCINDED
FILE NUMBER: 202-05.1.1 – RESCINDED per GRS Transmittal 28
FILE NUMBER: 202-05.1.2.2 – RESCINDED per GRS Transmittal 28

FILE NUMBER: 202-05.1
FILE TITLE: Classification Standards
FILE DESCRIPTION: Correspondence and other records relating to developing classification standards specific to a single Agency or all Agencies, including notice of Office of Personnel and Management (OPM) approval or disapproval.
DISPOSITION: Temporary. Cut off when position is superseded, cancelled or disapproved by OPM (as appropriate). Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, item 010 (DAA-GRS-2014-0002-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 202-05.1.2.1

FILE NUMBER: 202-05.2
FILE TITLE: Position Descriptions (PDs) – Record Copy
FILE DESCRIPTION: Records held at the Human Resource office relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties and responsibilities.

DISPOSITION: Temporary. Cut off after position is abolished or description superseded. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, item 020 (DAA-GRS-2014-0002-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-05.2.1, 202-18.1

FILE NUMBER: 202-05.3
FILE TITLE: Position Descriptions (PDs) – All other copies
FILE DESCRIPTION: All other copies of position descriptions. Includes

- Case file at position's program office
- Background material in Human Resources case file
- Other copies of PDs (than the record copy under 202-05.2)

DISPOSITION: Temporary. Cut off and destroy when position is abolished or description superseded.
AUTHORITY: GRS 2.1, item 022 (DAA-GRS-2014-0002-0003)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-05.2.2, 202-18.2

FILE NUMBER: 202-05.3.1 – RESCINDED per GRS Transmittal 28
FILE NUMBER: 202-05.3.2 – RESCINDED per GRS Transmittal 28

FILE NUMBER: 202-05.4
FILE TITLE: Position Reviews and Classification Appeals
FILE DESCRIPTION: Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits, excluding OPM Classification certificate.
DISPOSITION: Temporary. Cut off after final decision. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.1, item 030 (DAA-GRS-2014-0002-0004)
PRIVACY ACT: OPM/GOVT-9
FORMER FILE NUMBER(s): 202-05.4a, 202-18.3

FILE NUMBER: 202-05.5
FILE TITLE: Certificates of Classification
FILE DESCRIPTION: Certificates of classification issued by OPM, stating final decision on a position classification appeal.
DISPOSITION: Temporary. Cut off after affected position is abolished or description is superseded. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, item 040 (DAA-GRS-2014-0002-0005)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 202-05.4b

FILE NUMBER: 202-06
FILE TITLE: Notifications of Personnel Actions
FILE DESCRIPTION: Copies of Standard Form 50 (SF 50), "Notification of Personnel Action," documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes

chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices.
DISPOSITION: Temporary. Cut off and destroy when action is completed and business use ceases [such as on receipt of notification of completion of requested personnel action].
AUTHORITY: GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)
PRIVACY ACT: OPM/GOVT-1
FORMER FILE NUMBER(s): 202-06, 202-15.3.1, 202-22.1, 202-22.3, 207-11.2

FILE NUMBER: 202-07
FILE TITLE: Office Personnel Information Files – Supervisor or Office Copies
FILE DESCRIPTION: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.
DISPOSITION: Temporary. Review annually at the end of each year and destroy superseded documents. Cut off file when employee separation or transfer and destroy remaining documents 1 year after cutoff.
AUTHORITY: GRS 2.2, item 080 (DAA-GRS-2017-0007-0012)
PRIVACY ACT: OPM/GOVT-1
FORMER FILE NUMBER(s): 202-07, 202-46.1, 202-46.2

FILE NUMBER: 202-08.1
FILE TITLE: Job Vacancy Case Files – One-time Competitive and SES
FILE DESCRIPTION: Case files created for one-time competitive or Senior Executive Service (SES) announcements/selections when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- Request for lists of eligible candidates
- Job announcement
- Examination announcement
- Job analysis, assessment criteria, and crediting plan
- Basis for certification
- Applications, resumes, supplemental forms, other attachments
- List of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification
- Certificates, registers or lists of eligible candidates issued to selecting officials
- Job-related test records
- Mandatory applicant drug test records
- Annotated certificates of eligible candidates returned by selecting officials
- Job offers
- Records of job offer being accepted or declined
- Correspondence/documentation of announcement or recruiting operation

DISPOSITION: Temporary. Cut off after selection certificate is closed or final settlement of any associated litigation; whichever is later. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, Item 050 (DAA-GRS-2014-0002-0006)
PRIVACY ACT: OPM/GOVT-5
FORMER FILE NUMBER(s): 202-08.1, 202-08.2.1, 202-19.1, 202-50

FILE NUMBER: 202-08.2
FILE TITLE: Job Vacancy Case Files – Standing Register Competitive Multiple Positions
FILE DESCRIPTION: Case files created for standing register competitive files for multiple positions filled over a period of time when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- Request for lists of eligible candidates
- Job announcement
- Examination announcement
- Job analysis, assessment criteria, and crediting plan
- Basis for certification
- Applications, resumes, supplemental forms, other attachments
- List of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification
- Certificates, registers or lists of eligible candidates issued to selecting officials
- Job-related test records
- Mandatory applicant drug test records
- Annotated certificates of eligible candidates returned by selecting officials
- Job offers
- Records of job offer being accepted or declined
- Correspondence/documentation of announcement or recruiting operation

DISPOSITION: Temporary. Cut off after termination of register. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, Item 051 (DAA-GRS-2014-0002-0007)
PRIVACY ACT: OPM/GOVT-5
FORMER FILE NUMBER(s): 202-08.1, 202-08.2.1, 202-19.1, 202-50

FILE NUMBER: 202-08.2.1 – Consolidated into 202-08.1 or 202-08.2, as applicable
FILE NUMBER: 202-08.2.2.1 – Consolidated into 202-14
FILE NUMBER: 202-08.2.2.2 – Consolidated into 202-14
FILE NUMBER: 202-08.2.2.3 – Consolidated into 202-14

FILE NUMBER: 202-08.3
FILE TITLE: Excepted Service Appointment Records – Disabilities
FILE DESCRIPTION: Case file records created in filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401) that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u). Includes:

- Application, attachment, and supplemental forms
- Documentation of eligibility for excepted service appointment
- Proof of special qualifications
- Resume or other proof of employment, education, or relevant experience
- Proof of disability issued by a licensed medical professional
- Certification of job readiness
- Notice of appointment, terms, and acceptance

DISPOSITION: Temporary. Cut off after candidate enters on duty, is no longer under consideration, or declines offer. Destroy 5 years after cutoff.
AUTHORITY: GRS 2.1, Item 110 (DAA-GRS-2014-0002-0018)

PRIVACY ACT: OPM/GOVT-5

FILE NUMBER: 202-08.3a – Consolidated into 1902-15
FILE NUMBER: 202-08.3b – Consolidated into 1902-15
FILE NUMBER: 202-08.3c – Consolidated into 1902-15

FILE NUMBER: 202-08.4
FILE TITLE: Excepted Service Appointment Records – All Other Appointees
FILE DESCRIPTION: Case file records created in filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401) for all other appointees other than individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u). Includes:

- Application, attachment, and supplemental forms
- Documentation of eligibility for excepted service appointment
- Proof of special qualifications
- Resume or other proof of employment, education, or relevant experience
- Proof of disability issued by a licensed medical professional
- Certification of job readiness
- Notice of appointment, terms, and acceptance

DISPOSITION: Temporary. Cut off after candidate enters on duty, is no longer under consideration, or declines offer. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, Item 111 (DAA-GRS-2014-0002-0019)
PRIVACY ACT: OPM/GOVT-5

FILE NUMBER: 202-08.5
FILE TITLE: Interview Records
FILE DESCRIPTION: Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:

- Copies of records in the job vacancy case file (see file numbers 202-08.1 and 202-08.2)
- Notes of interviews with selected and non-selected candidates
- Reference check documentation

DISPOSITION: Temporary. Cut off when case file is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, item 090 (DAA-GRS-2014-0002-0008)
PRIVACY ACT: OPM/GOVT-5

FILE NUMBER: 202-09
FILE TITLE: Standards of Conduct Files
FILE DESCRIPTION: Documents on procedures to ensure that all personnel fully understand the standards of conduct and ethics. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood.
DISPOSITION: Temporary. Cut off and destroy after the next periodic application or on inactivation of the office, whichever is first.
AUTHORITY: NC1-330-77-004, item 202-09

PRIVACY ACT: Not applicable

FILE NUMBER: 202-10.1
FILE TITLE: Classified Information Nondisclosure Agreements – Records Maintained Separately from the Individual's Official Personnel File (OPF)
FILE DESCRIPTION: Copies of nondisclosure agreements, such as SF 312, "Classified Information Nondisclosure Agreement", signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files and are not filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).
DISPOSITION: Temporary. Cut off annually. Destroy 50 years after cutoff. **NOTE:** If maintained within the OPF, apply the disposition for the OPF.
AUTHORITY: GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)
PRIVACY ACT: EEOC/GOVT-1

FILE NUMBER: 202-10.2
FILE TITLE: Security Awareness Files
FILE DESCRIPTION: Documents on 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 memorandum indicating that the regulations are understood.
DISPOSITION: Temporary. Cut off and destroy after the next periodic application or on inactivation of the office, whichever is first.
AUTHORITY: NC1-330-77-004, item 202-10
PRIVACY ACT: Not applicable

FILE NUMBER: 202-10.3
FILE TITLE: Security Management Administrative Records
FILE DESCRIPTION: Records about routine facility security, protective services, and personnel security program administration not covered elsewhere. Includes:

- Administrative correspondence
- Reports, including status reports on cleared individuals
- Staffing level and work planning assessments, such as guard assignment records
- Administrative subject files

NOTE: See 217 for series applying to Pentagon Force Protection Agency Security Records.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.6, item 010 (DAA-GRS-2021-0001-0001)
PRIVACY ACT: Not applicable

FILE NUMBER: 202-11 – Consolidated into 206-09.1
FILE NUMBER: 202-12.1 – RESCINDED per GRS 28

FILE NUMBER: 202-12.2
FILE TITLE: Official Personnel Folder (OPF) / Electronic Official Personnel Folder (eOPF) - Long-Term Records

FILE DESCRIPTION: Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the OPF, (Standard Form 66 or its approved electronic equivalent documents an individual's employment history), excluding OPFs for employees separated prior to December 31, 1973 which must be scheduled by OPM.
DISPOSITION: Temporary. Cut off and destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner. **NOTE:** Hard copy OPF's may still be transferred to: National Archives and Records Administration, National Personnel Records Center (NPRC), St. Louis, M0 30 days after latest separation.
AUTHORITY: GRS 2.2, item 040 (DAA-GRS-2017-0007-0004)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-12.3
FILE TITLE: Short Term Records within Official Personnel File (OPF) or Electronic Official Personnel File (eOPF)
FILE DESCRIPTION: Records of separated employees saved to the "temporary" folder of the eOPF or filed on the left side of the hardcopy OPF , EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records. **NOTE:** Use File Numbers 202-12.4 for I-9 Forms and 202-12.5 – 202-12.7 for temporary performance-related records.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.
AUTHORITY: GRS 2.2, item 041 (DAA-GRS-2017-0007-0005)
PRIVACY ACT: OPM/GOVT-1
FORMER FILE NUMBER(s): 202-12.3, 202-15.2

FILE NUMBER: 202-12.4
FILE TITLE: Employment Eligibility Verification Forms
FILE DESCRIPTION: Employment Eligibility Verification form I-9 (Immigration and Naturalization Service Form) and any supporting documentation.
DISPOSITION: Temporary. Cut off after employee separates from service or transfers to another agency. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.2, item 060 (DAA-GRS-2017-0007-0007)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-12.5
FILE TITLE: Employee Performance File System Records: Unacceptable Performance Appraisals of Non-SES Employees
FILE DESCRIPTION: Appraisals of unacceptable performance for Non-Senior Executive Service (non-SES) employees (as defined in 5 USC 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents. Includes ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.
DISPOSITION: Temporary. Cut off after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.2, item 071 (DAA-GRS-2017-0007-0009)
PRIVACY ACT: OPM/GOVT-2
FORMER FILE NUMBER: 202-12.5.1.1

FILE NUMBER: 202-12.5.1.3.1 – Consolidated into 202-12.6
FILE NUMBER: 202-12.5.1.3.2 – Consolidated into 202-12.6
FILE NUMBER: 202-12.5.1.4 – Consolidated into 202-12.6
FILE NUMBER: 202-12.5.2.1 – Consolidated into 202-12.7
FILE NUMBER: 202-12.5.2.2 – Consolidated into 202-12.8
FILE NUMBER: 202-12.5.2.2.1 – Consolidated into 202-12.8
FILE NUMBER: 202-12.5.2.3 – Consolidated into 202-12.8

FILE NUMBER: 202-12.6
FILE TITLE: Employee Performance File System Records: Acceptable Performance for Non-SES Employees
FILE DESCRIPTION: Acceptable performance records for employees as defined in 5 U.S.C. 4301(2)), excluding performance records superseded through an administrative, judicial, or quasi-judicial procedure (which are covered by File Number 202-12.7). Includes ratings of record, the performance plans on which ratings are based, and any other performance-related material required by an agency's performance appraisal system for Non-SES former employees (as defined in 5 USC 4301(2)).
DISPOSITION: Temporary. Cut off after appraisal is given. Destroy no later than 4 years after cutoff.
AUTHORITY: GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)
PRIVACY ACT: OPM/GOVT-2
FORMER FILE NUMBER(s): 202-12.5.1.3.1, 202-12.5.1.3.2, 202-12.5.1.4

FILE NUMBER: 202-12.7
FILE TITLE: Employee Performance File System Records: Superseded Performance Records
FILE DESCRIPTION: Superseded performance records of both Senior Executive Service (SES) and Non-SES employees (as defined in 5 USC 4301(2)), superseded through an administrative, judicial, or quasi-judicial procedure.
DISPOSITION: Temporary. Cut off and destroy when superseded.
AUTHORITY: GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)
PRIVACY ACT: OPM/GOVT-2
FORMER FILE NUMBER(s): 202-12.5.1.2, 202-12.5.2.1

FILE NUMBER: 202-12.8
FILE TITLE: Employee Performance File System Records: Records of Senior Executive Service (SES) Employees
FILE DESCRIPTION: Performance records for SES employees (as defined in 5 USC 3132a(2)). Includes records of performance plan ratings boards, ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.
DISPOSITION: Temporary. Cut off annually in the year in which rating was completed. Destroy 5 years after cutoff.
AUTHORITY: GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)
PRIVACY ACT: OPM/GOVT-2
FORMER FILE NUMBER(s): 202-12.5.2.2.1, 202-12.5.2.2, 202-12.5.2.3

FILE NUMBER: 202-13.1
FILE TITLE: Senior Executive Service Candidate Development Program (SESCDP) Program Files

FILE DESCRIPTION: Records documenting program scope, policies, planning, budget, and curriculum planning for the SESCDP, an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.
DISPOSITION: Temporary. Cut off and destroy when no longer needed for business use.
AUTHORITY: GRS 2.6, item 040 (DAA-GRS-2016-0014-0004)
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-13.2
FILE TITLE: Senior Executive Service Candidate Development Program (SESCDP) Case Files on Participants
FILE DESCRIPTION: Records documenting training, developmental assignments, mentor agreements and evaluations, and SES development plans for the SESCDP, an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.
DISPOSITION: Temporary. Cut off and destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation from SESCDP, whichever applies.
AUTHORITY: GRS 2.6, item 041 (DAA-GRS-2016-0014-0005)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-14
FILE TITLE: Job Application Packages
FILE DESCRIPTION: Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. **NOTE:** Use only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files under File Number 202-08.1 or 202-08.2. Includes:

- Application
- Resume
- Supplemental forms
- Other attachments

DISPOSITION: Temporary. Cut off on date of submission. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)
PRIVACY ACT: OPM/GOVT-5
FORMER FILE NUMBER(s): 202-08.2.2.1, 202-08.2.2.2, 202-08.2.2.3, 202-14

FILE NUMBER: 202-15.1 – Consolidated into 202-23
FILE NUMBER: 202-15.2 – Consolidated into 202-12.3
FILE NUMBER: 202-15.3.1 – Consolidated into 202-06

FILE NUMBER: 202-15
FILE TITLE: Separation Program Management Records – Reductions in Force (RIFs)
FILE DESCRIPTION: Records documenting the general work process to release career, temporary, and political appointment employees from employment status involving records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs. Includes:

- Registers of separation or transfers such as SF-2807, SF-3103, or similar records
- Retention registers and related records

- Reports, correspondence, and control documents
- Exit interview compilations identifying and tracking trends

DISPOSITION: Temporary. Cut off after date of program closure. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.5, item 011 (DAA-GRS-2014-0004-0002)
PRIVACY ACT: DWHS P04
FORMER FILE NUMBER(s): 202-15.3.2, 207-21

FILE NUMBER: 202-16.1 – RESCINDED per GRS Transmittal 28
FILE NUMBER: 202-16.2 – RESCINDED per GRS Transmittal 28

FILE NUMBER: 202-16
FILE TITLE: Separation Program Management Files – No Action Taken
FILE DESCRIPTION: Records documenting the general work process to release career, temporary, and political appointment employees from employment status not specific to an Agency separation initiative. Includes:

- Registers of separation or transfers such as SF-2807, SF-3103, or similar records
- Retention registers and related records
- Reports, correspondence, and control documents
- Exit interview compilations identifying and tracking trends

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: GRS 2.5, item 010 (DAA-GRS-2014-0004-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-15.3.3, 207-21

FILE NUMBER: 202-17
FILE TITLE: Volunteer Service Case Files
FILE DESCRIPTION: Records documenting service performed without compensation by people not under a Federal appointment, excluding records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits (which are covered under 202-12.1 or 202-12.2, as applicable).
Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include:

- Volunteer agreements documenting position title, office title, duty location, days/hours on duty
- Parental approval forms

NOTE: Records are maintained by the organizations within OSD using the services of volunteers.
DISPOSITION: Temporary. Cut off when volunteer departs service. Destroy 4 years after cutoff.
AUTHORITY: GRS 2.2, item 110 (DAA-GRS-2017-0007-0016)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-18.1 – Consolidated into 202-05.2
FILE NUMBER: 202-18.2 – Consolidated into 202-05.3
FILE NUMBER: 202-18.3 – Consolidated into 202-05.4

FILE NUMBER: 202-18
FILE TITLE: Volunteer Service Case Files – Rejected or Withdrawn Applications

FILE DESCRIPTION: Case files on individuals whose applications to perform services without compensation (volunteering) were rejected or withdrawn, and all related (supporting) documentation.
DISPOSITION: Temporary. Cut off upon withdrawal or rejection. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.2, item 111 (DAA-GRS-2017-0007-0017)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-19
FILE TITLE: Volunteer Service Program Administrative Records
FILE DESCRIPTION: Records documenting routine administration, internal procedures, and general activities, including:

- General correspondence
- Annual reports on volunteer activities

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.2, item 100 (DAA-GRS-2017-0007-0015)
PRIVACY ACT: Not applicable

FILE NUMBER: 202-19.1 – Consolidated into 202-08.1 or 202-08.2, as applicable
FILE NUMBER: 202-19.2 – Consolidated into 202-08.1 or 202-08.2, as applicable
FILE NUMBER: 202-20.1.1—Consolidated into 202-45
FILE NUMBER: 202-20.1.2 – Consolidated into 202-45
FILE NUMBER: 202-20.2 – Consolidated into 202-45
FILE NUMBER: 202-20.3 – Consolidated into 202-45
FILE NUMBER: 202-21 – Consolidated into 202-45
FILE NUMBER: 202-22.1 – Consolidated into 202-06

FILE NUMBER: 202-22.2
FILE TITLE: Notification of Personnel Action Files - Fiscal
FILE DESCRIPTION: Pay or fiscal copy.
DISPOSITION: Temporary. Cut off after audit of related pay records by the GAO. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-21b
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-22.3 – Consolidated into 202-06

FILE NUMBER: 202-22.4
FILE TITLE: Notification of Personnel Action Files - DoDDS Inter-Intraregional and/or Transfer and Reassignment File
FILE DESCRIPTION: Applications, reports, memos, correspondence on the reassignment of personnel between and among regions through the DoDDS Interregional transfer and/or Intraregional Reassignment Programs.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-87-001, item 3
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-22.5
FILE TITLE: Notification of Personnel Action Files - Educator Career Program
FILE DESCRIPTION: Applications, reports, memos, correspondence on the lateral transfer and opportunities for promotion of DoDDS personnel afforded by the DoDDS Educator Career Program.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-87-001, item 4
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-23
FILE TITLE: Employee Management Administrative Records
FILE DESCRIPTION: Records on the routine office program support, administration, and human resources operations. Includes:

- Reports, including (but not limited to) annual reports to the Department of State concerning the number of official passports issued and related matters
- Reports from subordinate units regarding statistics and other reporting matters (i.e., Statistical reports maintained or prepared by offices other than P&S)
- General correspondence with internal Agency offices and with OPM
- General correspondence with travelers regarding official passport application procedures and documentation requirements
- Statistics, including lists of official passport holders

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-01.1, 202-15.1, 202-23.1, 202-23.2, 202-32.1

FILE NUMBER: 202-23.2 – Consolidated into 202-23

FILE NUMBER: 202-24
FILE TITLE: Civilian Personnel Administration Standards
FILE DESCRIPTION: Documentation of policies, procedures, and standards governing civilian personnel administration.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-24a
PRIVACY ACT: Not applicable

FILE NUMBER: 202-25.1
FILE TITLE: Civilian Manpower and Personnel Records Files - Policies, Procedures, and Standards
FILE DESCRIPTION: Records that relate to the development and implementation of policies, procedures, and standards for civilian personnel management and studies, surveys or other material that relate to National Manpower Administration that is of interest to the Department of Defense.
DISPOSITION: Permanent. Cut off 1 year after implementation of the policy, procedures or standards. Transfer to NARA 20 years after cutoff. **NOTE:** Destroy duplicate and reproduced copies when the policy, standard, or procedure is rescinded or revised, unless part of a case file.

AUTHORITY: NC1-330-77-004, item 202-25a
PRIVACY ACT: Not applicable

FILE NUMBER: 202-25.2 – Consolidated into 202-01

FILE NUMBER: 202-25.3
FILE TITLE: Civilian Manpower and Personnel Records Files - Records that Support Reports and Other Statistical Data – Case Files
FILE DESCRIPTION: Records that support reports and other statistical data required by law or regulation such as percentages or minorities, statistics or progress achieved in implementation of equal employment opportunity (EEO) program, grade distribution and the like.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-25c(1)
PRIVACY ACT: OPM/GOVT-1
FORMER FILE NUMBER: 202-25.3a

FILE NUMBER: 202-25.3b – RESCINDED

FILE NUMBER: 202-26.1
FILE TITLE: Department of Defense Civilian Employees Health Unit Records
FILE DESCRIPTION: These records contain forms, correspondence, and other records on an employee's medical history, occupational injuries or diseases, physical examinations, and all other treatment received in health units. Included are industrial hygiene consultations, laboratory and X-ray findings, reports of pulmonary function tests, audiograms, records tests, and chemical hazards, clinical record cover sheets or equivalent.
NOTE 1: These records are not to be confused with hospital in- and out-patient clinical records retained for 75 years after birth date for nonmilitary persons pursuant to other approved records control schedules.
NOTE 2: Original pre-employment, disability retirement, and fitness for duty examinations are to be filed in the OPF upon separation of the employee. FPM Supplement 293-31.
NOTE 3: Longer retention periods may be required by Regulatory Agencies such as: Occupational Safety and Health Administration (OSHA), Nuclear Regulatory Commission (10 CFR, Part 20), and Environmental Protection Agency (EPA). In this event, contact RDD to submit a new SF-115/schedule the record.
DISPOSITION: Temporary. Cut off upon separation of employee and retire to the National Personnel Records Center at the end of each calendar year. Destroy 30 years after cutoff (See note 3 above).
AUTHORITY: NC1-330-81-007, item 1
PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-26.2a – RESCINDED by GRS Transmittal 29 (See note in 202-26.2)

FILE NUMBER: 202-26.2
FILE TITLE: Department of Defense Civilian Employee Occupational Individual Medical Case Files – Long-Term Records

FILE DESCRIPTION: These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes long-term records associated with:

- Personal and occupational health histories
- Opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians
- Employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise)
- Employee audiometric testing records

DISPOSITION: Temporary. Cut off upon separation of employee or when the Official Personnel File (OPF) is destroyed, whichever is later. Destroy 30 years after cutoff. **NOTE**: When an employee transfers to another Federal agency, the long-term Occupational Individual Medical Case Files must be transferred to the gaining agency at the same time as the employee's OPF in accordance with 5 CFR 293, Subpart E - §293.510(a).
AUTHORITY: GRS 2.7, item 060 (DAA-GRS-2017-0010-0009)
PRIVACY ACT: OPM/GOVT-10
FORMER FILE NUMBER: 202-26.2b

FILE NUMBER: 202-26.3
FILE TITLE: Department of Defense Civilian Employee Occupational Individual Medical Case Files – Short-Term Records
FILE DESCRIPTION: These files consist of temporary or short-term medical records as defined in the FPM 293-31. These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes short-term records associated with:

- Personal and occupational health histories
- Opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians
- Employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise)
- Employee audiometric testing records

DISPOSITION: Temporary. Cut off at separation or transfer of the employee. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.7, item 061 (DAA-GRS-2017-0010-0010)
PRIVACY ACT: OPM/GOVT-10
FORMER FILE NUMBER: 202-26.2c

FILE NUMBER: 202-26.4
FILE TITLE: Department of Defense Civilian Employee Occupational Individual Medical Case Files – Created Prior to Employee Medical File System
FILE DESCRIPTION: These files consist of Individual Employee Health Case Files created before establishment of the EMF system that have been retired to an FRC.
DISPOSITION: Temporary. Cut off upon retirement to a FRC. Destroy 60 years after cutoff.
AUTHORITY: GRS 2.7, item 062 (DAA-GRS-2017-0010-0011)
PRIVACY ACT: OPM/GOVT-10

FORMER FILE NUMBER: 202-26.2d

FILE NUMBER: 202-27
FILE TITLE: Military Personnel
FILE DESCRIPTION: Official Military Personnel Records created as the result of detail or assignment to the OSD that normally would be made a part of the individual's personnel file and other pertinent and related correspondence. Orders and citations for the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, and OSD Identification Badge.
DISPOSITION: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and are maintained in accordance with the appropriate Service regulations.
AUTHORITY: NC1-330-77-004, item 202-26
PRIVACY ACT: DWHS P51

FILE NUMBER: 202-28.1
FILE TITLE: Military Manpower and Personnel Records – Policies, Procedures and Standards
FILE DESCRIPTION: Records on the development and implementation of policies, procedures, and standards for military personnel management and studies, surveys, or other material that relate to National Manpower Administration that is of interest to the Department of Defense.
DISPOSITION: Permanent. Cut off when discontinued. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-27a
PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.2
FILE TITLE: Military Manpower and Personnel Records Files - Authorizations
FILE DESCRIPTION: OSD manpower authorizations, justification folders for new positions or deletions; control over grade requirements. **NOTE:** These are not individual personnel files.
DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 40 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-27b
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-28.3
FILE TITLE: Military Manpower and Personnel Records Files – Identification Badge
FILE DESCRIPTION: Policy matters on the OSD Identification Badge.
DISPOSITION: Temporary. Cut off when superseded. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-27c
PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.4
FILE TITLE: Military Manpower and Personnel Records Files – Internal Management and Operational Control
FILE DESCRIPTION: Records that relate to the internal management and operational aspects or military personnel administration, such as records on position control; determinations and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded; and

other reporting records covering military personnel strengths that are not covered under other items in this Instruction.
DISPOSITION: Temporary. Cut off annually. Destroy 25 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-27d
PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.4b – RESCINDED

FILE NUMBER: 202-28.5
FILE TITLE: Military Manpower and Personnel Records Files – Records that Support Reports and Other Statistical Data
FILE DESCRIPTION: Records that support reports and other statistical data required by law or regulation.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-27e
PRIVACY ACT: Not applicable

FILE NUMBER: 202-28.5b – RESCINDED

FILE NUMBER: 202-29
FILE TITLE: Individual Accounting Files
FILE DESCRIPTION: Records that relate to accounting for individuals.
DISPOSITION: Temporary. Cut off and destroy individual leave authorization when adjustments are made.
AUTHORITY: NC1-330-77-004, item 202-28
PRIVACY ACT: Not applicable

FILE NUMBER: 202-30
FILE TITLE: Military Leave Files
FILE DESCRIPTION: Records that relate to leave of military personnel.
DISPOSITION: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and maintained in accordance with the appropriate Service regulations.
AUTHORITY: NC1-330-77-004, item 202-29
PRIVACY ACT: Not applicable

FILE NUMBER: 202-31
FILE TITLE: Individual Actions Files
FILE DESCRIPTION: Correspondence on individual actions about personnel, that do not qualify as records of permanent value; records of criticism or complaint when no official action is taken.
DISPOSITION: Temporary. Cut off when individual is released from OSD duty. Destroy 6 months after cutoff.
AUTHORITY: NC1-330-77-004, item 202-30
PRIVACY ACT: OPM/GOVT-2

FILE NUMBER: 202-32.1 – Consolidated into 202-23

FILE NUMBER: 202-32
FILE TITLE: Statistical Reports File – Records Supporting Reports
FILE DESCRIPTION: Records submitted by the Military Departments supporting reports, policy statements, standardized procedures, criteria, and other matters on the overall administration of military personnel.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-32b
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 202-32.2

FILE NUMBER: 202-33.1
FILE TITLE: Policy and Procedure Records Files - Military Personnel Statistical Summaries and Reports
FILE DESCRIPTION: Statistical summaries and reports on military personnel training, including outlines of the course, names of individuals attending, copies of speeches, lecture material, required reading material and all other material relating to educational programs conducted by the OSD independently of the Military Departments.
DISPOSITION: Permanent. Cut off when course is revised or discontinued. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-33a(1)
PRIVACY ACT: Not applicable

FILE NUMBER: 202-33.1b – RESCINDED

FILE NUMBER: 202-33.2
FILE TITLE: Policy and Procedure Records Files - Military Personnel Policies, Procedures, and Standards
FILE DESCRIPTION: Documentation of policies, procedures and standards governing military personnel administration, including position evaluation and assignment, and military personnel quotas for both normal and mobilization periods.
DISPOSITION: Permanent. Cut off when discontinued. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-33b(1)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 202-33.2a

FILE NUMBER: 202-33.2b – RESCINDED

FILE NUMBER: 202-34
FILE SERIES: Internal Management Files
FILE DESCRIPTION: Correspondence on internal management and operations affecting military personnel administration.
DISPOSITION: Temporary. Cut off annually. Destroy material 5 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-31
PRIVACY ACT: Not applicable

FILE NUMBER: 202-35
FILE TITLE: Military Awards
FILE DESCRIPTION: Awards approved by the Secretary of Defense for presentations such as the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, the OSD Identification Badge, and comparable awards.
DISPOSITION: Temporary. Cut off upon approval. Destroy 15 years after cutoff. See File Number 202-27 for disposition of copies of awards to individual Military Services.
AUTHORITY: NC1-330-77-017, item 1
PRIVACY ACT: DWHS P51
FORMER FILE NUMBER(s): 202-35, 202-45.1.4

FILE NUMBER: 202-36
FILE TITLE: Military Acceptance Files
FILE DESCRIPTION: Records on the establishment of policy, standards, and criteria governing admission and acceptance for military service and means of obtaining individuals in critical skills areas, including pay benefits, allowance, and other associated matters.
DISPOSITION: Permanent. Cut off upon close of case. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-34a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 202-36a

FILE NUMBER: 202-36b – RESCINDED

FILE NUMBER: 202-37
FILE TITLE: Labor Management Relations Agreement Negotiation Records
FILE DESCRIPTION: Records related to negotiations with labor. Includes:

- Negotiation agreements
- Requests to bargain
- Bargaining session records/notes
- Correspondence, memoranda, forms
- Reports
- Other records relating to the negotiated agreements and general relationship between management, employee unions and other groups

DISPOSITION: Temporary. Cut off upon the expiration of the agreement or final resolution of the case. Destroy 5 years after cutoff.
AUTHORITY: GRS 2.3, item 130 (DAA-GRS-2018-0002-0015)
PRIVACY ACT: DoDEA – Use DoDEA 21; All Others – Use DWHS P37
FORMER FILE NUMBER(s): 202-37.1, 202-37.2, 1802-02.2a, 1802-02.2b

FILE NUMBER: 202-37.1 – Consolidated into 202-37
FILE NUMBER: 202-37.2 – Consolidated into 202-37

FILE NUMBER: 202-38
FILE TITLE: Labor Arbitration (Negotiated Grievance Procedure) Case Records

FILE DESCRIPTION: Records of work-place disputes processed under negotiated grievance proceduresand settled by either agreement or binding arbitration.
DISPOSITION: Temporary. Cut off after close of case. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.3, item 090 (DAA-GRS-2018-0002-0010)
PRIVACY ACT: DoDEA – Use DoDEA 21; All Others – Use DWHS P37

FILE NUMBER: 202-39
FILE TITLE: Security Policies Application
FILE DESCRIPTION: Documents concerning general information applicable to personnel security. Security of classified matter in the personnel office and related material.
DISPOSITION: Temporary. Cut off and destroy when no longer current.
AUTHORITY: NC1-330-77-004, item 202-36
PRIVACY ACT: Not applicable

FILE NUMBER: 202-40.1
FILE TITLE: Personnel Security and Access Clearance Records – Individuals Issued Clearances
FILE DESCRIPTION: Records about security clearances, and other clearances for access to Government facilities or to controlled unclassified information (CUI), created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program that pertain to individuals who have been issued clearances (See 202-40.4 for records pertaining to individuals NOT issued clearances). Includes:

- Questionnaires
- Summaries of reports prepared by the investigating agency
- Documentation of agency adjudication process and final determination.

Exclusion: Information Systems Security Records (See File Numbers 1601-02 and 1606-06)
DISPOSITION: Temporary. Cut off when employee or contractor relationship ends. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.6, item 181 (DAA-GRS-2021-0001-0008)
PRIVACY ACT: OPM/GOVT-1
FORMER FILE NUMBER(s): 202-40.1, 202-40.3

FILE NUMBER: 202-40.2
FILE TITLE: Personnel Security Clearance Files – Report Summaries
FILE DESCRIPTION: Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.
DISPOSITION: Temporary. Cut off upon date of clearance determination. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.6, item 170 (DAA-GRS-2017-0006-0022)
PRIVACY ACT: DUSDI 02-DoD
FORMER FILE NUMBER(s): 202-40.2, 202-40.3

FILE NUMBER: 202-40.3 – Consolidated into 202-40.1 and 202-40.2, as applicable

FILE NUMBER: 202-40.4
FILE TITLE: Personnel Security and Access Clearance Records – Individuals Not Issued Clearances

FILE DESCRIPTION: Records about security clearances, and other clearances for access to Government facilities or to controlled unclassified information (CUI), created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program that pertain to individuals who have NOT been issued clearances (See 202-40.1 for records pertaining to individuals for whom clearances have been issued). Includes:

- Questionnaires
- Summaries of reports prepared by the investigating agency
- Documentation of agency adjudication process and final determination.

Exclusion: Copies of investigative reports (see File Number 202-40.2 or (for DOHA) 404-02)
DISPOSITION: Temporary. Cut off when consideration of the candidate ends. Destroy 1 year after cutoff.
AUTHORITY: GRS 5.6, item 180 (DAA-GRS-2021-0001-0007)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-41
FILE TITLE: Special Assignments
FILE DESCRIPTION: Documents containing information on the security clearance and authorization for access to particularly sensitive classified matter. Not including reports of investigation, counterintelligence, or clearance documents filed in the official personnel folder.
DISPOSITION: Temporary. Cut off and destroy on transfer or separation of individual concerned.
AUTHORITY: NC1-330-77-004, item 202-38
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-42
FILE TITLE: Employment and Financial Interest Statements
FILE DESCRIPTION: Statements of employment and financial interests, and related papers
DISPOSITION: Temporary. Destroy 2 years after employee leaves a position that requires a statement, or 2 years after the employee leaves the Agency, whichever is earlier.
AUTHORITY: NC1-330-77-004, item 202-39
PRIVACY ACT: OGE/GOVT-1

FILE NUMBER: 202-43.1
FILE TITLE: Equal Employment Opportunity (EEO) Discrimination Complaint – Formal Process
FILE DESCRIPTION: Records at originating agency generated in response to formal complaints resolved within the Agency, by the Equal Employment Opportunity Commission (EEOC), or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings. Case File includes:

- Intake sheet
- Summary report
- Notes
- Supporting documentation
- Correspondence

DISPOSITION: Temporary. Cut off after resolution of case. Destroy 7 years after cutoff.
AUTHORITY: GRS 2.3, item 111 (DAA-GRS-2018-0002-0013)
PRIVACY ACT: EEOC/GOVT-1

FILE NUMBER: 202-43.2 – RESCINDED by GRS Transmittal 28

FILE NUMBER: 202-43.3
FILE TITLE: Equal Employment Opportunity (EEO) Discrimination Complaint – Informal Process
FILE DESCRIPTION: Records of cases that do not result in an EEO complaint but resolved prior to the formal process stage. Includes:

- Intake sheet
- Summary report
- Notes
- Supporting documentation
- Correspondence

DISPOSITION: Temporary. Cut off after resolution of case. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.3, item 110 (DAA-GRS-2018-0002-0012)
PRIVACY ACT: Not applicable

FILE NUMBER: 202-43.4
FILE TITLE: Contractor Compliance with Equal Employment Opportunity (EEO) Regulations
FILE DESCRIPTION: Records documenting contractor compliance with EEO regulations. Includes Reviews, background documents and correspondence relating to contractor employment practices.
DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.
AUTHORITY: GRS 2.3, item 120 (DAA-GRS-2018-0002-0014
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 202-43.4.1

FILE NUMBER: 202-43.4.2 – Consolidated into 202-62
FILE NUMBER: 202-43.5 – RESCINDED per GRS Transmittal 28
FILE NUMBER: 202-43.6 – Consolidated into 202-62
FILE NUMBER: 202-43.7 – Consolidated into 202-53
FILE NUMBER: 202-43.8.1 – Consolidated into 202-62
FILE NUMBER: 202-43.8.2 – Consolidated into 202-62
FILE NUMBER: 202-43.9 (formerly 202-43.9.1) Consolidated into 202-53

FILE NUMBER: 202-43.10
FILE TITLE: Reasonable Accommodation Case Files
FILE DESCRIPTION: Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes:

- Request approvals and denials
- Notice of procedures for informal dispute resolution or appeal processes
- Forms, correspondence, records of oral conversations
- Policy guidance documents
- Medical records

- Supporting notes and documentation

DISPOSITION: Temporary. Cut off upon employee separation from the agency or after all appeals are concluded, whichever is later. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.3, item 020 (DAA-GRS-2018-0002-0002)
PRIVACY ACT: DoD 007
FORMER FILE NUMBER(s): 202-43.9.2

FILE NUMBER: 202-44
FILE TITLE: Workers' Compensation (Personnel Injury Compensation) Records
FILE DESCRIPTION: Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death whether or not a claim for compensation was made. Includes:

- Forms, reports, correspondence, claims
- Medical and investigatory records
- Administrative determinations or court rulings
- Payment records
- Files in ESAMs pertaining to personnel injury

Exclusion 1: Copies filed in the Employee Medical Folder.
Exclusion 2: Records created/maintained by the Department of Labor Office of Workers' Compensation.
DISPOSITION: Temporary. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut off.
AUTHORITY: GRS 2.4, Item 100 (DAA-GRS-2016-2015-0012)
PRIVACY ACT: DMDC 27-DoD

FILE NUMBER: 202-45
FILE TITLE: Employee Incentive Award Records
FILE DESCRIPTION: Agency awards files, including recommendations, approved nominations, correspondence, and reports about Agency-sponsored cash and non-cash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost-savings awards, and time-off awards). Also includes correspondence about awards from other Federal Agencies or non-Federal organizations and to former employees. **NOTE:** Please use 202-35 for Military Awards, 202-66 for DoD Incentives Award Board (IAB) case files, 202-67 for DoD-wide competitive/non-competitive awards, and 202-69 or 202-70 for official case files and awards packages submitted to WHS/HRD on OSD employees nominated for Incentive Awards and Honorary Awards issued under the authority delegated to the Heads of the OSD Components, Defense Agencies, Field Activities and Military Departments.
DISPOSITION: Temporary. Cut off annually or upon approval or disapproval, whichever is later. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-20.1.1, 202-20.1.2, 202-20.2, 202-20.3, 202-21, 202-45.1.1, 202-45.1.2, 202-45.1.3

FILE NUMBER: 202-45.1.2 – Consolidated into 202-45
FILE NUMBER: 202-45.1.3 – Consolidated into 202-45
FILE NUMBER: 202-45.1.4 – Consolidated into 202-35

FILE NUMBER: 202-46.1 – Consolidated into 202-07
FILE NUMBER: 202-46.2 – Consolidated into 202-07
FILE NUMBER: 202-46.3 – RESCINDED

FILE NUMBER: 202-46
FILE TITLE: Employee Assistance Program (EAP) Counseling Records related to Performance and Conduct
FILE DESCRIPTION: Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP) for performance or conduct reasons. May include records of family members and dependents. **NOTE:** See file number 202-77 for records associated with Adverse Actions and 202-51 for drug treatment program records. Records include documentation of:

- Leave and attendance
- Performance
- Alleged inappropriate behavior or workplace violence
- Reason for referral
- Management interventions
- Illegal drug or alcohol use
    - Test results for use of illegal drugs
    - Test results for alcohol consumption on the job
    - Substance abuse assessment, treatment, aftercare, and monitoring records

DISPOSITION: Temporary. Cut off and destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.
AUTHORITY: GRS 2.7, item 090 (DAA-GRS-2017-0010-0014)
PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-47
FILE TITLE: Employee Assistance Program (EAP) Counseling Records not related to Performance and Conduct
FILE DESCRIPTION: Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP), not related to performance or conduct reasons. May include records of family members and dependents. Records documenting the nature of: an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:

- Privacy Act and signed written consent forms
- Psychosocial history and assessments
- Medical records
- Correspondence with the client
- Clinical and education interventions
- Records of attendance at treatment, kinds of treatment, and counseling programs
- Identity and contact information of treatment providers
- Name, address, and phone number of treatment facilities
- Notes and documentation of internal EAP counselors
- Insurance data
- Intervention outcomes

DISPOSITION: Temporary. Cut off after termination of counseling for adults or after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements. Destroy 7 years after cutoff for adults and 3 years after cutoff for minors.
AUTHORITY: GRS 2.7, item 091 (DAA-GRS-2017-0010-0015)
PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-48.1
FILE TITLE: Mission-Related Training Program Agency Course Materials
Records relating to personnel training, including record copies of speeches, lecture material, required reading material, and other materials (such as each manual, syllabus, textbook, and other training aids) related thereto.
DISPOSITION: Temporary. Cut off when course is revised or discontinued. Destroy 40 years after cutoff.
AUTHORITY: NC1-330-77-004, item 202-24b(1)
PRIVACY ACT: Not applicable

FILE NUMBER: 202-48.2
FILE TITLE: Non-Mission Employee Training Program Records
FILE DESCRIPTION: Records about planning, assessing, managing and evaluating an Agency's training program, including the ESAMS database training records, excluding Ethics training, which is covered by File Number 202-49). Includes the following:

- Plans, reports and program evaluations
- Organizational and occupational needs assessments
- Employee skills assessments
- Employee training statistics
- Notices about training opportunities, schedules, or courses
- Mandatory training tracking and reporting files
- Logistics and coordination documents
- Authorization, Agreement and Certification of Training (SF-182) and similar records
- Registration forms,
- Employee attendance records
- Syllabi, presentations, instructor guides, handbooks, and lesson plans
- Reference and working files on course content
- Other course materials, such as presentations and videos
- Student, class, or instructor evaluations

NOTE: Financial records related to purchase of training or travel for training are covered under File Number 206-09.1.
DISPOSITION: Temporary. Cut off annually or when superseded or obsolete (as appropriate). Destroy 3 years after cutoff.
AUTHORITY: GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-48.2.1, 202-48.2.2, 202-48.4

FILE NUMBER: 202-48.1.2 – RESCINDED
FILE NUMBER: 202-48.2.1 – Consolidated into 202-48.2
FILE NUMBER: 202-48.2.2 – Consolidated into 202-48.2

FILE NUMBER: 202-48.3
FILE TITLE: Individual Employee Training Records
FILE DESCRIPTION: Records documenting training by all or most Federal Agencies, such as information systems security and anti-harassment training, and training to develop job skills (excepting academic transcripts, professional licenses, civil service exams, or documentation of mission-related training). Records may include:

- Completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors)
- Individual Development Plans (IDPs)
- Mentoring or coaching agreements

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff, 1 year upon employee separation or when superseded or obsolete, whichever comes first.
AUTHORITY: GRS 2.6, item 030 (DAA-GRS-2016-0014-0003)
PRIVACY ACT: Not applicable

FILE NUMBER: 202-48.4 – Consolidated into 204-48.2
FILE NUMBER: 202-49.1 – Consolidated into 202-77
FILE NUMBER: 202-49.2 – Consolidated into 202-77
FILE NUMBER: 202-49.2.1 – Consolidated into 202-77
FILE NUMBER: 202-49.2.2 – Consolidated into 202-77
FILE NUMBER: 202-49.3 – Consolidated into 202-77

FILE NUMBER: 202-49
FILE TITLE: Ethics Training Records
FILE DESCRIPTION: Records include but are not limited to:

- Administration of new employee ethics orientations. annual, and other types of ethics training
- Agency's annual written plans
- Notices about training requirements and course offerings
- Rosters of employees required to attend and verification of training completed
- Instructor guides, handbooks, handouts and other materials

DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff or when superseded or obsolete, whichever is sooner.
AUTHORITY: GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 202-49.4

FILE NUMBER: 202-50 – Consolidated into 202-08.1 or 202-08.2, as applicable

FILE NUMBER: 202-51.1
FILE TITLE: Employee Drug Test Plans, Procedures, and Scheduling Records
FILE DESCRIPTION: Drug testing program records pertaining to the development of procedures (excluding documents filed in records sets of formal issuances such as directives, procedures handbooks, etc.), such

as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:

- Agency copies of plans and procedures, with related drafts, correspondence, and memoranda
- Lists of selectees
- Notification letters
- Testing schedules

NOTE: Consolidated statistical and narrative reports concerning the operation of the Agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f), are covered in File Number 214-08. Disciplinary action case files on actions taken against employees for drug use, possession, failure to comply with drug testing procedures, and similar matters are covered by 202-49.1, 202-49.2 or 202-49.3, as applicable.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or when superseded or obsolete.
AUTHORITY: GRS 2.7, item 100 (DAA-GRS-2017-0010-0016)
PRIVACY ACT: OPM/GOVT-10
FORMER FILE NUMBER(s): 202-51.1, 202-51.3

FILE NUMBER: 202-51.2
FILE TITLE: Employee Drug Test Acknowledgement of Notice Forms
FILE DESCRIPTION: Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging that they have received notice and they may be tested.
DISPOSITION: Temporary. Cut off and destroy when employee separates from testing-designated position.
AUTHORITY: GRS 2.7, item 110 (DAA-GRS-2017-0010-0017)
PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-51.3 – Consolidated into 202-51.1

FILE NUMBER: 202-51.4
FILE TITLE: Employee Drug Testing Specimen Records
FILE DESCRIPTION: Identifying data on each specimen, recorded at each collection site in the order the specimens were collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, e.g., chain-of-custody records.
DISPOSITION: Temporary. Cut off annually or after date of last entry, whichever is later. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.7, item 120 (DAA-GRS-2017-0010-0018)
PRIVACY ACT: OPM/GOVT-10
FORMER FILE NUMBER(s): 202-51.4.1, 202-51.4.2

FILE NUMBER: 202-51.4.1 – Consolidated into 202-51.4
FILE NUMBER: 202-51.4.2 – Consolidated into 202-51.4

FILE NUMBER: 202-51.5
FILE TITLE: Employee Drug Test Results – Positive Results
FILE DESCRIPTION: Positive test results for employees consisting of records documenting individual test results, including testing reports, notifications of employees and employing offices, and documents

relating to follow-up testing. **NOTE:** Drug Testing results for applicants are covered under File Numbers 202-08.1 or 202-08.2.
DISPOSITION: Temporary. Cut off and destroy when employee leaves the Agency or when 3 years old, whichever is later.
AUTHORITY: GRS 2.7, item 130 (DAA-GRS-2017-0010-0019)
PRIVACY ACT: OPM/GOVT-10
FORMER FILE NUMBER: 202-51.5a

FILE NUMBER: 202-51.5b – Consolidated into 202-08.1 or 202-08.2

FILE NUMBER: 202-51.6
FILE TITLE: Employee Drug Test Results – Negative Results
FILE DESCRIPTION: Negative test results consisting of records documenting individual test results, including testing reports, notifications of employees and employing offices, and documents relating to follow-up testing.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.7, item 131 (DAA-GRS-2017-0010-0020)
PRIVACY ACT: OPM/GOVT-10
FORMER FILE NUMBER: 202-51.5c

FILE NUMBER: 202-52.1
FILE TITLE: Combined Federal Campaign Files
FILE DESCRIPTION: Records of the Voluntary Campaign Management Office, which oversees the planning, development, implementation, and overall management and administration of the annual DoD Combined Federal Campaign (CFC) for the National Capital Area, and Overseas, in the DoD U.S. savings Bonds Program, OSD Blood Donor Program, and emergency of disaster relief fund-raising as directed by the Office of Personnel Management (5 CFR, Part 950, Section 950.604). CFC Campaign files consists of documents on CFC special events, weekly statistical reports, historical information on previous campaigns, DoD CFC account numbers, DoD directives, DoD Loaned Executives, CFC national Committee Meetings, CFC Chair/Vice Chair/Campaign Managers, Retiree Access, Campaign Manager Meetings, Personnel Hilites articles, and general correspondence for domestic, and overseas campaigns.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-00-004, item 1
PRIVACY ACT: Not applicable

FILE NUMBER: 202-52.2
FILE TITLE: Savings Bonds Campaign Files
FILE DESCRIPTION: Documents on Savings Bonds special events, end-of-campaign statistical reports, semiannual bond reports/ mailing list, DoD component campaign plans; DoD Directives, Savings Bonds legislation, Savings Bonds Chair/Vice Chair/Campaign Managers, Personnel Hilites articles, general correspondence and Campaign Manager Guides.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-00-004, item 2
PRIVACY ACT: Not applicable

FILE NUMBER: 202-52.3
FILE TITLE: Blood Donor Program Files
FILE DESCRIPTION: Documents on Blood Council Meetings, OSD Blood Recruiters, DoD directives, and general correspondence files.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-00-004, item 3
PRIVACY ACT: Not applicable

FILE NUMBER: 202-52.4 – RESCINDED

FILE NUMBER: 202-53
FILE TITLE: Employee Relations Programs' Administrative Records
FILE DESCRIPTION: Records documenting routine activities of offices related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:Program-related correspondence (excluding case-related correspondence)

- Copies of statutes, regulations, directives and instructions
- Timetables and guidelines for processing case files and appealing decisions
- Planning records
- Meeting minutes
- Program evaluations and reports to senior management
- Statistical records tracking program participation and participants
- Records tracking program compliance with relevant Executive Orders and other requirements
- Records arranging for outside mediator and facilitator involvement in case settlements

EXCLUSION 1: Records specific to individual cases.
EXCLUSION 2: Reports to external oversight agencies (covered by 214-08 (GRS 5.7, item 050)).
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-43.9 (formerly 202-43.9.1), 202-53.1, 202-61

FILE NUMBER: 202-54.1
FILE TITLE: Alternative Dispute Resolution (ADR) Case Files – Formal Process
FILE DESCRIPTION: ADR case files where the records are generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances. Includes:

- Agreements to use ADR
- Records of intake or process
- Records of settlement or discontinuance of the case
- Parties' written evaluations of the process

DISPOSITION: Temporary. Cut off after case is closed. Destroy 7 years after cutoff.
AUTHORITY: GRS 2.3, item 071 (DAA-GRS-2018-0002-0008)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 202-53.2

FILE NUMBER: 202-54.2
FILE TITLE: Alternative Dispute Resolution (ADR) Case Files – Informal Process
FILE DESCRIPTION: ADR case files where the records are not associated with another employee dispute, complaint, or grievance process. Includes:

- Agreements to use ADR
- Records of intake or process
- Records of settlement or discontinuance of the case
- Parties' written evaluations of the process

DISPOSITION: Temporary. Cut off after case is closed. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.3, item 070 (DAA-GRS-2018-0002-0007)
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-55
FILE TITLE: Telework/Alternate Worksite Programs Case Files
FILE DESCRIPTION: Includes:

- Agency/employee agreements
- Records such as questionnaires relating to the safety of the worksite
- Records documenting worksite safety and equipment; hardware, and software installation and use; and offsite use of secure, classified information or data subject to the Privacy Act, or agency's Personally Identifiable Information policies

DISPOSITION: Temporary. Cut off when superseded or obsolete or 1 year after the end of employee's participation in the program, whichever is sooner. Destroy at cutoff.
AUTHORITY: GRS 2.3, item 040 (DAA-GRS-2018-0002-0004)
PRIVACY ACT: Not applicable

FILE NUMBER: 202-56
FILE TITLE: Telework/Alternate Worksite Program Files
FILE DESCRIPTION: Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:

- Correspondence
- Notes
- Policy implementation documents
- Form development files
- Planning records
- Program evaluation documentation/data
- Reports provided to senior management and oversight agencies such as OPM
- Other related records generated by the agency or by participating employees

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.3, item 080 (DAA-GRS-2015-0007-0021)
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-57
FILE TITLE: Occupational Health and Safety Training Records
FILE DESCRIPTION: Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures. Includes training records stored in the WHS Enterprise Safety Management System (ESAMS).

Excusion 1: Records appropriate for long-term retention in an Official Personnel File, such as academic transcripts and professional licenses, are covered under File Number 202-12.2 (GRS 2.2, item 040).
Excusion 2: Training records related to job-specific activities or that may impact individual occupational health are covered under File Numbers 202-26.2 or 202-26.3, as applicable.
DISPOSITION: Temporary. Cut off after training participation or when superseded, whichever is applicable. Destroy 5 years after cutoff.
AUTHORITY: GRS 2.7, item 030 (DAA-GRS-2017-0010-0003)
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-58
FILE TITLE: Defense Injury and Unemployment Compensation System (DIUCS) Master File
FILE DESCRIPTION: Web-based, Department of Defense-wide system for the processing of claims under the Federal Employees' Compensation Act (FECA) seeking monetary, medical and similar benefits for injuries and death sustained by civilian employees while performing assigned duties.
DISPOSITION: Temporary. Cut off when case is closed or completed by the Department of Labor and all related activity has ceased. Destroy 10 years after cutoff.
AUTHORITY: N1-330-10-007, item 1
PRIVACY ACT: DPR 35

FILE NUMBER: 202-59
FILE TITLE: Phased Retirement Administrative Records
FILE DESCRIPTION: Records related to managing the program, including:

- Procedural guidance on program administration
- Informational/marketing/publicizing materials
- General correspondence
- Reports to OPM
- Memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations
- Documentation of program structure and details as uniquely instituted by agency

Exclusion: This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.
DISPOSITION: Temporary. Cut off annually or after revision or replacement (as appropriate). Destroy 3 years after cutoff.
AUTHORITY: GRS 2.5, Item 050 (DAA-GRS-2016-0007-0001)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-60
FILE TITLE: Phased Retirement Individual Case Files
FILE DESCRIPTION: Case files of individual employee participation in phased retirement, such as:

- Application for immediate retirement
- Evidence of eligibility
- Reviews/recommendations by supervisor and others
- Notice of approval or disapproval
- Retirement benefit estimates
- Annuity calculations
- Phased retirement agreement
- Records documenting knowledge transfer activities

- Confidentiality agreement with mentees
- Action/project plans and logs
- Correspondence

NOTE: Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to the retention period for the retirement file, per File Number 207-08 (GRS 2.5, item 020).
DISPOSITION: Temporary. Cut off when employee participation concludes or employee retires. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.5, item 051 (DAA-GRS-2016-0007-0002)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-61 – Consolidated into 202-53

FILE NUMBER: 202-62
FILE TITLE: Harassment Complaint Case Files
FILE DESCRIPTION: Records of complaints regarding unwelcome workplace conduct, filed in accordance with Agency policies and procedures. Includes:

- Complaint, correspondence, notes, forms and supporting information
- Records of investigation, statements of witnesses
- Determination as to whether harassment occurred
- Documentation of preventative or corrective measures

NOTE: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.
DISPOSITION: Temporary. Cut off after close of case. Destroy 7 years after cutoff.
AUTHORITY: GRS 2.3, item 050 (DAA-GRS-2018-0002-0005)
PRIVACY ACT: OPM/GOVT-1
FORMER FILE NUMBER(s): 202-43.4.2, 202-43.6, 202-43.8.1, 202-43.8.2

FILE NUMBER: 202-63
FILE TITLE: Continuous Evaluation System
FILE DESCRIPTION: Information collected on current DoD affiliated personnel in support of personnel security programs. Includes, but is not limited to:

- Name
- Date of Birth (DoB) and Place of Birth (PoB)
- Social Security Number (SSN) and passport information
- Physical attributes, including gender, race, and ethnicity
- Citizenship
- Contact information, including current and previous addresses
- Reference information
- Education information
- Employment information (up to 10 years, including performance information such as warnings, misconduct, and termination information)
- Military history information
- Publicly available electronic information.

DISPOSITION: Temporary. Cut off after last personnel security adjudication is completed. Destroy 10 years after cutoff.

AUTHORITY: DAA-0330-2014-0013-0001
PRIVACY ACT: TBD

FILE NUMBER: 202-64
FILE TITLE: The National Security Education Program (NSEP) Scholar and Fellow Support System – Selected Applicants
FILE DESCRIPTION: Files pertaining to applicants selected under the NSEP Scholar and Fellow Support System, an online information system used to support the National Security Education Program per US Code 50, chapter 37 § 1906. Information collected from individuals via online application includes, but is not limited to, title, full name, current address, City, state, and zip code.
DISPOSITION: Temporary. Cut off after the completion of each recipients service contract. Destroy 30 years after cutoff.
AUTHORITY: N1-330-13-003, item 1a
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-65
FILE TITLE: The National Security Education Program (NSEP) Scholar and Fellow Support System – Non-Selected Applicants
FILE DESCRIPTION: Files pertaining to applicants not selected under the NSEP Scholar and Fellow Support System, an online information system used to support the National Security Education Program per US Code 50, chapter 37 § 1906. Information collected from individuals via online application includes, but is not limited to, title, full name, current address, City, state, and zip code.
DISPOSITION: Temporary. Cut off annually, after selection choices have been finalized. Destroy 5 years after cutoff or upon completion of GAO audit, whichever is sooner.
AUTHORITY: N1-330-13-003, item 1b
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-66
FILE TITLE: Incentive Awards Board (IAB) Records
FILE DESCRIPTION: Awards reviewed and approved for nominations received by the Office of the Secretary of Defense Incentive Awards Board (IAB), including the

- Department of Defense (DoD) Distinguished Civilian Service Award (DCSA)
- The Secretary of Defense Meritorious Civilian Service Award (MCSA)
- Other incentive awards authorized by the Secretary of Defense or OSD Components

Files may contain administrative correspondence such as forms and other records which pertain to recommendations, submissions, processing, evaluations, review actions, votes cast by IAB members, approval, disapproval, issuance of award, reports and other relevant documents to the application or decision.
DISPOSITION: Permanent. Cut off annually, in the calendar year upon which the final determination (approval/disapproved) was made. Transfer to NARA 25 years after cutoff.
AUTHORITY: DAA-0330-2016-0010-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-67
FILE TITLE: Secretary of Defense Awards (Non-Competitive/Competitive)
FILE DESCRIPTION: Award packages authorized, approved and maintained on behalf of the Secretary of Defense by the OSD Components. Includes, but is not limited to:

- Department of Defense (DoD) Distinguished Civilian Service Award (DCSA)
- DoD Distinguished Public Service Award (DPSA)
- The Secretary of Defense Meritorious Civilian Service Award (MCSA)
- The Secretary of Defense Outstanding Public Service Award (OPSA)
- Competitive awards such as DoD DCSA, the DoD David 0. Cooke Excellence in Public Administration Award, and the DoD Spirit of Hope Award packages
- The Secretary of Defense Employer Support Freedom Award

Packages shall include, but are not limited to, nomination memorandum, description of achievement and recommendations, as appropriate.

DISPOSITION: Permanent. Cut off annually, in the calendar year upon which the final determination (approval/disapproved) was made. Transfer to NARA 25 years after cutoff.

AUTHORITY: DAA-0330-2016-0010-0002

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-68

FILE TITLE: Department of Defense Awards Tracking

FILE DESCRIPTION: Databases and spreadsheets used to track the issuance of DoD-wide awards. Includes but not limited to tracking of the

- Department of Defense (DoD) Distinguished Civilian Service Award (DCSA)
- DoD Distinguished Public Service Award (DPSA)
- The Secretary of Defense Meritorious Civilian Service Award (MCSA)
- The Secretary of Defense Outstanding Public Service Award (OPSA)

NOTE: Data fields include, but are not limited to, award type/title, name of awardee, and date awarded.

DISPOSITION: Temporary. Cut off and destroy when no longer needed.

AUTHORITY: DAA-0330-2016-0010-0003

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-69

FILE TITLE: Awards Submitted to Washington Headquarters Service/Human Resources Directorate

FILE DESCRIPTION: The official case files and awards packages submitted to WHS/HRD on OSD employees nominated for Incentive Awards and Honorary Awards issued under the authority delegated to the Heads of the OSD Components, Defense Agencies, Field Activities and Military Departments. These include but are not limited to OSD Public Service Award, Incentive Awards or other Honorary Awards, such as Length of Service Recognion, Non-Governmental Awards and other such awards developed for a program under the purview of the DoD Components. Cases files include, but are not limited to:

- Administrative correspondence of awards nominations
- Reports
- Memoranda
- Recommendations approving or disapproving each award
- All other supporting and related documents pertaining to each specific award.

DISPOSITION: Temporary. Cut off annually, in the calendar year upon which the final determination (approval/disapproved) was made. Destroy 15 years after cutoff.

AUTHORITY: DAA-0330-2016-0010-0004

PRIVACY ACT: Not Applicable

FILE NUMBER: 202-70
FILE TITLE: Awards issued under the authority of Heads of OSD Components, Defense Agencies and Field Activities
FILE DESCRIPTION: Case files and awards packages created and maintained by OSD Components, Defense Agencies and Field Activit.ies for Federal employees, contractors, Nongovernmental groups (NGO's), corporations, organizations, civilian personnel and groups nominated for Incentive Awards and Honorary and Other Honorary Awards issued under the authority delegated to the Heads of OSD Components, Defense Agencies and Field Activities. These files include but are not limited to

- The OSD Exceptional Civilian Service Award
- The OSD Exceptional Public Service Award
- The OSD Career Civilian Service Award
- The OSD Award for Excellence
- The OSD Award for Outstanding Achievement
- The OSD Group Achievement Award
- OSD Length-of Service Awards
- Patriot Award
- Seven Seals Award
- Above and Beyond Award
- Other such awards developed for programs under their purview.

Files may contain administrative correspondence of.awards nominations, reports, memoranda, and recommendations approving or disapproving each award and other .documents pertaining to each specific award.
DISPOSITION: Temporary. Cut off annually, in the calendar year upon which the final determination (approval/disapproved) was made. Destroy 15 years after cutoff.
AUTHORITY: DAA-0330-2016-0010-0005
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-71
FILE TITLE: Special Hiring Authority Program Records
FILE DESCRIPTION: Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.
DISPOSITION: Temporary. Cut off after hiring authority closes. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, item 120 (DAA-GRS-2014-0002-0016)
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-72
FILE TITLE: Individual Employees Hired under Temporary Special Authority
FILE DESCRIPTION: Records related to individual employees hired under special temporary authority. Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.
DISPOSITION: Temporary. Cut off after employee is converted to a permanent position or leaves a program. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, item 130 (DAA-GRS-2014-0002-00017)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-73
FILE TITLE: Adverse Impact Files – No Adverse Impact Found
FILE DESCRIPTION: Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures where the findings indicate that there is no adverse impact. Includes records documenting:

- Number of applicants by sex, race, and national origin
- Number of people hired, promoted, and terminated, by sex, race, and national origin
- Selection procedures and their validity

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.1, item 170 (DAA-GRS-2018-0008-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-74
FILE TITLE: Adverse Impact Files – Adverse Impact Found
FILE DESCRIPTION: Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures where the findings reveal an adverse impact. Includes records documenting:

- Number of applicants by sex, race, and national origin
- Number of people hired, promoted, and terminated, by sex, race, and national origin
- Selection procedures and their validity

DISPOSITION: Temporary. Cut off after elimination of the adverse impact. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.1, item 171 (DAA-GRS-2018-0008-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 202-75
FILE TITLE: Recruitment Records
FILE DESCRIPTION: Records documenting agency in-person and on-line recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. Includes:

- Records documenting planning and logistics of individual recruitment events
- Record copy of advertisement and materials for distribution (other than recruitment posters or military advertising records)
- Contact information and interest areas collected from potential job candidates
- Recruitment event reports
- Correspondence with prospective candidates

EXCLUSION 1: Military recruitment advertising records must be scheduled by military establishments.
EXCLUSION 2: Recruitment posters must be scheduled by WHS/ESD/RPDD.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.1, item 180 (DAA-GRS-2018-0008-0003)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-76
FILE TITLE: Dislocated Worker Program Case Files
FILE DESCRIPTION: Includes applications, registrations, supporting documentation.
DISPOSITION: Temporary. Cut off when employee eligibility expires. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.3, item 030 (DAA-GRS-2018-0002-0003)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-77
FILE TITLE: Administrative Grievance, Disciplinary, Performance-based, and Adverse Action Case Files
FILE DESCRIPTION: Case files pertaining to administrative grievances, performance-based issues, disciplinary actions, and adverse actions. Includes**:**

- Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes:
  - Statement of grievance, supporting documentation, and evidence
  - Statements of witnesses, records of interviews and hearings
  - Examiner's findings, recommendations, decisions
- Records of disciplinary and performance-based actions against employees. Includes:
  - Performance appraisal, performance improvement plan, and supporting documents
  - Recommended action, employee's reply
  - Records of hearings and decisions
  - Records of appeals
- Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes:
  - Proposed adverse action, employee's reply
  - Statements of witnesses
  - Records of hearings and decisions
  - Letters of reprimand
  - Records of appeals

NOTE: Letter of reprimand filed in an employee's Official Personnel File is covered under 202-12.3.
DISPOSITION: Temporary. Cut off after case is closed or final settlement on appeal, as appropriate. Destroy 7 years after cutoff.
AUTHORITY: GRS 2.3, item 060 (DAA-GRS-2018-0002-0006)
PRIVACY ACT: OPM/GOVT-3
FORMER FILE NUMBER(s): 202-49.1, 202-49.2, 202-49.2.1, 202-49.2.2. 202-49.3

FILE NUMBER: 202-78
FILE TITLE: Merit Systems Protection Board (MSPB) Case Files
FILE DESCRIPTION: Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include:

- Petitions for appeal, agencies' responses to petitions
- Hearing notices, transcripts, testimony, briefs, and exhibits
- MSPB initial decisions
- Petitions for review, responses of opposing party to petition
- Orders granting or denying intervention
- MSPB final opinions, orders, and decisions

DISPOSITION: Temporary. Cut off after final resolution of case. Destroy 3 years after cutoff.
AUTHORITY: GRS 3.1, item 080 (DAA-GRS-2018-0002-0009)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-79
FILE TITLE: Federal Labor Relations Authority (FLRA) Case Files
FILE DESCRIPTION: Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:

- Records of representation proceedings:
  - Petitions, notice of petitions, cross-petitions, motions
  - Records documenting adequate showing of interest
  - Challenges to the status of a labor organization
  - Records of meetings, hearings, and prehearing conferences
  - Statements of witnesses
  - Dismissals of petitions
  - Decisions, orders
- Records of unfair labor practices proceedings
  - Charges/allegations of unfair labor practices, amendments, and supporting evidence
  - Records of charges/allegations investigation, including subpoenas
  - Complaints by FLRA Regional Director
  - Motions, responses, stipulations
  - Records of hearings
  - Records of decisions and settlements
- Records of negotiability proceedings
  - Petitions for review
  - Records of post-petition conferences
  - Agencies' statements of position, unions' responses, and agencies' counter-responses
  - Records of post-petition conferences o decisions, orders
- Records of review of arbitration awards
  - Exceptions to arbitrators' award rendered pursuant to arbitrations
  - Oppositions to exceptions
  - Determination of grounds for review
  - Decisions, orders

DISPOSITION: Temporary. Cut off after final resolution of the case. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.3, item 100 (DAA-GRS-2018-0002-0011)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-80
FILE TITLE: General Ethics Program Records
FILE DESCRIPTION: Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.
- Determinations, including advice and counseling to individual employees, and supporting records.
- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

NOTE: See 403 for other Ethics File Numbers.
DISPOSITION: Temporary. Cut off upon the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later. Destroy 6 years after cutoff.
AUTHORITY: GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)
PRIVACY ACT: DGC16

FILE NUMBER: 202-81
FILE TITLE: Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files
FILE DESCRIPTION: Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, Notification of Conflict of Interest Referral.
DISPOSITION: Temporary. Cut off after final disposition of referral to either Department of Justice or to the Inspector General (IG). Destroy 6 years after cutoff.
AUTHORITY: GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)
PRIVACY ACT: DGC16

FILE NUMBER: 202-82
FILE TITLE: Political Appointment (Schedule C Records) – Appointees
FILE DESCRIPTION: Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401) in cases where the individual was appointed to the position. These files include:

- Application for employment
- Resumes
- Individual's background information
- Security clearances
- Correspondence (such as referral letters, White House clearance letters, OPM certifications, and other correspondence relating to the selection and appointment of political appointees)
- Other documentation (such as SFs 171 or position descriptions) relating to the selection, clearance, and appointment of political appointees.

NOTE: Ethic pledges and waivers of appointees must be filed in the appointee's Official Personnel File (OPF) or electronic OPF (eOPF), per Executive Order 13490.
EXCLUSION: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item (Use 212-03 for these items).
DISPOSITION: Temporary. Cut off and destroy at the end of the presidential administration during which the individual is hired, or at separation, whichever best meets business use needs.
AUTHORITY: GRS 2.1, item 100 (DAA-GRS-2014-0002-0014)
PRIVACY ACT: DATSD 03 and DGC 16
FORMER FILE NUMBER(s): 406

FILE NUMBER: 202-83
FILE TITLE: Political Appointment (Schedule C Records) – Non-Appointees

FILE DESCRIPTION: Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401) in cases of non-appointment. These files include:

- Application for employment
- Resumes
- Individual's background information
- Security clearances
- Correspondence (such as referral letters, White House clearance letters, OPM certifications, and other correspondence relating to the selection and appointment of political appointees)
- Other documentation (such as SFs 171 or position descriptions) relating to the selection, clearance, and appointment of political appointees.

DISPOSITION: Temporary. Cut off after consideration of the candidate ends. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.1, item 102 (DAA-GRS-2014-0002-0015)
PRIVACY ACT: DATSD 03 and DGC 16

FILE NUMBER: 202-84
FILE TITLE: Pre-Appointment Files – Security Clearance and Sensitive Positions
FILE DESCRIPTION: Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty where the records is documenting background investigation or vetting to determine eligibility for security clearance and sensitive positions. This includes forms in the SF-85 family, finger print charts, and related correspondence.
DISPOSITION: Temporary. Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.
AUTHORITY: GRS 2.1, item 140
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-85
FILE TITLE: Pre-Appointment Files – Appropriate for Inclusion in the OPF (for employees who enter on duty)
FILE DESCRIPTION: Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty that are appropriate for inclusion in the Official Personnel File (OPF), such as designation of beneficiary, life insurance election, and health benefits registration pertaining to prospective employees who enter on duty, in cases where the prospective employee DOES enter on duty.
DISPOSITION: Temporary. Forward to appropriate human resources (HR) office to include in the OPF after employee enters on duty.
AUTHORITY: GRS 2.1, item 141
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-86
FILE TITLE: Pre-Appointment Files – Appropriate for Inclusion in the OPF (for employees who do not enter on duty)
FILE DESCRIPTION Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty that are appropriate for inclusion in the Official Personnel File (OPF), such as designation of beneficiary, life insurance election, and health benefits

registration pertaining to prospective employees who enter on duty, in cases where the prospective employee DOES NOT enter on duty.
DISPOSITION: Temporary. Cut off when prospective employee is no longer considered a candidate. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.1, item 142 (DAA-GRS-2014-0002-0009)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-87
FILE TITLE: Pre-Appointment Files – Job Vacancy Copies
FILE DESCRIPTION: Records created when vetting a prospective employee between the time a job offer is accepted and the time when employee enters on duty in which the records are copies of records included in the Job Vacancy case file (See 202-08.1 and 202-08.2 for file series concerning Job Vacancy Case Files).
DISPOSITION: Temporary. Cut off and destroy when prospective employee enters on duty, declines appointment, or is no longer a candidate.
AUTHORITY: GRS 2.1, item 143 (DAA-GRS-2014-0002-0010)
PRIVACY ACT: OPM/GOVT-1

FILE NUMBER: 202-88
FILE TITLE: Vaccination Attestation and Proof of Vaccination Records – Federal Employees and Contractors
FILE DESCRIPTION: Records attesting to an individual's current vaccination status and providing proof or certification of vaccination that are related to federal employees and contractors of the Agency collecting the records (see 202-89 for visitor attestation/proof of vaccination records).
DISPOSITION: Temporary. Cut off in the year collected. Destroy 3 years after cutoff. NOTE: If these records are filed within occupational health file records, use the disposition authority for occupational health files (202-26.2 through 202-26.4) instead.
AUTHORITY: GRS 2.7, item 063 (DAA-GRS-2021-0003-0001)
PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-89
FILE TITLE: Vaccination Attestation and Proof of Vaccination Records – Visitors
FILE DESCRIPTION: Records attesting to an individual's current vaccination status and providing proof or certification of vaccination that are related to visitors (even if federal employees of contractors from another Agency).
DISPOSITION: Temporary. Cut off in the month collected. Destroy 30 days after cutoff.
AUTHORITY: GRS 2.7, item 064 (DAA-GRS-2021-0003-0002)
PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-90
FILE TITLE: Symptom Screening and Testing Records – Federal Employees
FILE DESCRIPTION: Records Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected from federal employees of the agency collecting the records. Includes:

- Symptom check/screening data
- Testing records/results

DISPOSITION: Temporary. Cut off in the year collected. Destroy 1 year after cutoff.

AUTHORITY: GRS 2.7, item 065 (DAA-GRS-2021-0003-0003)
PRIVACY ACT: OPM/GOVT-10

FILE NUMBER: 202-90
FILE TITLE: Symptom Screening and Testing Records – Contractors and Visitors (including any Federal Employees who are visiting the Agency)
FILE DESCRIPTION: Records Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected from visitors (including federal employees not affiliated with the agency collecting the records) or Contractors (whether affiliated with the Agency collecting records or not). Includes:

- Symptom check/screening data
- Testing records/results

DISPOSITION: Temporary. Cut off in the month collected. Destroy 30 days after cutoff.
AUTHORITY: GRS 2.7, item 066 (DAA-GRS-2021-0003-0004)
PRIVACY ACT: OPM/GOVT-10

RECORDS CATEGORY: 203
CATEGORY TITLE: Information Management Files
CATEGORY DESCRIPTION: These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use, and disposition of OSD records as well as access to information (FOIA, Privacy Act, Pre-publication Reviews, and Declassification) activities.

FILE NUMBER: 203-01
FILE TITLE: Records Management Program Records
FILE DESCRIPTION: Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:

- Providing oversight of entire records management program
- Transferring, destroying, and retrieving records
- Inventorying records and conducting records surveys
- Scheduling records
- Providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions)
- Conducting records "clean out" days
- Conducting special projects

Records include:

- Agency records management program surveys or evaluations
- Reports of surveys or evaluations
- Reports of corrective action taken in response to agency program surveys or evaluations
- Disposal authorizations, schedules, and reports

- Records schedules, legacy records schedules (SF 115, ERA print-outs, Request for Records Disposition Authority, and related studies, coordination actions, archival appraisals, and approvals or disapprovals.)
- SF 135, Records Transmittal and Receipt
- OF 11, Reference Request
- Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to NARA of the United States

DISPOSITION: Temporary. Cut off after the project, activity, or transaction is completed or superseded. Destroy 6 years after cutoff.
AUTHORITY: GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 101-05b, 203-01a, 203-01b, 203-02.1, 203-04, 203-05b, 203-08, 203-09a, 203-09b, 203-09b, 203-17

FILE NUMBER: 203-01a – Consolidated into 203-01
FILE NUMBER: 203-01b – Consolidated into 203-01
FILE NUMBER: 203-02.1 – Consolidated under 203-01

FILE NUMBER: 203-02
FILE TITLE: Access and Disclosure Request Files
FILE DESCRIPTION: Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by

- Granting the request in full
- Granting the request in part
- Denying the request for any reason including:
    - Inability to fulfill request because records do not exist
    - Inability to fulfill request because request inadequately describes records
    - Inability to fulfill request because search or reproduction fees are not paid
- Final adjudication on appeal to any of the above original settlements
- Final agency action in response to court remand on appeal

Includes:

- Requests (either first-party or third-party)
- Replies
- Copies of requested records
- Administrative appeals
- Related supporting documents (such as sanitizing instructions)

NOTE: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this File Number for disposition. MDR case files managed by the Records and Declassification Division are covered by 203-11.2.
NOTE: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.
DISPOSITION. Temporary. Cut off and destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.
AUTHORITY: GRS 4.2, Item 020 DAA-GRS-2016-0002-0001
PRIVACY ACT: FOIA – DWHS E02; PA – DWHS E04; MDR – DWHS E05

FORMER FILE NUMBER(s): 203-03.2, 704-02.1a, 704-02.1b, 704-02.5, 704-03.1.1, 704-03.1.2a, 704-03.1.2b, 704-03.1.3a, 704-03.1.3b, 704-04.1a, 704-04.1b, 704-02.2, 704-04.3

FILE NUMBER: 203-03
FILE TITLE: Access to Information Files – Procedures, Restrictions and Conditions
FILE DESCRIPTION: Documents on the formulation of DoD procedures, 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 by the Offices responsible for formulating OSD concept. Included are case files with requests, basic interpretations, decisions precedents, studies, and related or similar papers.
DISPOSITION: Permanent. Cut off after close of case file. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 203-03a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 203-03.1

FILE NUMBER: 203-03.1 – Consolidated into 203-03
FILE NUMBER: 203-03.2 – Consolidated into 203-02
FILE NUMBER: 203-04 – Consolidated into 203-01

FILE NUMBER: 203-05
FILE TITLE: Tracking and Control Records
FILE DESCRIPTION: Records used to provide access to and control of records authorized for destruction by the GRS or a NARA - approved records schedule. Includes:

- Indexes
- Lists
- Registers
- Inventories
- Logs

Exclusion 1: This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.
Exclusion 2: This authority does not apply to tracking and control records related to records scheduled as permanent.
DISPOSITION: Temporary. Cut off and destroy when no longer needed. **NOTE:** for the OSD Records Administrator, no longer needed is defined as Keep hardcopy version of OSD offices' submissions until converted to electronic medium, then destroy. Purge database when no longer needed for reference.
AUTHORITY: GRS 4.1, item 010 (DAA-GRS-2013-0002-0007)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 203-05a, 206-08.2.1.3, 1601-10

FILE NUMBER: 203-05a – Consolidated into 203-05
FILE NUMBER: 203-05b – Consolidated into 203-01

FILE NUMBER: 203-06
FILE TITLE: Erroneous Release Files – Records filed with the Recordkeeping Copy of the Erroneously Released Records

FILE DESCRIPTION: Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy in cases when the record-keeping copy of the released records is interfiled with records of the erroneous release. Includes

- Requests for information,
- Copies of replies thereto
- All related supporting documents
- Official copy of records requested or copies thereof.

DISPOSITION. Temporary. Cut off after erroneous release. Follow the disposition instructions approved for the released record copy or destroy 6 years after cutoff, whichever is later.
AUTHORITY: GRS 4.2, Item 060 (DAA-GRS-2015-0002-0001)
PRIVACY ACT: DWHS E04

FILE NUMBER: 203-07
FILE TITLE: Erroneous Release Files – Records filed Separately from the Recordkeeping Copy of the Released Records
FILE DESCRIPTION: Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy that do not include the recordkeeping copy of the released records. Includes:

- Requests for Information
- Copies of Replies
- All related supporting documents

DISPOSITION. Temporary. Cut off after erroneous release. Destroy 6 years after cutoff.
AUTHORITY: GRS 4.2, Item 061 (DAA-GRS-2015-0002-0002)
PRIVACY ACT: DWHS E04

FILE NUMBER: 203-08 – Consolidated into 203-01
FILE NUMBER: 203-09a – Consolidated into 203-01
FILE NUMBER: 203-09b – Consolidated into 203-01

FILE NUMBER: 203-09.1
FILE TITLE: DoD Components Breach Reports
FILE DESCRIPTION: Breach Reports document the unauthorized, unintentional or purposeful acquisition, access, use, or disclosure of protected Information which compromises the security or privacy of such information. Reports Include but are not limited to the DoD component, name of POC, and type of Incident (equipment, email, hardcopy etc.) number of personnel affected, description of event/incident, incident category, component risk analysis and decisions made regarding notifications affected to individuals, other remedies, resolutions and analysis.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2013-0002-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-09.2
FILE TITLE: Defense Privacy and Civil Liberties Breach Reports
FILE DESCRIPTION: Case Files consist of breach Reports submitted to the Defense Privacy and Civil Liberties Office (DPCLO) by DoD Components. Files may include, but are not limited to, component current

and updated breach reports, documents on trend analysis, incident reporting and tracking, component risk analysis and decisions, and information related to individual notifications, other remedies, resolutions and analysis. The DPCLO is responsible for consolidating the breach reports for the Department of Defense.
DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.
AUTHORITY: DAA-0330-2013-0002-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-09.3
FILE TITLE: OSD/Joint Staff (JS) Privacy Office Privacy Breach Case Files
FILE DESCRIPTION: Case files consist of reports submitted to the OSD/JS Privacy Office, by OSD Components, the Joint Staff, Defense Agencies and Field Activities. Files may include but are not limited to documents on trend analysis, incident reporting and tracking Incident category, component risk analysis and decisions.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2013-0002-0003
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-10.1
FILE TITLE: Privacy Act Accounting of Disclosure Files
Files maintained under the provision of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:

- Forms with the subject individual's name
- Records of the requester's name and address
- Explanations of the purpose for the request
- Date of disclosure
- Proof of subject individual's consent

DISPOSITION: Temporary. Cut off annually. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure that the accountability was made, whichever is later.
AUTHORITY: GRS 4.2, Item 050 (NC1-64-77-1 item 27)
PRIVACY ACT: DWHS E04
FORMER FILE NUMBER: 704-07

FILE NUMBER: 203-10.2
FILE TITLE: Privacy Act Amendment Request Files
FILE DESCRIPTION: Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. 552a(d)(2); to the individual's request for review of an Agency's refusal to amend a record under 5 U.S.C. 552a(d)(3), and to any civil action or appeal brought by the individual against the refusing Agency under 5 U.S.C. 552a(g) Includes:

- Request to amend and to review refusal to amend
- Copies of Agency's replies
- Statement of disagreement
- Agency justification for refusal to amend a record

- Appeals
- Related materials

DISPOSITION: Temporary. Cut off and destroy with the records for which amendment was requested or 4 years after close of case (final determination by Agency or final adjudication, whichever applies), whichever is later.
AUTHORITY: GRS 4.2, Item 090 (DAA-GRS-2013-0007-0007)
PRIVACY ACT: DWHS E04
FORMER FILE NUMBER(s): 203-10.2.1, 203-10.2.2, 203-10.2.3, 704-06.1, 704-06.2, and 704-06.3

FILE NUMBER: 203-10.2.1 – Consolidated into 203-10.2
FILE NUMBER: 203-10.2.2 – Consolidated into 203-10.2
FILE NUMBER: 203-10.2.3 – Consolidated into 203-10.2
FILE NUMBER: 203-10.3 – Consolidated into 203-19
FILE NUMBER: 203-10.4 – Consolidated into 203-20

FILE NUMBER: 203-11
FILE TITLE: Declassification Program Management/Oversight Files
FILE DESCRIPTION: Documents and correspondence pertaining to managing the OSD declassification program. Correspondence pertaining to declassification from in and out of the Department of Defense. Includes declassification project program project files, reports to ISOO and other material related to the management of the program.
DISPOSITION: Temporary. Cut off annually after last entry or completion of project. Destroy 10 years after cutoff.
AUTHORITY: NC1-330-77-004, item 203-11
PRIVACY ACT: Not applicable

FILE NUMBER: 203-12 – RESCINDED

FILE NUMBER: 203-13.1
FILE TITLE: Automatic and Systematic Declassification Review Program Records
FILE DESCRIPTION: Files relating to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.
DISPOSITION: Temporary. Cut off upon completion of review. Destroy after conducting next review or when subject records are transferred to NARA.
AUTHORITY: GRS 4.2, Item 100 (DAA-GRS-2020-0002-0001)
PRIVACY ACT: Not applicable

FILE NUMBER: 203-13.2
FILE TITLE: Fundamental Classification Guidance Review Files
FILE DESCRIPTION: Reports, significant correspondence, drafts, received comments, and related materials responding to "fundamental classification guidance review" as required by Executive Order 13526 Section 1.9.

DISPOSITION: Temporary. Cut off annually after report is submitted to NARA's Information Security Oversight Office (ISOO). Destroy 5 years after cutoff.
AUTHORITY: GRS 4.2, item 110 (DAA-GRS-2013-0007-0011)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 101-19

FILE NUMBER: 203-14.1
FILE TITLE: Vital Records Program Policy Files
FILE DESCRIPTION: Correspondence, directives, and policy (but not vital records inventories.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA when 20 years old.
AUTHORITY: NC1-330-77-004, item 203-14
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 201-14a

FILE NUMBER: 203-14.2
FILE TITLE: Vital or Essential Records Program Records
FILE DESCRIPTION: Records involved in planning, operating, and managing the agency's vital or essential records program. Includes:

- Vital records inventories
- Vital records cycling plans
- Results of tests, surveys, or evaluations
- Reports of corrective action taken in response to agency vital records tests

DISPOSITION: Temporary. Cut off after project, activity, or transaction is completed or superseded. Destroy 3 years after cutoff.
AUTHORITY: GRS 4.1, item 030 (DAA-GRS-2013-0002-0008)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 203-14b

FILE NUMBER: 203-14.3
FILE TITLE: Copies of Vital Records
FILE DESCRIPTION: Copies of agency records deemed essential to restore agency functions in case of emergency.
DISPOSITION: Temporary. Cut off and destroy when superseded by the next cycle.
AUTHORITY: GRS 4.1, item 031 (DAA-GRS-2013-0002-0015)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-15 – RESCINDED
FILE NUMBER: 203-16 – RESCINDED
FILE NUMBER: 203-17 – Consolidated into 203-01

FILE NUMBER: 203-18
FILE TITLE: Health Insurance Portability and Accountability Act (HIPAA) Records
FILE DESCRIPTION: Records documenting authorizations, disclosures, access, complaints, amendments to, and control of protected health information, and HIPAA training and refresher training logs and training compliance reports including but not limited to:

- Authorizations from individuals for uses and disclosures of their protected health information, including disclosure reports maintained in the Protected Health Information Management Tool (PHIMT) electronic information system;
- Original requests for protected health information, copies of contractor responses, and all related supporting documentation;
- Information that provides an accurate accounting of the date, nature, and purpose of each protected health information (PHI) disclosure, including documents that show the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent, when applicable;
- Letters of complaint, contractor's response, and other supporting documentation
- Requests for amendment, contractor's agreement to amend or agreement not to amend records, and all supporting documentation;
- Logs which track HIPAA requests; and
- HIPAA birth month and refresher training completion logs of MHS personnel and contractors, HIPAA birth month and refresher training completion logs commensurate with individual's position and training compliance reports, including records maintained in the Military Health System (MHS) Learn electronic information system.

DISPOSITION: Temporary. Cut off (Close out) at end of the calendar year. Destroy 6 years after cutoff.
AUTHORITY: DAA-0330-2012-0005-0001
PRIVACY ACT: DWHS E04

FILE NUMBER: 203-19
FILE TITLE: Agency Reports to Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and Similar Access and Disclosure Programs
FILE DESCRIPTION: Recurring reports and one-time information requirements relating to Agency implementation, including annual reports to the Congress of the United States, OMB, and the Report on New Systems. Annual reports at Departmental or Agency level.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: GRS 4.2, Item 070 (DAA-GRS-2013-0007-0006)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 203-10.3, 704-02.4, 704-09

FILE NUMBER: 203-20
FILE TITLE: FOIA, Privacy Act, and Classified Documents Administrative Records
FILE DESCRIPTION: Records on managing information access and protection activities, excluding records documenting policies and procedures accumulated in offices having agency -wide responsibilities for FOIA, Privacy Act, and classified documents. Records include:

- Correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classification
- Associated subject files
- Feeder and statistical reports

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 4.2, item 001 (DAA-GRS-2019-0001-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 203-10.4, 209-01, 704-10

FILE NUMBER: 203-21
FILE TITLE: Accounting for and Controlling Access to Records Requested under FOIA, PA, and MDR
FILE DESCRIPTION: Records documenting identity of, and internal routing, control points, accountability for information to which access has been requested. Includes:

- Forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request
- Inventories
- Forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data
- Agent and researcher files

DISPOSITION: Temporary. Cut off and destroy 5 years after date of last entry, final action by Agency as appropriate.
AUTHORITY: GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 209-05.1, 209-05.2, 704-08.1, 704-08.2

FILE NUMBER: 203-22
FILE TITLE: Virtual Public Access Reading Room Records
FILE DESCRIPTION: Records published by an Agency online to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying.
Includes:

- Final concurring and dissenting opinions and orders agencies issue when adjudicating cases
- Statements of policy and interpretations the Agency adopts but does not publish in the Federal Register
- Administrative staff manuals and instructions to staff that affect a member of the public
- Copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times
- Indexes of agency major information systems
- Descriptions of agency major information and record locator systems
- Handbooks for obtaining various types and categories of agency public information

Exclusion: This file number pertains only to copies of records an Agency publishes online for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it.
NOTE: Not media neutral. Applies to electronic records only.
DISPOSITION: Temporary. Cut off and destroy when no longer needed.
AUTHORITY: GRS 4.2, item 180 (DAA-GRS-2016-0008-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-23
FILE TITLE: Security Review Initial Files
FILE DESCRIPTION: Security review of information from within the Department of Defense or outside sources intended for dissemination through any media of public release to ensure that it is not inimical to national defense, or in conflict with established policies or programs. Records relate to staffing comments

on approval or disapproval of material prepared for public release, including material establishing policies, standards, and criteria for clearance of material, excluding records intended for clearance.
DISPOSITION: Temporary. Cut off annually. Destroy 15 years after cutoff.
AUTHORITY: NC1-330-79-008, item 704-01a
PRIVACY ACT: DWHS E03
FORMER FILE NUMBER: 704-01.1

FILE NUMBER: 203-24
FILE TITLE: Security Review – Cleared Files
FILE DESCRIPTION: Duplicate copies of cleared records.
DISPOSITION: Temporary. Cut off and destroy with the case files.
AUTHORITY: NC1-330-79-008, item 704-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 704-01.2

FILE NUMBER: 203-25
FILE TITLE: Security Review Appeals Files – Clearance Without Amendment
FILE DESCRIPTION: Files consisting of the appellant's letter of appellant's letter of appeal, a copy of the reply letter sent to the requester, and records that support the appellant decision, excluding the records subject to the appeal in cases where the files were cleared without amendment.
DISPOSITION: Temporary. Cut off on close of case. Destroy 2 years after clearance without amendment.
AUTHORITY: NC1-330-79-008, item 704-01
PRIVACY ACT: DWHS E03
FORMER FILE NUMBER: 704-01.3

FILE NUMBER: 203-26
FILE TITLE: Security Review Appeals Files – Clearance With Amendment or Denial
FILE DESCRIPTION: Files consisting of the appellant's letter of appellant's letter of appeal, a copy of the reply letter sent to the requester, and records that support the appellant decision, excluding the records subject to the appeal in cases where the files were cleared but with amendment(s) or files were denied.
DISPOSITION: Temporary. Cut off on close of case. Destroy 6 years after record was cleared with amendment, or denied clearance.
AUTHORITY: NC1-330-79-008, item 704-01
PRIVACY ACT: DWHS E03
FORMER FILE NUMBER: 704-01.3

FILE NUMBER: 203-27
FILE TITLE: Security Review – Appealed File
FILE DESCRIPTION: Duplicate copies of appealed records.
DISPOSITION: Temporary. Cut off and destroy records with case files.
AUTHORITY: NC1-330-79-008, item 704-01
PRIVACY ACT: DWHS E03
FORMER FILE NUMBER: 704-01.4

FILE NUMBER: 203-28
FILE TITLE: Privacy Impact Assessments

FILE DESCRIPTION: Records of Privacy Impact Assessments (PIAs), which document whether certain privacy and data security laws, regulations, and Agency policies are required; how the Agency collects, uses, shared, and maintains Personally Identifiable Information (PII); and incorporation of privacy protections into record systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 USC 552a), and other applicable privacy laws, regulations and Agency policies. Includes significant background material documenting formulation of final products.
DISPOSITION: Temporary. Cut off after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public. Destroy 3 years after cutoff.
AUTHORITY: GRS 4.2, item 161 (DAA-GRS-2016-0003-0004)
PRIVACY ACT: DWHS E04

FILE NUMBER: 203-29
FILE TITLE: Privacy Act System of Records Notices (SORNs)
FILE DESCRIPTION: Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the Agency establishes or revises the system, per the Privacy Act of 1974 (5 USC 552a(e) (4) and 5 USC 552a(e) (11), as amended. Also includes significant material documenting SORN formulation, other than Privacy Impact Assessment (PIA) records (See File Number 203-26).
DISPOSITION: Temporary. Cut off after supersession by a revised SORN or after system ceases operation. Destroy 2 years after cutoff.
AUTHORITY: GRS 4.2, item 150 (DAA-GRS-2016-0003-0002)
PRIVACY ACT: Not applicable

FILE NUMBER: 203-30
FILE TITLE: Privacy Complaints Files
FILE DESCRIPTION: Records of privacy complaints (and responses) agencies receive in these categories:

- Process and procedural (consent, collection, and appropriate notice)
- Redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act)
- Operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction)
- Complaints referred to another organization

DISPOSITION: Temporary. Cut off upon resolution or referral. Destroy 3 years after cutoff.
AUTHORITY: GRS 4.2, item 065 (DAA-GRS-2019-0001-0004)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-31
FILE TITLE: Validation Records for Digitized Temporary Records
FILE DESCRIPTION: Records used to document (validate) that the digitized versions of temporary records are of suitable quality to replace original source records. Includes, but is not limited to:

- Standards and procedures records used to document that the agency has met validation process requirements, such as:
    - Quality management plans describing quality assurance objectives
    - Quality control (QC) protocols
    - Format-specific instructions
- Records documenting validation actions, such as:

- Equipment calibration and test reports
- Image quality testing results
- QC plans, procedures, and reports

NOTE: This file number applies ONLY to temporary records (i.e., this does not apply to permanent records). The temporary records that were digitized must still be retained/dispositioned in accordance with the requirements specified in its applicable file number.
DISPOSITION: Temporary. Cut off and destroy the validation documentation when the temporary records digitized using that validation process are destroyed.
AUTHORITY: GRS 4.1, item 050 (DAA-GRS-2019-0003-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-32
FILE TITLE: Personally Identifiable Information (PII) Extracts
FILE DESCRIPTION: System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.
DISPOSITION: Temporary. Cut off when extracted. Destroy 90 days after cutoff.
AUTHORITY: GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-33
FILE TITLE: Controlled Unclassified Information (CUI) Program Implementation Records
FILE DESCRIPTION: Records of overall program management. Includes:

- Records documenting the process of planning policy and procedures
- Agency submissions to the CUI Executive Agent of authorities (laws, Federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to designate unclassified information as CUI
- Agency submissions to the CUI Executive Agent of proposed laws, Federal regulations, or Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI
- Correspondence with CUI Executive Agent

Exclusion 1: CUI directives and formal policy documents are covered under file number 103-01.1.
Exclusion 2: Records of CUI self-inspections are covered under file number 201-07.2 (GRS 5.7, item 020).
Exclusion 3: Records of annual program reports to the CUI Executive Agent are covered under file number 214-08 (GRS 5.7, item 050).
DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.
AUTHORITY: GRS 4.2, item 190 (DAA-GRS-2019-0001-0005)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-34
FILE TITLE: Controlled Unclassified Information (CUI) Information Sharing Agreements
FILE DESCRIPTION: Agreements in which agencies agree to share CUI with non-executive branch entities (e.g., state and local police) and foreign entities that agree to protect the CUI.
DISPOSITION: Temporary. Cut off when agreement is superseded or terminated. Destroy 7 years after cutoff.
AUTHORITY: GRS 4.2, item 191 (DAA-GRS-2019-0001-0006)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-35
FILE TITLE: Records of Waivers of Controlled Unclassified Information (CUI) Requirements
FILE DESCRIPTION: Description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the CUI covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.
DISPOSITION: Temporary. Cut off and destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable.
AUTHORITY: GRS 4.2, item 192 (DAA-GRS-2019-0001-0007)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-36
FILE TITLE: Records of Requests for Decontrol and Challenges to Controlled Unclassified Information (CUI) Designations
FILE DESCRIPTION: Requests to decontrol CUI or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.
DISPOSITION: Temporary. Cut off after decision whether or not to change in CUI status. Destroy 7 years after cutoff.
NOTE: If these records are filed with the recordkeeping copy of the CUI marked records, then they should be retained and dispositioned in accordance with the disposition instructions for the CUI marked records.
AUTHORITY: GRS 4.2, item 194 (DAA-GRS-2019-0001-0008)
PRIVACY ACT: Not Applicable

FILE NUMBER: 203-37
FILE TITLE: Records of Controlled Unclassified Information (CUI) Misuse
FILE DESCRIPTION: Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions.
Exclusion: If the investigations is assigned to the DoD Inspector General (IG), the agency schedule for IG records covers the records created in the IG office.
DISPOSITION: Temporary. Cut off after completing the investigation or completing all corrective actions, whichever is later. Destroy 5 years after cutoff.
AUTHORITY: GRS 4.2, item 195 (DAA-GRS-2019-0001-0009)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 204
CATEGORY TITLE: Space Management and Service Files
CATEGORY DESCRIPTION: Acquisition, allocation, and utilization of space and office services including related correspondence.

FILE NUMBER: 204-01
FILE TITLE: Facility, Space, Vehicle, Equipment, Stock, and Supply Administrative and Operational Records
FILE DESCRIPTION: Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:

- Statistical and narrative reports
- Studies

- Request for space using Standard Form 81 or equivalent
- Space assignment and directories
- Inventories of property, equipment, furnishings, stock, and supplies
- Reports of survey regarding lost, damaged, missing or destroyed property
- Requisitions for supplies and equipment (excluding records of supply and property procurement, which is covered by File Number 206-09.1)
- Records tracking supply and procurement requirements
- Records scheduling and dispatching vehicles, monitoring use, and reporting use
- Related correspondence

DISPOSITION: Temporary. Cut off annually or when superseded (as appropriate). Destroy 3 years after cutoff.
AUTHORITY: GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-16, 101-17, 101-21, 201-16, 204-01a, 204-01b, 204-01c, 204-01d, 208-05.1, 208-05.2, 208-09.1, 208-09.2, 208-10.1, 208-10.2, 208-10.3, 208-15.1, 208-15.2, 208-15.3, 218-01, 218-04, 1201-09.5.1, 1201-09.5.2, 1201-15a, 1201-15b, 1201-15c, 1201-15d, 1201-15e, 1906-03, 1906-04.2, 1906-08, 1906-10, 1906-11, 1906-12, 1906-13a, 1906-13b, 1906-14, 1906-15, 1906-16, 1906-19, 1910-09, 1910-10, 1910-17, 1911-05, 1912-06, 1915-01, 1915-04.1, 1915-04.2, 1915-04.3

FILE NUMBER: 204-01a – Consolidated into 204-01
FILE NUMBER: 204-01b – Consolidated into 204-01
FILE NUMBER: 204-01c – Consolidated into 204-01
FILE NUMBER: 204-01d – Consolidated into 204-01

FILE NUMBER: 204-02
FILE TITLE: Duty Hours Coordination Files
FILE NUMBER: Documents on duty hours of principal DoD Components in the Pentagon; guard and custodial services, and related correspondence.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-004, item 204-02
PRIVACY ACT: Not applicable

FILE NUMBER: 204-03 – Consolidated into 103-02.3

FILE NUMBER: 204-03.1
FILE TITLE: Key and Card Access Accountability Records – Level V Facilities/Highest Level Security Awareness
FILE DESCRIPTION: Records accounting for keys and electronic access cards for areas requiring highest level security awareness, including areas designated by the Interagency Security Committee as Facility Security Level V.
DISPOSITION: Cut off after return of key. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.6, item 020 (DAA-GRS-2017-0006-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-03.2

FILE TITLE: Key and Card Access Accountability Records – Level I-IV Facilities/All Other Security Awareness
FILE DESCRIPTION: Records accounting for keys and electronic access cards for designated by the Interagency Security Committee as Facility Security Levels I through IV.
DISPOSITION: Cut off after return of key. Destroy 6 months after cutoff.
AUTHORITY: GRS 5.6, item 021 (DAA-GRS-2017-0006-0003)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-04
FILE TITLE: Facility Design, Engineering and Construction Operations Records
FILE DESCRIPTION: Records documenting operational support of facility design, engineering, and construction projects. Includes:

- Project requests and approvals
- Meeting agendas, minutes, and other records
- Budget and cost working files
- Task, punch, and action item lists
- Work logs
- Progress reports and presentation materials
- Related correspondence and notes

DISPOSITION: Temporary. Cut off after project completion or termination of assignment. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.4, Item 060 (DAA-GRS-2016-0011-0007)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-05
FILE TITLE: OSD Liaison Files
FILE DESCRIPTION: Documents on liaison with the GSA and other Federal Agencies on the subject of space management.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-004, item 204-05
PRIVACY ACT: Not applicable

FILE NUMBER: 204-06
FILE TITLE: Concession Operations Files
FILE DESCRIPTION: Documents on correspondence with various concessions operations. Leases and other agreements on use and operations.
DISPOSITION: Temporary. Cut off when new agreement reached or concessionaire relocates. Destroy 7 years after cutoff.
AUTHORITY: NC1-330-77-004, item 204-06
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 204-06, 211-03.2, 211-03.3

FILE NUMBER: 204-07.1
FILE TITLE: Property Pass Files

FILE DESCRIPTION: Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.
DISPOSITION: Temporary. Cut off upon expiration or revocation. Destroy 3 months after cutoff.
AUTHORITY: GRS 5.6, item 040 (DAA-GRS-2017-0006-0005)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-07.2
FILE TITLE: Personal Identification Credentials and Cards – Applications and Activation Records
DESCRIPTION: Applications and supporting documentation, such as chain-of-trust records, for identification credentials, i.e., records about credential badges (such as Smart Cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials. Includes:

- Application for identification card
- Log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected
- Lost or stolen credential documentation or police report

NOTE 1: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.
NOTE 2: Does not cover applications for access to Information systems (See 1600 series (GRS 3.2) for these types of records.
DISPOSITION: Temporary. Cut off at the end of an employee's or contractor's tenure. Destroy 6 years after cutoff.
AUTHORITY: GRS 5.6, item 120 (DAA-GRS-2021-0001-0005)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-08.1
FILE TITLE: Facility, Space and Equipment Inspection, Maintenance, and Service Records Tracking Completion of Custodial and Minor Repair Work
FILE DESCRIPTION: Records documenting custodial and minor repair work, including inspections, maintenance, service, and repair activities related to buildings, grounds, Federally owned and operated housing, equipment, and personal property tracking completion of custodial and minor repair work, excluding fiscal copies (Use File Number 206-09.1 for fiscal copies). Includes:

- Repair and maintenance work orders, requisitions, and related papers
- Maintenance and inspection logs and reports
- Job orders, service call records, action sheets, and repair logs
- Work, shop, or job schedules

NOTE: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.
DISPOSITION: Temporary. Cut off after work performed or requisitions canceled. Destroy 3 months after cutoff.
AUTHORITY: GRS 5.4, item 071 (DAA-GRS-2014-0011-0009)

PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 204-08, 208-16, 1911-02, 1911-03, 1911-07, 1911-08, 1912-10

FILE NUMBER: 204-08.2
FILE TITLE: Facility, Space and Equipment Inspection, Maintenance, and Service Records Tracking Completion of Facility Structure and Long-Term Maintenance
FILE DESCRIPTION: Records documenting facility structure and long-term maintenance work, including inspections, maintenance, service, and repair activities related to buildings, grounds, Federally owned and operated housing, equipment, and personal property tracking completion of custodial and minor repair work, excluding fiscal copies (Use File Number 206-09.1 for fiscal copies). Includes:

- Repair and maintenance work orders, requisitions, and related papers
- Maintenance and inspection logs and reports
- Job orders, service call records, action sheets, and repair logs
- Work, shop, or job schedules

NOTE: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.4, item 070 (DAA-GRS-2014-0011-0008)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-09
FILE TITLE: Excess Personal Property, Equipment, and Vehicle Records
FILE DESCRIPTION: Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:

- Excess property inventories and lists
- Lists and other records identifying approved receivers of excess property
- Donation receipts
- Destruction certificates
- Documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle
- Related correspondence

Exclusion: Records documenting financial management of surplus property disposal by sale (Use File Number 206-09.1).
DISPOSITION: Temporary. Cut off Annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.4, item 040 (DAA-GRS-2014-0011-0004)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-09.1 – Consolidated into 206-09.1
FILE NUMBER: 204-09.2 – Consolidated into 206-09.1

FILE NUMBER: 204-10.1
FILE TITLE: Occupational Injury and Illness Program Records
FILE DESCRIPTION: Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations, excluding Workers' Compensation

(personnel injury compensation) records (which are covered under File Number 202-44 Employee Compensation and Benefits Records). Includes:

- Miscellaneous reports, annual summaries or reports to the Secretary of Labor
- Correspondence with internal Agency offices and Occupational Safety and Health Administration (OSHA)
- OSHA 300 Log
- OSHA 301 Incident Report
- OSHA 300A Summary or equivalent

DISPOSITION: Temporary. Cut off at the end of the calendar year; destroy 6 years after cut off.
AUTHORITY: GRS 2.7, item 020 (DAA-GRS-2017-0010-0002)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-10.2
FILE TITLE: Safety Data Sheets
FILE DESCRIPTION: These forms contain descriptions, chemical analyses, and other data (toxicological and health reports, disposal instructions, emergency first aid instructions, handling precautions, etc.) on substances and agents that are potential health and safety hazards in the workplace. Includes other specified records concerning the identity of a substance or agent.
NOTE 1: These records were formerly called Material Safety Data Sheets (MSDS).
Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under File Number 202-26.2.
DISPOSITION: Temporary. Cut off and destroy when business use ceases. **NOTE 2:** Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if "some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years." Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained
AUTHORITY: GRS 2.7, item 050 (DAA-GRS-2017-0010-0008)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-10.3
FILE TITLE: Workplace Environmental Monitoring and Exposure Records – OSHA-Regulated Substance Monitoring and Exposure Records
FILE DESCRIPTION: Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. Area/general occupational exposure records, including asbestos and industrial hygiene inspection reports and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.
DISPOSITION: Temporary. Cut off after monitoring is conducted. Destroy 30 years after cut off
AUTHORITY: GRS 2.7, item 040 (DAA-GRS-2017-0010-0004)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 204-10.3.1, 204-10.3.2, 204-10.4

FILE NUMBER: 204-10.3.1 – Consolidated into 204-10.3
FILE NUMBER: 204-10.3.2 – Consolidated into 204-10.3
FILE NUMBER: 204-10.4 – Consolidated into 204-10.3

FILE NUMBER: 204-10.5
FILE TITLE: Workplace Environmental Monitoring and Exposure Records – Occupational Noise Monitoring and Exposure Records
FILE DESCRIPTION: Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results for occupational noise monitoring and exposure records.
DISPOSITION: Temporary. Cut off after monitoring is conducted. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.7, item 041 (DAA-GRS-2017-0010-0005)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-10.6
FILE TITLE: Workplace Environmental Monitoring and Exposure Records – Lead (Pb), Coke Oven Emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic Monitoring and Exposure Records
FILE DESCRIPTION: Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results for lead (Pb), coke oven emissions, dibromochloropropane (DBC), acrylonitrile, and inorganic arsenic monitoring and exposure records.
DISPOSITION: Temporary. Cut off after monitoring is conducted. Destroy 40 years after cutoff.
AUTHORITY: GRS 2.7, item 042 (DAA-GRS-2017-0010-0006)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-11
FILE TITLE: Architectural Drawings Files
FILE DESCRIPTION: Architectural and Engineering as-built drawing files, preconstruction drawings, and specification documentation for major construction, renovation, repair and improvement projects on the Pentagon reservation and other facilities owned and operated by DoD. Includes material on the Bentley Project Wise Application. **NOTE:** These records document major renovations of the Pentagon, designs and construction documents of additional structures located on the Pentagon reservation, and other facilities owned and operated by the DoD.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff. Electronic records may be pre-accessioned in accordance with a NARA approved timetable.
AUTHORITY: N1-330-10-001, item 1
PRIVACY ACT: Not applicable

FILE NUMBER: 204-12
FILE TITLE: Facility Design, Engineering and Construction Records – Final and As-Built Drawings, Plans, and Designs; and all Other Records (Not Covered under File Number 204-13)
FILE DESCRIPTION: Architectural and engineering drawings and other design and construction records buildings or structures not critical to DoD mission, including office buildings, storage sheds, parking lots, maintenance shops and service structures. Includes:

- Site maps and surveys
- Plot plans

- Structural drawings
- Architectural renderings
- Electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings
- Exterior delivery of utilities drawings
- Materials plans and drawings
- Minor routine part drawings, such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, plates, struts, and beams
- Construction progress photographs
- Construction inspection reports
- Equipment location plans
- Paint plans and samples
- Furniture design and layout drawings and plans
- Space occupancy plan

NOTE: Use File number 204-11 for records associated with buildings deemed to be significant for historical, architectural, or technological reasons.
DISPOSITION: Temporary. Cut off and destroy when superseded or after the structure or object has been retired from service.
AUTHORITY: GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)
PRIVACY ACT: Not applicable

FILE NUMBER: 204-13
FILE TITLE: Facility Design, Engineering and Construction Records – Draft, Preliminary, Intermediate, Working, and Contract Negotiation Drawings
FILE DESCRIPTION: Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.
DISPOSITION: Temporary. Cut off and destroy when the final working/as-built drawings have been produced.
AUTHORITY: GRS 5.4, item 050 (DAA-GRS-2016-0011-0005)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 1915-02

FILE NUMBER: 204-14
FILE TITLE: Unclaimed Personal Property Records – Over $500
FILE DESCRIPTION: Records accounting for non-Government personally-owned property valued over $500 that is lost, abandoned, unclaimed or believed stolen on premises owned or leased by the Federal Government. Includes:

- Lost-and-found logs and release forms
- Loss statements
- Receipts
- Reports

DISPOSITION: Temporary. Cut off annually or after the date title to the property vests in the Government. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.6, item 060 (DAA-GRS-2017-0006-0007)
PRIVACY ACT: Not Specified

FILE NUMBER: 204-15
FILE TITLE: Unclaimed Personal Property Records – $500 or Less
FILE DESCRIPTION: Records accounting for non-Government personally-owned property valued $500 or less that is lost, abandoned, unclaimed or believed stolen on premises owned or leased by the Federal Government. Includes:

- Lost-and-found logs and release forms
- Loss statements
- Receipts
- Reports

DISPOSITION: Temporary. Cut off annually or after the property is found, whichever is earlier. Destroy 30 days after cutoff.
AUTHORITY: GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)
PRIVACY ACT: Not Specified

FILE NUMBER: 204-16
FILE TITLE: Interagency Security Assessment Records
FILE DESCRIPTION: Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:

- Agendas
- Meeting minutes
- Best practice and standards documents
- Funding documents for security countermeasures

DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: GRS 5.6, item 070 (GRS-DAA-2017-0006-0009)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-17
FILE TITLE: Facility Security Assessment Records – Areas Requiring Highest Level Security Awareness
FILE DESCRIPTION: Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies for areas requiring highest level security awareness (Areas designated by the Interagency Security Committee as Facility Security Level V). Includes:

- Facility notes
- Inspector notes and reports
- Vulnerability assessments

DISPOSITION: Temporary. Cut off after updating the security assessment or terminating the security awareness status, whichever is sooner. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.6, item 080 (DAA-GRS-2017-0006-0010)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-18
FILE TITLE: Facility Security Assessment Records – All Other Areas

FILE DESCRIPTION: Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies for all other areas other than those requiring highest level security awareness (Areas designated by the Interagency Security Committee as Facility Security Level I-IV). Includes:

- Facility notes
- Inspector notes and reports
- Vulnerability assessments

DISPOSITION: Temporary. Cut off after updating the security assessment or terminating the security awareness status, whichever is sooner. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-19
FILE TITLE: Sensitive Compartmented Information Facility (SCIF) Accreditation Records
FILE DESCRIPTION: Physical security plans for SCIF construction, expansion, or modification. Includes:

- Initial Fixed Facility Checklist
- Pre-accreditation inspection report
- Construction Security Plan (CSP)
- TEMPEST Checklist

DISPOSITION: Temporary. Cut off and destroy when SCIF receives final accreditation.
AUTHORITY: GRS 5.6, item 140 (DAA-GRS-2017-0006-0019)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-20
FILE TITLE: Sensitive Compartmented Information Facility (SCIF) Inspection Records
FILE DESCRIPTION: Inspection records required by Intelligence Community Directive (ICD) 705. Includes:

- Fixed Facility Checklists
- Accreditation authorization documents
- Inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation
- Operating procedures
- Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters
- Memoranda of agreements (MOAs)
- Emergency Action Plans
- Copies of any waivers granted by the Cognizant Security Authority (CSA)
- Co-utilization approvals

DISPOSITION: Temporary. Cut off after completion of inspection. Destroy 5 years after cutoff or 1 year after de-accreditation of the facility, whichever is sooner.
AUTHORITY: GRS 5.6, item 150 (DAA-GRS-2017-0006-0020)
PRIVACY ACT: Not Applicable

FILE NUMBER: 204-21
FILE TITLE: Accident and Incident Records

FILE DESCRIPTION: Records documenting accidents and incidents occurring on, in, or at government-owned or leased facilities, vehicles (land, water, and air), and property used by federal agencies. Includes:

- Statements of witnesses
- Warning notices
- Records about arrents, commitments, and traffic violations
- Accident and incident reports
- Law enforcement agency requests for information

DISPOSITION: Temporary. Cut off and destroy after final investigation or reporting action, or when 3 years old, whichever is later

Exclusion 1: Records related to Pentagon Force Protection Agency enforcement and correctional activities are covered under Records Category 217.

Exclusion 2: Workers' compensation (personnel injury compensation) records – use 202-44 for these records.

Exclusion 3: Records of acidents or incidents in federal facilities involved in incarcerating or detaining individuals.

Exclusion 4: Records that vehicle management offices maintain about vehicle and vessel accidents-land, water, and air. Use 218-05 for these records.

AUTHORITY: GRS 5.6, item 100 (DAA-GRS-2021-0001-0004)

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 205

CATEGORY TITLE: Historical Files

CATEGORY DESCRIPTION: Documents on general policies and procedures governing development of historical data and special historical studies.

FILE NUMBER: 205-01

FILE TITLE: Historical Records and Reports File

FILE DESCRIPTION: Documents prepared by historians under the OSD historical program.

DISPOSITION: Permanent. Cut off when publication is final. Transfer to NARA when 20 years old.

AUTHORITY: NC1-330-77-004, item 205-01

PRIVACY ACT: Not applicable

FILE NUMBER: 205-02

FILE TITLE: Historical Research and Reference Files

FILE DESCRIPTION: Documents collected and maintained by historians in the preparation of histories, occasional studies, and reports.

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.

AUTHORITY: NC1-330-77-004, item 205-02

PRIVACY ACT: Not applicable

RECORDS CATEGORY: 206

CATEGORY TITLE: Budget and Finance

CATEGORY DESCRIPTION: Budget and apportionment records accumulated in an Agency in the course of formulating its budget for submission to the OMB and to the Congress; in defending its requests for funds

before both bodies; and after enactment of an appropriation bill; and ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the Agency by the OMB, usually in quarterly portions. The Agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the OSD, its own controls over the funds are in its expenditure accounting records, and detailed information relative to expenditures is contained in the accountable officer's account.

OSD budget records normally are created at all levels of organization. They show proposals from all operating levels as well as the OSD-wide coordinating work done by the budget office. Therefore, the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the OSD level.

The nature of the budget presentation itself is standardized by the OMB, which prescribes a format and procedures for all Federal Agencies. The budget submission, a record copy designated by the OSD, is a duplicate of the set of papers submitted to the OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements that highlight the principal features of the OSD requests and supporting documents. The narrative presents the policies and the programs of the Agency that the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements on each type of appropriation and fund under which OSD operates. Finally, OMB requires additional supporting data on objects of expenditure, particular Agency programs, and figures based on the cost of various types of service operations, such as personnel and payroll activities.

FILE NUMBER: 206-01 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 206-02
FILE TITLE: Budget Preparation Background Records
FILE DESCRIPTION: Preliminary budget estimates, justifications, cost statements, narrative statements, rough data and similar materials accumulated in the office responsible for preparing the Agency's budget proposal to the White House.
DISPOSITION: Temporary. Cut off at the close of the fiscal year to which the records relate. Destroy 2 years after cutoff.
AUTHORITY: GRS 1.3, item 040 (DAA-GRS-2015-0006-0005)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 206-02, 206-04.2, 206-05.3

FILE NUMBER: 206-03
FILE TITLE: Budget Administrations Records
FILE DESCRIPTION: Records documenting administration of budget office responsibilities. Includes:

- Correspondence relating to routine administration, internal procedures, and other day-to-day matters
- Records monitoring expenditures under approved budget allocations
- Records of financial controls maintenance
- Spreadsheets and databases tracking income, expenditures, and trends
- Work planning documentation

- Cost structure and accounting code lists
- Feeder and statistical reports
- Related correspondence

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.3, item 050 (DAA-GRS-2015-0006-0007)
PRIVACY ACT: Not applicable

FILE NUMBER: 206-04.1
FILE TITLE: Budget Estimates and Justification Files – Prior to 2017
FILE DESCRIPTION: Copies of budget estimates and justifications prepared or consolidated for the OSD and offices under the WHS for administrative support. Included are appropriation language sheets, narrative statements, and related schedules and data. **NOTE:** Use 206-04.3 for budgets formulated FY 2017 and forward.
DISPOSITION: Permanent. Cut off at the end of the fiscal year. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-004, item 206-04
PRIVACY ACT: Not applicable

FILE NUMBER: 206-04.2 – Consolidated into 206-02

FILE NUMBER: 206-04.3
FILE TITLE: Budget Formulation, Estimates, Justification, and Submission Records – Fiscal Year 2017 and Forward
FILE DESCRIPTION: Includes records such as:

- Guidance and briefing materials
- Agency or department copy of final submission to OMB and Congress
- Narrative statements justifying or defending estimates (sometimes called “Green Books”)
- Briefing books and exhibits
- Language sheets and schedules
- OMB and Congress pass-back responses and questions; agency appeals, responses, and answers
- Testimony at, and other agency records of, Congressional hearings
- Final settlement or approved appropriation

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff.
AUTHORITY: GRS 1.3, item 010 (DAA-GRS-2015-0006-0001)
PRIVACY ACT: Not applicable

FILE NUMBER: 206-05.1
FILE TITLE: Budget Reports – Full Fiscal Year Reports
FILE DESCRIPTION: Full fiscal year reports using Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent annual report (end of fiscal year) on the status of expenditures, appropriations, obligations, apportionments and outlays.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: GRS 1.3, item 030 (DAA-GRS-2015-0006-0003)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 502-01.4

FILE NUMBER: 206-05.2
FILE TITLE: Budget Reports – All Other Reports
FILE DESCRIPTION: Periodic status reports (other than the annual report) on the Agency's proposed rate of expenditures, appropriations, obligations, apportionments and outlays.
DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 2 years after cutoff.
AUTHORITY: GRS 1.3, item 031 (DAA-GRS-2015-0006-0004)
PRIVACY ACT: Not applicable
FILE NUMBER: 206-05.3 – Consolidated into 206-02

FILE NUMBER: 206-06
FILE TITLE: Financial Reports
FILE DESCRIPTION: Financial reports, recurring and one-time, on financial management.
DISPOSITION: Permanent. Cut off at the end of the fiscal year; transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 206-06a
PRIVACY ACT: Not applicable

FILE NUMBER: 206-07
FILE TITLE: Budget Execution Records
FILE DESCRIPTION: Records created and received in an office in the course of implementing and tracking an appropriation, excluding formal budget reports listed in 206-05.1 or 206-05.2. Includes:

- Allotment advice, revisions, and ceiling limitations
- Apportionments and reapportionments
- Obligations under each authorized appropriation
- Rescissions and deferrals
- Operating budgets
- Outlay plans
- Fund utilization records
- Fund reviews
- Workforce authorization and distribution
- Continuing resolution guidance
- Calculations
- Impact statements
- Carryover statements
- Related records

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff.
AUTHORITY: GRS 1.3, item 020 (DAA-GRS-2015-0007-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 206-07, 303-04.2

FILE NUMBER: 206-08.2.1.1 – Consolidated into 206-09.1
FILE NUMBER: 206-08.2.1.2 – Consolidated into 206-13
FILE NUMBER: 206-08.2.1.3 – Consolidated into 203-05
FILE NUMBER: 206-08.2.1.4 – Consolidated into 203-09.1

FILE NUMBER: 206-08.1

FILE TITLE: Lost, Destroyed or Damaged Shipment Records
FILE DESCRIPTION: Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.
AUTHORITY: GRS 5.5, item 040 (DAA-GRS-2016-0012-0004)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 206-08.2.2

FILE NUMBER: 206-08.2.3.1 – Consolidated into 206-09.1
FILE NUMBER: 206-08.2.3.2 – Consolidated into 206-09.2
FILE NUMBER: 206-08.2.3.3 – Consolidated into 206-09.1
FILE NUMBER: 206-08.2.4.1 – Consolidated into 206-09.1
FILE NUMBER: 206-08.2.4.2 – Consolidated into 206-09.2
FILE NUMBER: 206-08.2.5.1 – Consolidated into 206-13
FILE NUMBER: 206-08.2.5.2 – Consolidated into 102-10

FILE NUMBER: 206-08.2
FILE TITLE: Transportation Subsidy Program Administrative Records
FILE DESCRIPTION: Records relating to managing the program, including:

- Determining subsidy amount available to employees
- Publicity and program announcements
- Records of program-wide benefit delivery and receipt
- Statistical and narrative reports
- Similar records not linked to individual employee participation

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.4, item 130 (DAA-GRS-2016-0015-0017)
PRIVACY ACT: DWHS D01

FILE NUMBER: 206-08.3
FILE TITLE: Transportation Subsidy Program Individual Case Files
FILE DESCRIPTION: Case files of individual employee participation in transportation subsidy programs, such as:

- Applications and supporting documents
- Eligibility verification
- Notice of approval or denial of participation in program
- Participant training documentation
- Periodic estimates of transit expenses
- Record of individual benefit delivery and receipt
- De-enrollment documents
- Settlement of outstanding debts by employee or Government when employee leaves program

NOTE: Includes DoD National Capital Region (NCR) Mass Transportation Benefit Program (MTBP) NCR-Transit Subsidy System Master File, a Web-based information system designed to support Federal employee transportation benefit records in the NCR. Records consist of employee applications, employer

verification information, approvals/disapprovals of applications and audit trails. DoD National Capital Region (NCR) Mass Transportation Benefit Program (MTBP) NCR-Transit Subsidy System Master File
DISPOSITION: Temporary. Cut off after employee participation concludes. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.4, item 131 (DAA-GRS-2016-0015-0018)
PRIVACY ACT: DWHS D01

FILE NUMBER: 206-09.1
FILE TITLE: Financial Transaction Records related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting
DESCRIPTION: Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions. Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.
Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government.
Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- Contracts
- Requisitions
- Purchase orders
- Interagency agreements
- Military Interdepartmental Purchase Requests (MIPRs)
- Printing requisitions to the Government Printing Office
- Memoranda of agreement specifying a financial obligation
- Solicitations/requests for bids, quotations or proposals for contracts and competitive grants
- Proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants
- Contingent fee justifications
- Legal and financial instruments such as bond and surety records
- FAIR Act (A-76) records linked directly to specific procurement actions
- Credit card/purchase card/charge card statements and supporting documentation
- Vendor tax exemption records
- Invoices
- Leases
- Recurring financial transactions such as utility and communications invoices
- Documentation of contractual administrative requirements submitted by contractors such as status reports
- Correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
- Records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:

- Records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
    - Cash register transaction records
    - Credit card and charge cards receipts
    - Records documenting deposits
    - Records documenting allocation of fees to funds/accounts
    - Deposit lists and logs
    - Customer orders
    - Revolving fund records
- Fee and fine collection records
- Garnishments
- Sale of excess and surplus personal property
- Fee or rate schedules and supporting documentation
- Out-leases of Federal property
- Debt collection files and cash receipts
- Write-offs
- Copies of checks
- Payment billing coupons
- Letters from lenders
- Payment records
- Money orders
- Journal vouchers
- Collection schedules

Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:

- Accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:
    - Statements of transactions
    - Statements of accountability
    - Collection schedules and vouchers
    - Disbursement schedules and vouchers
- Vouchers
- Certificates of closed accounts
- Certificates of periodic settlements
- General funds files
- General accounting ledgers
- Appropriation, apportionment, and allotment files
- Posting and control files
- Bills of lading
- Transportation and travel requests, authorizations, and vouchers
- Commercial freight vouchers
- Unused ticket redemption forms

NOTE 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.
NOTE 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.
NOTE 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.
NOTE 4: Agencies must offer any records created prior to January 1, 1933, to NARA before applying this disposition authority.
DISPOSITION: Temporary. Cut off after final payment or cancellation. Destroy 7 years after cutoff.
AUTHORITY: GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-20, 202-11, 204-09.1, 204-09.2, 206-08.2.1.1, 206-08.2.1.4, 206-08.2.3.1, 206-08.2.3.3, 206-08.2.4.1, 206-09.1, 206-11.1, 206-11.2, 206-12, 206-15, 206-17, 206-18, 206-19.1, 206-19.2, 208-04.1.1, 208-04.1.2, 208-06.1, 208-07.1, 208-07.2, 208-08, 208-11, 208-13, 208-14.3.1, 208-14.3.2, 211-04, 803-01.2, 1201-09.4.1.1, 1201-09.4.1.2, 1201-09.6a, 1201-09.6c, 1201-09.6d, 1201-10.1, 1201-10.2, 1201-11.3.1, 1201-11.3.2, 1202-10, 1906-17a, 1906-21, 1906-22, 1906-23, 1913-01

FILE NUMBER: 206-09.2
FILE TITLE: Financial Transaction Files related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting – All Other Copies
FILE DESCRIPTION: Memorandum, Obligation and all other copies of financial transaction files related to procuring goods and services, paying bills, collecting debts, and accounting, used for administrative or reference purposes, not covered elsewhere in this schedule.
NOTE 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.
NOTE 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.
NOTE 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.
NOTE 4: Agencies must offer any records created prior to January 1, 1933, to NARA before applying this disposition authority.
DISPOSITION: Temporary. Cut off and destroy when business use ceases.
AUTHORITY: GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 206-08.2.3.2, 206-08.2.4.2, 206-09.2, 208-04.3, 1201-09.4.3, 1201-09.6b

FILE NUMBER: 206-09.3
FILE TITLE: Records supporting Compilation of Agency Financial Statements and Related Audit, and Records of all other Reports

FILE DESCRIPTION: Includes records such as:

- Schedules and reconciliations prepared to support financial statements
- Documentation of decisions re accounting treatments and issue resolutions
- Audit reports, management letters, notifications of findings, and recommendations
- Documentation of legal and management representations and negotiations
- Correspondence and work papers
- Interim, quarterly and other reports

DISPOSITION: Temporary. Cut off in the fiscal year of completion of audit or closure of financial statement / accounting treatment / issue. Destroy 2 years after cutoff.
AUTHORITY: GRS 1.1, item 020 (DAA-GRS-2013-0003-0011)
PRIVACY ACT: Not applicable

FILE NUMBER: 206-09.4
FILE TITLE: Contract Appeals Case Files
FILE DESCRIPTION: Records of contract appeals arising under the Contracts Disputes Act. Includes:

- Notice of appeal
- Acknowledgement of notice
- Correspondence
- Copies of contracts, plans, specifications, exhibits, change orders, and amendments
- Hearing transcripts
- Documents received from concerned parties
- Final decisions
- Other related papers.

DISPOSITION: Temporary. Cut off upon final resolution. Destroy 1 year after cutoff.
AUTHORITY: GRS 1.1, item 060 (DAA-GRS-2016-0001-0003)
PRIVACY ACT: Not applicable

FILE NUMBER: 206-09.5
FILE TITLE: Records of Credit Card Abuse and Postal Irregularities
FILE DESCRIPTION: Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes:

- Postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail (other than mail service records, which are covered under File Number 102-10)
- Semi-annual reports on Government charge card violations

DISPOSITION: Temporary. Cut off upon completion of investigation or annually, whichever is later. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.6, item 050 (DAA-GRS-2017-0006-0006)
PRIVACY ACT: Not Applicable

FILE NUMBER: 206-10 – RESCINDED (per GRS Transmittal 23)

FILE NUMBER: 206-11
FILE TITLE: Family Medical Leave Act Program Individual Case Files
FILE DESCRIPTION: Includes records such as:

- Employee eligibility to participate in program
- Eligibility notice given to employee
- Notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them
- Medical certifications
- Employee identification data
- Records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid
- Leave request, approval/non-approval
- Leave records
- Records of premium payments of employee benefits
- Records of disputes between employers and eligible employees regarding designation of leave as FMLA leave
- Periodic reports of employee status and intent to return to work

DISPOSITION: Temporary. Cut off after conclusion of leave. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.4, item 141 (DAA-GRS-2016-0015-0020)
PRIVACY ACT: Not applicable

FILE NUMBER: 206-11.1 – Consolidated into 206-09.1
FILE NUMBER: 206-11.2 – Consolidated into 206-09.1
FILE NUMBER: 206-12 – Consolidated into 206-09.1

FILE NUMBER: 206-13
FILE TITLE: Financial Management and Reporting Administrative Records
FILE DESCRIPTION: Records related to managing financial activities and reporting. Records include:

- Correspondence
- Subject files
- Feeder reports
- Workload management and assignment records

DISPOSITION: Temporary. Cut off fiscally. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 206-08.2.1.2, 206-08.2.5.1, 206-13.1, 206-13.2, 206-16, 208-03, 1201-09.3

FILE NUMBER: 206-13.1 – Consolidated into 206-13
FILE NUMBER: 206-13.2 – Consolidated into 206-13

FILE NUMBER: 206-14
FILE TITLE: Family Medical Leave Act Program Administrative Records
FILE DESCRIPTION: Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.
DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.4, item 140 (DAA-GRS-2016-0015-0019)
PRIVACY ACT: Not Applicable

FILE NUMBER: 206-14.1.1 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 206-14.1.2 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 206-14.1.3 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 206-15 – Consolidated into 206-09.1
FILE NUMBER: 206-16 – Consolidated into 206-13
FILE NUMBER: 206-17 – Consolidated into 206-09.1
FILE NUMBER: 206-18 – Consolidated into 206-09.1

FILE NUMBER: 206-19
FILE TITLE: Administrative Claims by or against the United States
FILE DESCRIPTION: Records of monetary or property ***by*** the United States subject to the Federal Claims Collection Standards, completed or closed by:

- Payment in full
- Compromise agreement
- Termination of collection action
- Determination that money or property is not owed to the United States
- Approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard
- Lifting of court order

Also, records of monetary claims ***against*** the United States, completed or closed by:

- Disallowance in full
- Allowance in full or in part with final payment awarded
- Settlement, compromise, or withdrawal
- Lifting of court order

DISPOSITION: Temporary. Cut off upon final action. Destroy 7 years after cutoff.
AUTHORITY: GRS 1.1, Item 080 (DAA-GRS-2017-0005-0001)
PRIVACY ACT: Not applicable

FILE NUMBER: 206-19.1 – Consolidated into 206-09.1
FILE NUMBER: 206-19.2 – Consolidated into 206-09.1

FILE NUMBER: 206-20
FILE TITLE: Grant and Cooperative Agreement Program Management Records
FILE DESCRIPTION: Records related to the coordination, implementation, execution, monitoring and completion of grant and cooperative agreement programs, such as:

- Background files
    - Program Announcements
    - Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register Notices
    - Requests for Proposals
- Application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)

- Application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)

NOTE: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs are covered under File Numbers 206-09.1 or 206-09.2.

DISPOSITION: Temporary. Cut off when final action is taken in the file. Destroy 3 years after cutoff.

AUTHORITY: GRS 1.2, item 010 (DAA-GRS-2013-0008-0007)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 915-02, 915-03

FILE NUMBER: 206-21

FILE TITLE: Grant and Cooperative Agreement Case Files – Successful Applications

FILE DESCRIPTION: Official record of successful grant and cooperative agreement applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreement under Legal authority 31 U.S.C. 3731(b), False Claims Act. Records include, but are not limited to:

- Applications, forms, and budget documents
- Evaluation reports, panelist comments, review ratings or scores
- Notice of Grant Award or equivalent and grant terms and conditions
- State plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)
- Funding amendment requests and actions, if any
- Periodic and final performance reports (progress, narrative, financial)
- Audit reports and/or other monitoring or oversight documentation
- Summary reports and the like

NOTE 1: If specific grant/cooperative agreement case files warrant permanent retention, contact RPDD to get it scheduled with NARA.

NOTE 2: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs are covered under File Numbers 206-09.1 or 206-09.2.

Exclusion*:* Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by 206-09.1.

DISPOSITION: Temporary. Cut off upon final action. Destroy 10 years after cutoff.

AUTHORITY: GRS 1.2, item 020 (DAA-GRS-2013-0008-0001)

PRIVACY ACT: Not Applicable

FILE NUMBER: 206-22

FILE TITLE: Grant and Cooperative Agreement Case Files – Unsuccessful Applications

FILE DESCRIPTION: Official record of unsuccessful grant and cooperative agreement applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreement under Legal authority 31 U.S.C. 3731(b), False Claims Act. Records include, but are not limited to:

- Applications, forms, and budget documents
- Evaluation reports, panelist comments, review ratings or scores
- Notice of Grant Award or equivalent and grant terms and conditions
- State plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)
- Funding amendment requests and actions, if any

- Periodic and final performance reports (progress, narrative, financial)
- Audit reports and/or other monitoring or oversight documentation
- Summary reports and the like

DISPOSITION: Temporary. Cut off upon final action. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.2, item 021 (DAA-GRS-2013-0008-0006)
PRIVACY ACT: Not Applicable

FILE NUMBER: 206-23
FILE TITLE: Grant and Cooperative Agreement Case Files – All Other Copies
FILE DESCRIPTION: Copies of official records of grants and cooperative agreement applicant case files used for administrative purposes. Records include copies of:

- Applications, forms, and budget documents
- Evaluation reports, panelist comments, review ratings or scores
- Notice of Grant Award or equivalent and grant terms and conditions
- State plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)
- Funding amendment requests and actions, if any
- Periodic and final performance reports (progress, narrative, financial)
- Audit reports and/or other monitoring or oversight documentation
- Summary reports and the like

DISPOSITION: Temporary. Cut off and destroy when business use ceases.
AUTHORITY: GRS 1.2, item 022 (DAA-GRS-2013-0008-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 206-24
FILE TITLE: Final Grant and Cooperative Agreement Final Products or Deliverables
FILE DESCRIPTION: The tangible result of a completed grant or cooperative agreement produced/ delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a

- Report, study or publication
- Conference paper and/or presentation
- Book, journal article or monograph
- Training material, educational aid, or curriculum content
- Plan, process, or analyses
- Database or dataset
- Audio, video, or still photography
- Website content or other Internet component
- Documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype)
- Software or computer code

NOTE 1: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.
NOTE 2: If the final product or deliverable of a grant or cooperative agreement warrants permanent retention, contact RPDD to submit a records schedule to NARA.
DISPOSITION: Temporary. Cut off and destroy when business use ceases.

AUTHORITY: GRS 1.2, item 022 (DAA-GRS-2013-0008-0003)
PRIVACY ACT: Not Applicable

FILE NUMBER: 206-25
FILE TITLE: Government Purchase Card and Travel Credit Card Application and Approval Records
FILE DESCRIPTION: Applications by employees for Government credit cards issued in card-holder's name, whether for official travel expenses or for purchasing goods and services. May include:

- Application for credit card
- Credit release form
- Applicant credit report
- Cardholder agreement
- Acknowledgement of responsibilities and penalties for misuse
- Approving official agreement
- Certificate of appointment (warrant)
- Card training certificate

DISPOSITION: Temporary. Cut off and destroy upon card holder separation or when card is returned to office and destroyed.
AUTHORITY: GRS 1.1, item 090 (DAA-GRS-2018-0003-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 206-26
FILE TITLE: Small and Disadvantaged Business Utilization Records
FILE DESCRIPTION: Records maintained by offices of Small Business Programs established pursuant to the Small Business Act (15 U.S.C. 644(k), as supplemented). Includes:

- Inquiries or assistance requests from industry or the general public regarding small business contracting, subcontracting, or other funding opportunities
- Materials negotiating and promoting small business contracting goals
- Records of outreach events such as workshops, conferences, specialized vendor outreach sessions, and award ceremonies
- Event evaluations, surveys, and other customer feedback
- Reviews of proposed agency acquisitions for bundling and small business contracting opportunities
- Spending management and goals
- Forecasting and studies
- Subcontracting and performance reports
- Data reported to and gathered from central reporting systems [Note: the systems must still be scheduled, contact RPDD]
- Program director's recommendations to contracting officers regarding awards
- Complaints and responses to them
- Small Business Administration requests or recommendations regarding set-aside of contracts or requirements or changes in acquisition strategies
- Records documenting receipt and referral of unsolicited proposals or small business capability statements containing proprietary or confidential contractor information
- Communications with the Small Business Administration Enforcement Ombudsman, per Public Law 104-121, section 30(b)(2)
- Correspondence

NOTE: This does not negate the use of 1201-04.1 or 1201-04.2 for OUSD(A&S).
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.1, item 100 (DAA-GRS-2018-0003-0002)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 207
CATEGORY TITLE: Pay Files
CATEGORY DESCRIPTION: Documents related to on payroll/pay.

FILE NUMBER: 207-01
FILE TITLE: Agency Payroll Record for Each Pay Period
FILE DESCRIPTION: Aggregate records documenting payroll disbursed in each pay period: Base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity. (**Legal citation:** 5 U.S.C. 8466)
DISPOSITION: Temporary. Cut off annually. Destroy 56 years after cutoff.
AUTHORITY: GRS 2.4, Item 040 (DAA-GRS-2016-0015-0004)
PRIVACY ACT: Not applicable

FILE NUMBER: 207-02
FILE TITLE: Payroll Program Administrative Records – Correspondence Files
FILE DESCRIPTION: Administrative correspondence between agency and payroll processor and system reports used for Agency workload and/or personnel management purposes which are produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: GRS 2.4, Item 060 (DAA-GRS-2016-0015-0006)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 207-02, 207-17.1, 207-17.2

FILE NUMBER: 207-03
FILE TITLE: Time and Attendance Records
FILE DESCRIPTION: Sign-in/sign-out records, time cards (OF 1130); leave applications and approvals for all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.4, Item 030 (DAA-GRS-2019-0004-0002)
PRIVACY ACT: OPM/GOVT-1
FORMER FILE NUMBER(s): 207-03.1, 207-03.2, 207-08.1, 207-08.2

FILE NUMBER: 207-03.1 – Consolidated into 207-03
FILE NUMBER: 207-03.2 – Consolidated into 207-03

FILE NUMBER: 207-04

FILE TITLE: Individual Authorization Card and Payroll Allotments – Record Maintained on Earning Card
FILE DESCRIPTION: Individual Authorization Card and Payroll Allotments (such as SF 1192) where record of bond deductions is maintained on earning record card.
DISPOSITION: Temporary. Cut off and destroy when superseded or after separation of employee. If employee transfers within an Agency, these authorizations must also be transferred. Treasury Fiscal Requirement Manual, paragraph 6020.20e for instructions relating to savings bond authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions on the Combined Federal Campaign authorizations.
AUTHORITY: NC1-330-77-004, item 207-04a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 207-04.1

FILE NUMBER: 207-04.2 – RESCINDED
FILE NUMBER: 207-05 – RESCINDED
FILE NUMBER: 207-06 – RESCINDED
FILE NUMBER: 207-07 – RESCINDED
FILE NUMBER: 207-08.1 – Consolidated into 207-03
FILE NUMBER: 207-08.2 – Consolidated into 207-03

FILE NUMBER: 207-08
FILE TITLE: Individual Employee Separation Case Files
FILE DESCRIPTION: Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employee's transfer to another Federal Agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:

- Records of counseling activities and outplacement services
- Exit interview records
- Exit clearances
- Checklists of returned property
- Certifications of removal / non-removal of government records [such as SD 821 and SD 822 forms]
- Records documenting notification of appropriate third-parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation
- Records documenting terms and entitlements of separation (e.g., leave balance payout or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance)
- Records documenting employee financial obligations to the government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement)
- Copy of leave record retained for Agency use **NOTE:** Retain the record copy of leave records in the OPF or eOPF.

DISPOSITION: Temporary. Cut off upon employee separation or transfer. Destroy 1 year after cutoff.
AUTHORITY: GRS 2.5, item 020 (DAA-GRS-0330-2014-0004-0003)
PRIVACY ACT: TBD

FORMER FILE NUMBER(s): 207-09.2

FILE NUMBER: 207-09.1 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 207-09.2 – Moved to 207-08

FILE NUMBER: 207-09
FILE TITLE: Donated Leave Program Administrative Records
FILE DESCRIPTION: Records related to managing the program, including:

- Records of leave bank management
- Records of leave bank governing board award decisions
- Publicity and program announcements
- Statistical and narrative reports
- Similar records not linked to individual employee participation

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.4, Item 070 (DAA-GRS-2016-0015-0008)
PRIVACY ACT: Not Applicable

FILE NUMBER: 207-10
FILE TITLE: Donated Leave Program Individual Case Files
FILE DESCRIPTION: Records documenting leave donation and receipt, including recipient applications, agency approvals or denials, medical or physician certifications, and records of leave donations, supervisor/timekeeper approvals, leave transfers, payroll notifications, and terminations from the program.
DISPOSITION: Temporary. Cut off upon close of case file (when employee is no longer participating in the program). Destroy 1 year after cutoff.
AUTHORITY: GRS 2.4, Item 071 (DAA-GRS-2016-0015-0009)
PRIVACY ACT: Not applicable

FILE NUMBER: 207-11
FILE TITLE: Personnel Actions - Pay or fiscal copy
FILE DESCRIPTION: Pay or fiscal copy of notifications of personnel action, exclusive of those in Official Personnel File (OPF).
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit of related pay records by the GAO, whichever is earlier.
AUTHORITIY: NC1-330-77-004, item 207-11a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 207-11.1

FILE NUMBER: 207-11.2 – Consolidated into 202-06
FILE NUMBER: 207-11.3 – Consolidated into 207-06

FILE NUMBER: 207-12
FILE TITLE: Budget Authorizations File Copies

FILE DESCRIPTION: Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.
DISPOSITION: Temporary. Cut off and destroy when superseded.
AUTHORITY: NC1-330-77-004, item 207-12
PRIVACY ACT: Not applicable

FILE NUMBER: 207-13.1
FILE TITLE: Memorandum copies of payrolls, check lists, and related certification sheets (such as SFs 1013, 1128, or equivalents) – Security Copies
FILE DESCRIPTION: Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.
DISPOSITION: Temporary. Cut off and destroy after second subsequent payroll or check list covering same payroll unit.
AUTHORITY: NC1-330-77-004, item 207-13a
PRIVACY ACT: Not applicable

FILE NUMBER: 207-13.2
FILE TITLE: Memorandum copies of payrolls, check lists, and related certification sheets (such as SFs 1013, 1128, or equivalents) – Other: Earning Record Maintained
FILE DESCRIPTION: All other copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers where earning record is maintained.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.
AUTHORITY: NC1-330-77-004, item 207-13b(1)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 207-13.2.1

FILE NUMBER: 207-13.2.2 – RESCINDED

FILE NUMBER: 207-14
FILE TITLE: Payroll Control Registers
FILE DESCRIPTION: Registers used to control payroll.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.
AUTHORITY: NC1-330-77-004, item 207-14
PRIVACY ACT: Not applicable

FILE NUMBER: 207-15.1 – Consolidated into 207-23
FILE NUMBER: 207-15.2 – RESCINDED per GRS Transmittal 28

FILE NUMBER: 207-15
FILE TITLE: Payroll Processing Fiscal Schedules – GAO Audit
FILE DESCRIPTION: Memorandum copies of fiscal schedules involved in payroll processing used in GAO audit.

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.
AUTHORITY: NC1-330-77-004, item 207-16a
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 207-16.1

FILE NUMBER: 207-16
FILE TITLE: Payroll Processing Fiscal Schedules – Other
FILE DESCRIPTION: All other copies of fiscal schedules involved in payroll processing (not used in GAO audit).
DISPOSITION: Temporary. Cut off at end of the pay period. Dispose of 1 month after cutoff.
AUTHORITY: NC1-330-77-004, item 207-16b
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 207-16.2

FILE NUMBER: 207-17.1 – Consolidated into 207-02
FILE NUMBER: 207-17.2 – Consolidated into 207-02

FILE NUMBER: 207-17
FILE TITLE: Payroll Program Administrative Records – System Reports
FILE DESCRIPTION: Payroll system reports providing fiscal information on Agency payroll produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or after audit by GAO, whichever is earlier.
AUTHORITY: GRS 2.4, Item 061 (DAA-GRS-2016-0015-0007)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER: 207-17.3

FILE NUMBER: 207-18
FILE TITLE: Tax Withholding and Adjustments Documents
FILE DESCRIPTION: Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.
DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 4 years after cutoff.
AUTHORITY: GRS 2.4, Item 020 (DAA-GRS-2016-0015-0002)
PRIVACY ACT: TBD

FILE NUMBER: 207-19
FILE TITLE: Wage and Tax Statements
FILE DESCRIPTION: Agency copies of IRS Form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.
DISPOSITION: Temporary. Cut off annually. Destroy 4 years after cutoff.
AUTHORITY: GRS 2.4, Item 050 (DAA-GRS-2016-0015-0005)

PRIVACY ACT: TBD

FILE NUMBER: 207-20 – Consolidated into 207-19
FILE NUMBER: 207-21 – Consolidated into 202-15 or 202-16, whichever best applies
FILE NUMBER: 207-22 – Consolidated into 202-23

FILE NUMBER: 207-23
FILE TITLE: Records used to Calculate Payroll, Arrange Paycheck Deposit, and Change previously issued Paychecks
FILE DESCRIPTION: Includes:

- Additions to paychecks
  - Child care subsidies
  - Internal Revenue Service form W-9 (Request for Taxpayer Identification Number)
  - Other additions
- Deductions from paychecks
  - Insurance
  - Retirement accounts (e.g. Thrift Savings Plan, *my* Retirement Account, etc.)
  - Flexible spending accounts, such as medical savings and dependent care assistance
  - Union dues
  - Combined Federal Campaign
  - Garnishments (IRS form 668A—Notice of Levy—and similar records)
  - Treasury bond purchases
  - Other deductions
- Authorizations for deposits into bank accounts
- Changes or corrections to previous transactions either at paying agency or payroll processor
- Fair Labor Standards Act exemption worksheets

DISPOSITION: Temporary. Cut off after paying agency or payroll processor validates data. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 207-15.1, 207-22, 207-23, 207-25.1, 207-25.2, 207-26, 207-27

FILE NUMBER: 207-24
FILE TITLE: Department of Defense Education Activity (DoDEA) Erroneous Overpayments Files
FILE DESCRIPTION: Documents on erroneous overpayments of earnings and benefits to DoDEA overseas civilian employees. These include excess payments of salaries, health benefits, annual sick leave reimbursements, foreign-post differentials, living allowances, and cost of living adjustments. Paperwork contained in individual files that consists of notifications of overpayment to the individual stating the amount of indebtedness to the Government; copies of personnel action notices; vouchers; payment listings; and audit worksheets. Also included are letters from individuals that request a waiver from the indebtedness; DoDEA investigation reports and preliminary decisions; correspondence forwarding claims to the Director, Administration and Management, OSD; and copies of the final decisions rendered by the Comptroller General of the United States.
DISPOSITION: Temporary. Cut off at close of case. Destroy 5 years after cutoff.
AUTHORITY: N1-330-90-002, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 207-25
FILE TITLE: Phased-retirement employees' overtime documentation.
FILE DESCRIPTION: Records documenting the ordering or permitting of phased-retirement employees to work overtime.
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.
AUTHORITY: GRS 2.4, item 035 (DAA-GRS-2018-0001-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 207-25.1 – Consolidated into 207-23
FILE NUMBER: 207-25.2 – Consolidated into 207-23
FILE NUMBER: 207-26 – Consolidated into 207-23
FILE NUMBER: 207-27 – Consolidated into 207-23

RECORDS CATEGORY: 208
CATEGORY TITLE: Supply and Services
CATEGORY DESCRIPTION: Documents related to supplies, procurement, real property, and related services.

FILE NUMBER: 208-01
FILE TITLE: Procurement Files on Initiation and Development of Transactions that Deviate from Established
FILE DESCRIPTION: Procurement files (as described in 206-09.1) documenting the initiation and development of transactions that deviate from established precedents on general Agency procurements or to major procurement programs.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 208-01
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 208-01, 1201-09.1

FILE NUMBER: 208-02.1 – Consolidated into 208-05

FILE NUMBER: 208-02
FILE TITLE: Title Papers – Other than Abstract or Certificate: Before January 1, 1921
FILE DESCRIPTION: Title papers documenting the acquisitions of real property (by purchase, condemnation, donation, exchange, or otherwise) other than abstract or certificate of, dated before 1921.
DISPOSITION: Permanent. Cut off on sale or release of property. Transfer to NARA 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.
AUTHORITY: NC1-330-77-004, item 208-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 208-02.2

FILE NUMBER: 208-02.3 – Consolidated into 208-05
FILE NUMBER: 208-03 – Consolidated into 206-13

FILE NUMBER: 208-04.1.1 – Consolidated into 206-09.1
FILE NUMBER: 208-04.1.2 – Consolidated into 206-09.1
FILE NUMBER: 208-04.2 – RESCINDED (Per GRS Transmittal 23)
FILE NUMBER: 208-04.3 – Consolidated into 206-09.2
FILE NUMBER: 208-04 (formerly 208-04.4) – RESCINDED (Per GRS Transmittal 30)

FILE NUMBER: 208-05
FILE TITLE: Real Property Ownership Records
FILE DESCRIPTION: Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise. **NOTE:** Use File Number 208-02 for property acquired prior to January 1, 1921.
DISPOSITION: Temporary. Cut off and transfer to new owner after unconditional sale or government release of property.
AUTHORITY: GRS 5.4, item 020 (DAA-GRS-2016-0011-0002)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 208-02.1, 208-02.3, 1201-09.2a, 1201-09.2b, 1201-13.1, 1201-13.2, 1201-13.3,1915

FILE NUMBER: 208-05.1 – Consolidated into 204-01
FILE NUMBER: 208-05.2 – Consolidated into 204-01
FILE NUMBER: 208-06.1 – Consolidated into 206-09.1

FILE NUMBER: 208-06.2
FILE TITLE: Financial Bids and Proposals Neither Solicited nor Accepted
FILE DESCRIPTION: Bids and proposals that are both unsolicited and the subject of no further Agency action.
DISPOSITION: Temporary. Cut off and destroy when no longer required for business use.
AUTHORITY: GRS 1.1, item 012 (DAA-GRS-2016-0001-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 208-06.3
FILE TITLE: Vendor and Bidder Information (Other than Drug-related Debarments/Suspensions)
FILE DESCRIPTION: Documentation of approved, suspended, and debarred vendors and bidders other than suspensions or debarments for violations of the Drug-Free Workplace Act.
DISPOSITION: Temporary. Cut off upon removal from approved status. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.1, item 071 (DAA-GRS-2016-0001-0005)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 208-06.3, 1201-10.3

FILE NUMBER: 208-06.4
FILE TITLE: Vendor and Bidder Information – Drug-related Debarments/Suspensions
FILE DESCRIPTION: Records of suspensions and debarments of vendors and bidders for violation of the Drug -Free Workplace Act.
DISPOSITION: Temporary. Cut off upon removal from approved status. Destroy 5 years after cutoff.

AUTHORITY: GRS 1.1, item 070 (DAA-GRS-2016-0001-0004)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 208-06.3, 1201-10.3

FILE NUMBER: 208-07.1 – Consolidated into 206-09.1
FILE NUMBER: 208-07.2 – Consolidated into 206-09.1
FILE NUMBER: 208-08 – Consolidated into 206-09.1
FILE NUMBER: 208-09.1 – Consolidated into 204-01
FILE NUMBER: 208-09.2 – Consolidated into 204-01
FILE NUMBER: 208-10.1 – Consolidated into 204-01
FILE NUMBER: 208-10.2 – Consolidated into 204-01
FILE NUMBER: 208-10.3 – Consolidated into 204-01
FILE NUMBER: 208-11 – Consolidated into 206-09.1

FILE NUMBER: 208-12
FILE TITLE: Construction Contractors' Payrolls Files
FILE DESCRIPTION: Agency copy of Contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.
DISPOSITION: Temporary. Cut off upon completion of contract or conclusion of contract being subject to an enforcement action. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.1, item 050 (DAA-GRS-2013-0003-0003)
PRIVACY ACT: Not Applicable

FILE NUMBER: 208-13 – Consolidated into 206-09.1

FILE NUMBER: 208-14.1
FILE TITLE: Sales of Surplus Real Property – Case Files
FILE DESCRIPTION: Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence of sales and related papers involving transactions and other papers that document the initiation and development of transactions that deviate from established precedents to major disposal programs.
DISPOSITION: Permanent. Cut off when case is closed; transfer to NARA 20 years after cutoff. **NOTE:** Use 206-09.1 for case files involving property that does not fit under this file number.
AUTHORITY: NC1-330-77-004, item 208-14a(1)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 208-14.1a, 1201-11.1

FILE NUMBER: 208-14.1b – RESCINDED

FILE NUMBER: 208-14.2
FILE TITLE: Disposal of Surplus Real Property
FILE DESCRIPTION: Case files on disposal of surplus real and related personal property (as described in 208-14.1, above).

DISPOSITION: Permanent. Cut off at close of case. Transfer record copies including related material 20 years after cutoff.
AUTHORITY: NC1-330-77-004, item 208-14b(1)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 208-14.2a, 1201-11.2

FILE NUMBER: 208-14.2b – RESCINDED
FILE NUMBER: 208-14.3.1 – Consolidated into 206-09.1
FILE NUMBER: 208-14.3.2 – Consolidated into 206-09.1
FILE NUMBER: 208-15.1 – Consolidated into 204-01
FILE NUMBER: 208-15.2 – Consolidated into 204-01
FILE NUMBER: 208-15.3 – Consolidated into 204-01
FILE NUMBER: 208-16 – Consolidated into 204-08.1

FILE NUMBER: 208-17
FILE TITLE: Cost Accounting for Stores, Inventory, and Materials
FILE DESCRIPTION: Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:

- Invoices or equivalent papers used for inventory accounting purposes
- Inventory accounting returns and reports
- Working files used in accumulating inventory accounting data
- Plant account cards and ledgers, other than those pertaining to structures
- Cost accounting reports and data
- Depreciation lists/costs
- Contractor cost reports re contractor-held-government-owned materials and parts
- Receiving, inspection, and acceptance documentation

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.1, Item 040 (DAA-GRS-2013-0003-0012)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 208-17.1, 208-17.2, 208-17.3, 208-17.4, 211-01.1, 211-01.2, 211-01.3, 211-02.1, 211-02.2

FILE NUMBER: 208-17.1 – Consolidated into 208-17
FILE NUMBER: 208-17.2 – Consolidated into 208-17
FILE NUMBER: 208-17.3 – Consolidated into 208-17
FILE NUMBER: 208-17.4 – Consolidated into 208-17

FILE NUMBER: 208-18
FILE TITLE: Property, Plant and Equipment (PP&E) and Other Asset Accounting
FILE DESCRIPTION: Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statement (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:

- Purchase orders and contracts

- Invoices
- Appraisals
- Costing and pricing data
- Transactional Schedules
- Titles
- Transfer, acceptance and inspection records
- Asset retirement, excess and disposal records
- Plant account cards and ledgers pertaining to structures
- Correspondence and work papers

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 1.1, Item 030 (DAA-GRS-2013-0003-0004)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 209
CATEGORY TITLE: Information Security
CATEGORY DESCRIPTION: Records accumulating from measures taken by Agencies to protect classified information from unauthorized disclosure

FILE NUMBER: 209-01 – Consolidated into 203-20
FILE NUMBER: 209-02 – Consolidated into 101-06
FILE NUMBER: 209-03 – Consolidated into 101-06
FILE NUMBER: 209-04 – Consolidated into 101-06
FILE NUMBER: 209-05.1 – Consolidated into 203-21
FILE NUMBER: 209-05.2 – Consolidated into 203-21
FILE NUMBER: 209-06 – Consolidated into 101-06
FILE NUMBER: 209-07 – Consolidated into 101-08
FILE NUMBER: 209-08a – Consolidated into 209-08
FILE NUMBER: 209-08b – Consolidated into 209-08

FILE NUMBER: 209-08
FILE TITLE: Information Security Violations Records
FILE DESCRIPTION: Case files about investigating alleged violations of Executive Orders, laws, or Agency regulations on safeguarding national security information, exclusive of documents placed in official personnel folders . Includes allegations referred to the Department of Justice (DOJ) or Department of Defense Also includes final reports and products. Not to be confused with Defense Investigative Program Records (210-01.1.1 - 210-01.1.3).
DISPOSITION: Temporary. Cut off upon close of case or final action. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)
PRIVACY ACT: Not Applicable

FILE NUMBER: 209-09
FILE TITLE: Insider Threat Administrative and Operations Records
FILE DESCRIPTION: Records about insider threat program and program activities. Includes:

- Correspondence related to data gathering
- Briefing materials and presentations

- Status reports
- Procedures, operational manuals, and related development records
- Implementation guidance
- Periodic Inventory of all information, files, and systems owned
- Plans or directives and supporting documentation, such as:
    - Independent and self-assessments
    - Corrective action plans
    - Evaluative reports

DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.
AUTHORITY: GRS 5.6, item 210 (DAA-GRS-2017-0006-0028)
PRIVACY ACT: Not Applicable

FILE NUMBER: 209-10
FILE TITLE: Insider Threat Inquiry Records
FILE DESCRIPTION: Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.
DISPOSITION: Temporary. Cut off after close of inquiry. Destroy 25 years after cutoff.
AUTHORITY: GRS 5.6, item 220 (DAA-GRS-2017-0006-0029)
PRIVACY ACT: Not Applicable

FILE NUMBER: 209-11
FILE TITLE: Insider Threat Information
FILE DESCRIPTION: Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:

- Counterintelligence and security information
    - Personnel security files
    - Polygraph examination reports
    - Facility access records, including visitor records
    - Security violation files
    - Travel records
    - Foreign contact reports
    - Financial disclosure findings
    - Referral records
    - Intelligence records
- Information assurance information
    - Personnel usernames and aliases
    - Levels of network access
    - Levels of physical access
    - Enterprise audit data which is user attributable
    - Unauthorized use of removable media
    - Print logs
- Human resources information

  - Personnel files
  - Payroll and voucher files
  - Outside work and activities requests
  - Disciplinary files
  - Personal contact records
  - Medical records/data
- Investigatory and law enforcement information
  - Statements of complainants, informants, suspects, and witnesses
  - Agency, bureau, or department data
- Public information
  - Court records
  - Private industry data
  - Personal biographical and identification data, including US Government name check data
  - Generic open source and social media data

DISPOSITION: Temporary. Cut off annually. Destroy 25 years after cutoff.
AUTHORITY: GRS 5.6, item 230 (DAA-GRS-2017-0006-0030)
PRIVACY ACT: Not Applicable

FILE NUMBER: 209-12
FILE TITLE: Insider Threat User Activity Monitoring (UAM) Data
FILE DESCRIPTION: User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:

- Identify and evaluate anomalous activity involving National Security Systems (NSS)
- Identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders
- Support authorized inquiries and investigations

DISPOSITION: Temporary. Cut off after inquiry is opened. Destroy 5 years after cutoff.
AUTHORITY: GRS 5.6, item 240 (DAA-GRS-2017-0006-0031)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 210
CATEGORY TITLE: Defense Investigative Program Records
CATEGORY DESCRIPTION: The Defense Investigative Program includes those investigative and related counterintelligence activities undertaken to safeguard DoD information, personnel, functions, and installations. This request for authority to dispose of records is applicable to all DoD Components that engage in, or maintain investigative records of Defense Investigative Program activities.

FILE NUMBER: 210-01
FILE TITLE: DoD Civilians and/or Military Routine Investigations
FILE DESCRIPTION: Personnel security investigations of a favorable nature and other investigations of a minor nature. Includes personnel security data on members of the Armed Forces, DoD civilian employees, and contractor employees under the Defense Industrial Security Program; data on activities threatening the security or involving the disruption or subversion of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment and supplies; data on investigative

activities within the United States, the District of Columbia, the Commonwealth of Puerto Rico, and United States Territories and possessions.
DISPOSITION: Temporary. Cut off at close of investigation. Destroy 15 years after cutoff (completion date of the last investigative action for that file). **NOTE:** Personnel security files on persons who are considered for affiliation with the Department of Defense shall be destroyed after 1 year if the affiliation is not completed.
AUTHORITY: NC1-330-77-004, item 210-01a(1)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.1.1

FILE NUMBER: 210-02
FILE TITLE: DoD Civilians and/or Military Significant Incidents of Adverse Actions
FILE DESCRIPTION: Personnel security investigations resulting in an adverse personnel action or court-martial, or other investigation required for long-term administrative or legal use.
DISPOSITION: Temporary. Cut off at close of investigation (the date of the last action). Destroy 25 years after cutoff. **NOTE:** Those files determined to be of possible historical value and those of widespread public or congressional interest may be transferred to NARA after 15 years.
AUTHORITY: NC1-330-77-004, item 210-01a(2)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.1.2

FILE NUMBER: 210-03
FILE TITLE: DoD Civilians and/or Military Major Investigations
FILE DESCRIPTION: Investigations of espionage and sabotage, or other major investigations of a counterintelligence and a security nature.
DISPOSITION: Permanent. Cut off at close of investigation (after the date of the last action). Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-004, item 210-01a(3)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.1.3

FILE NUMBER: 210-04
FILE TITLE: Consolidated Adjudication Files containing Derogatory Findings
FILE DESCRIPTION: Adjudication files containing derogatory findings resulting in an unfavorable security clearance determination. Such an action will cause an individual to have a security clearance revoked or the individual will have been found ineligible for a security clearance.
DISPOSITION: Temporary. Cut off after the date of the last action. Destroy 25 years after cutoff. **NOTE:** Files determined to be of possible historical value and those of widespread public or Congressional interest may be offered to NARA after 15 years under a completed SF-115.
AUTHORITY: N1-330-00-002, item 1
PRIVACY ACT: DWHS P29

FILE NUMBER: 210-05
FILE TITLE: Consolidated Adjudication Files resulting in a Favorable Adjudication Action

FILE DESCRIPTION: The basis for the favorable clearance action is an investigative case file on the subject from the Defense Security Office, Office of Personnel Management, or other Federal investigative agency. The investigative file must be returned to the originator or destroyed.
DISPOSITION: Temporary. Cut off after completion date of the last adjudication action for the file. Destroy 15 years after cutoff. **NOTE:** Files on persons who are considered for affiliation with the Department of Defense will be destroyed after one year if the affiliation is not completed.
AUTHORITY: N1-330-00-002, item 2
PRIVACY ACT: DWHS P29

FILE NUMBER: 210-06
FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated Outside DoD
FILE DESCRIPTION: Activities or events posing one of the following types of continuing threats to DoD military and civilian personnel and Defense activities and installations:

- Demonstrated hostility - Activities of an actual example of violent or criminal hostility has been carried out within the previous year;
- Threatened hostility - Activities that have explicitly threatened DoD installations providing a significant potential source of harm or disruption of the installation of its function during the previous year;
- Dissidence activities - Activities that have involved actively encouraging violation of the law, disobedience of lawful order or regulation, or disruption of military activities during the previous year.

DISPOSITION: Temporary. Cut off upon completion of investigation (acquisition). Destroy after a period of not later than 1 year after cutoff, unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.
AUTHORITY: NC1-330-77-004, item 210-01b(1)(a)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.1.1

FILE NUMBER: 210-07
FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated Outside DoD - Significant
FILE DESCRIPTION: Files or other documents created within the Department of Defense that contain significant analytical comments, value judgments, or recommendations on information received or acquired from Agencies outside the Department of Defense.
DISPOSITION: Temporary. Cut off upon completion of investigation (acquisition). Destroy after a period of not later than 1 year after cutoff, unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, these files shall be transferred to NARA for a determination of their historical value.
AUTHORITY: NC1-330-77-004, item 210-01b(1)(b)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.1.2

FILE NUMBER: 210-08

FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated Outside DoD - Activities or events not posing a continuing threat
FILE DESCRIPTION: Information originated by, and received or acquired from, Agencies outside the Department of Defense during the course or routine investigative or liaison activity which after receipt is subsequently determined to fall outside the area of interest of the DoD personnel, property or functions and no DoD file is created or DoD information generated.
DISPOSITION: Temporary. Cut off on close of investigation. Destroy immediately after an evaluation determines a threat does not exist or not later than 90 days following acquisition.
AUTHORITY: NC1-330-77-004, item 210-01b(2)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.2

FILE NUMBER: 210-09
FILE TITLE: Defense Investigative Case Files on non-DoD Affiliated U.S. Citizen and Organizations Originated within DoD - Special Investigations and Operations
FILE DESCRIPTION: Files or other documentation originated by the DoD Components pertaining to those activities of non-DoD affiliated organizations and individuals that potentially or actually threatened DoD functions, property or personnel, and files or other documentation on Defense Investigative Review Council-approved measures to quell or counter these activities.
DISPOSITION: Permanent. Cut off on close of investigation (the date of the last action). Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-004, item 210-01b(3)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.3

FILE NUMBER: 210-10
FILE TITLE: Defense Investigative Case Files on Organizations and Individuals Servicing the DoD Installations – Commercial Services
FILE DESCRIPTION: Investigative information on organizations and individuals providing commercial services, engaged in contracts, or otherwise engaged in business enterprises on DoD installations.
DISPOSITION: Temporary. Cut off on close of investigation. Destroy 1 year after the service is discontinued unless the contract is in dispute, in which event the file shall be destroyed 1 year after final payment of the other settlement of the obligation.
AUTHORITY: NC1-330-77-004, item 210-01b(4)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.4

FILE NUMBER: 210-11
FILE TITLE: Defense Investigative Case Files – Representatives of DoD
FILE DESCRIPTION: Requests for DoD personnel to attend or officiate at meetings, ceremonies, etc., as representatives of the Department of Defense. Includes information on the organization and individual making the request, the nature of the event, and any other details describing the occasion.
DISPOSITION: Temporary. Cut off at end of event. Destroy not later than 1 year after cutoff.
AUTHORITY: NC1-330-77-004, item 210-01b(5)

PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.5

FILE NUMBER: 210-12
FILE TITLE: Defense Investigative Case Files – One-Time Admittance to Installations
FILE DESCRIPTION: One-time requests for admittance to installations (speakers, bands, drill teams, tours, etc.). Includes information concerning the organization and individual requesting admittance to the installation.
DISPOSITION: Temporary. Cut off at event (admittance). Destroy not later than 1 year after cutoff.
AUTHORITY: NC1-330-77-001, item 210-01b(6)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.6

FILE NUMBER: 210-13
FILE TITLE: Defense Investigative Case Files – Public Inquiries
FILE DESCRIPTION: Inquiries from members of the public to the Department of Defense for information on DoD functions or units, unit insignia, signatures or photos of senior commanders, etc. Information concerning the collectors of such items.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff or when no longer determined pertinent by annual review.
AUTHORITY: NC1-330-77-004, item 210-01b(7)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 210-01.2.7

FILE NUMBER: 210-14
FILE TITLE: Defense Investigative Case Files – Unsubstantiated Reports from the Public
FILE DESCRIPTION: Unsubstantiated reports to the DoD Components from members of the public alleging imminent invasions, plots, and similar events of a delusional nature, and assorted "crank" letters. Includes information concerning the organization and/or individual providing such details.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff or when no longer determined pertinent by annual review.
AUTHORITY: NC1-330-77-004, item 210-01b(8)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 210-01.2.8

FILE NUMBER: 210-15
FILE TITLE: Defense Investigative Case Files – Incident to Investigation of Affiliated
FILE DESCRIPTION: Information collected on non-DoD affiliated civilians incident to the personnel security investigation of an affiliated member.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff or when no longer determined pertinent by an annual review.
AUTHORITY: NC1-330-77-004, item 210-01b(9)
PRIVACY ACT: DWHS P29
FORMER FILE NUMBER: 210-01.2.9

FILE NUMBER: 210-16
FILE TITLE: Civil Disturbance Files – Officials List
FILE DESCRIPTION: Open source listing of Federal, State, and local officials who have official responsibilities on control of civil disturbances obtained before to commitment of Federal troops and routinely maintained for planning purposes. **NOTE:** The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to civil disturbances.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed for reference.
AUTHORITY: NC1-330-77-004, item 210-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 210-02.1

FILE NUMBER: 210-17
FILE TITLE: Civil Disturbance Files – Physical Data
FILE DESCRIPTION: Open source physical data on vital public or private installations, facilities, highways, and utilities, which may be necessary to carry out missions assigned, are obtained before to commitment of Federal troops and routinely maintained for planning purposes. **NOTE:** The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to civil disturbances. Upon specific prior authorization of the Secretary of Defense or designee, information may be acquired that is essential to meet operational requirements stemming from the mission assigned to the Department of Defense to assist civil authorities in dealing with civil disturbances. Such authorizations shall only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of State and local authorities.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed.
AUTHORITY: NC1-330-77-004, item 210-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 210-02.2

FILE NUMBER: 210-18
FILE TITLE: Civil Disturbance Files – Warnings from Other Agencies
FILE DESCRIPTION: Data that pertains to early warnings of incidents, potential threats, and situation estimates that are obtained from Federal, State, or local investigative or law enforcement Agencies (that is duplicative of files maintained by the originating Agency) before commitment of Federal troops and subjected to evaluation to determine pertinency with no DoD file being created or no DoD information generated.
DISPOSITION: Temporary. Cut off after termination of the specific situation of incident. Destroy 60 days after cutoff.
AUTHORITY: NC1-330-77-004, item 210-02c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 210-02.3

FILE NUMBER: 210-19
FILE TITLE: Civil Disturbance Files – Field Acquisition Activities

Data collected or developed by the DoD Components during a period when field acquisition, reporting, or processing activities have been specifically authorized by the Secretary of Defense. This data includes unconfirmed, fragmentary, routine, or transitory material not included as background data in item 210-20, below.
DISPOSITION: Temporary. Cut off at the termination of the civil disturbance. Destroy 60 days after cutoff.
AUTHORITY: NC1-330-77-004, item 210-02d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 210-02.4

FILE NUMBER: 210-20
FILE TITLE: Civil Disturbance Files – After Action Reports and Historical Summaries
FILE DESCRIPTION: Documents prepared by Military Department staffs, Agency headquarters, or task force elements that are responsible for directing the activities of field units that are engaged in quelling a civil disturbance, including background data, after-action reports and historical summaries. Such after-action reports and historical summaries shall avoid to the greatest extent possible references to non-affiliated persons and organizations.
DISPOSITION: Permanent. Cut off after situation or event terminates. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-004, item 210-02e
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 210-02.5

RECORDS CATEGORY: 211 – RESERVED

FILE NUMBER: 211-01.1 – Consolidated into 208-17
FILE NUMBER: 211-01.2 – Consolidated into 208-17
FILE NUMBER: 211-01.3 – Consolidated into 208-17
FILE NUMBER: 211-02.1 – Consolidated into 208-17
FILE NUMBER: 211-02.2 – Consolidated into 208-17
FILE NUMBER: 211-03.1 – Consolidated into 204-06
FILE NUMBER: 211-03.2 – Consolidated into 204-06
FILE NUMBER: 211-04 – Consolidated into 206-09.1

RECORDS CATEGORY: 212
CATEGORY TITLE: Office of the Secretary of Defense (OSD)
CATEGORY DESCRIPTION: Records of the immediate Office of the Secretary of Defense, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense, and the immediate office of the head of an OSD Component containing substantive information relating to official activities.

FILE NUMBER: 212-01
FILE TITLE: Significant (Non-Routine) Records of the Immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense

FILE DESCRIPTION: Records of the immediate Office of the Secretary of Defense, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense, and the immediate office of the head of an OSD Component. These records contain substantive information relating to official activities and document the following topics:

- Issue policy, prescribe procedures or effect organizational structures.
- Provide executive direction or document major functions.
- Pertain to relations with the White House, Executive Office of the President, Congress or the public.
- Pertain to foreign affairs.
- Prescribe budget policy.
- Pertain to litigations and formal legal opinions.
- Pertain to major programs and plans.
- Calendars, appointment books, schedules, logs, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity, EXCLUDES materials determined to be personal.
- Executive Military Assistant notes which document meetings and other official activities of the Secretary of Defense and Deputy Under Secretary of Defense, the substance of which has not been incorporated into other records.
- Pertain to responses to sudden catastrophic events natural or manmade such as September 11th, Hurricane Katrina, and Haitian Earthquake of 2010.
- Signature files, i.e., outgoing correspondence arranged in chronological order prepared for by the offices of the Secretary of Defense, immediate offices of the heads of each OSD Component, and the heads of those organizations under OSD for Administrative support.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff. Pre-accession is authorized; transfer to NARA in 2 year blocks or departure of the official, in a medium and format acceptable to NARA in accordance with 36 CFR 1235.
AUTHORITY: N1-330-11-010, item 212-01
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 102-16b, 103-14b, 201-19, 212-01, 702-01.3, 1301-19

FILE NUMBER: 212-02
FILE TITLE: Routine Records of the Immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense
FILE DESCRIPTION: Records of the immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense of a routine, non-policy nature with no permanent value or historical significance.
DISPOSITION: Cut off annually. Destroy 7 years after cutoff.
AUTHORITY: NC1-330-78-007, Item 1b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 212-02, 702-01.4

FILE NUMBER: 212-03
FILE TITLE: Files of Individuals Evaluated for Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Non-Career Appointments in the Department of Defense.

FILE DESCRIPTION: Files for personnel evaluated for non-career positions within the DoD if such individuals are appointed by the President of the United States (PA's) or appointed by the President of the United States with Senate Confirmation (PAS's). These files consist of:

- Referral letters
- Resumes
- Standard Forms 171 (SF 171 forms)
- Position Descriptions
- White House clearance letters
- OPM certifications
- Other correspondence related to the selection and appointment of political appointees

NOTE: Use 202-82 or 202-83 for Schedule C employees who are NOT PA or PAS individuals.
DISPOSITION: Temporary. Cut off and destroy at the end of the presidential administration during which the individual is hired, or when no longer needed, whichever is sooner, except that instead of destruction, certain pertinent documents may be offered to OSD Personnel and Security for inclusion in the individual's OPF.
AUTHORITY: GRS 2.1, item 100 (DAA-GRS-2014-0002-0014)
PRIVACY ACT: DATSD 03 and DGC 16

FILE NUMBER: 212-04
FILE TITLE: Special Studies and Task Force Files
FILE DESCRIPTION: Special studies, task forces, working groups, boards, or committees established by Agency authority (not established by Executive Order or Public Law) related to the Agency's mission, composed of full-time officers or employees of the Federal Government, and not subject to the Federal Advisory Committee Act (FACA). Includes committees tasked with reviewing or analyzing policy, studying reorganizations, base realignments, or recommending new actions. Also included are special task forces, boards, or committees appointed for special tasks that do not fall in other identifiable functional areas. Record information includes directives establishing, changing, continuing, or dissolving the committee, agenda, meeting minutes, final reports, and related records recording accomplishments of official boards and committees.
DISPOSITION: Permanent. Cut off annually or upon termination of the committee, board, or group; transfer to NARA 20 years after cutoff.
AUTHORITY: N1-330-11-010, Item 2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 102-19.1, 1803-01.2, 1807-01.4a

FILE NUMBER: 212-05
FILE TITLE: Personal Files and Non-Record Materials for Political Appointees and Senior Officials
FILE DESCRIPTION: Information accumulated by Senior officials, such as Secretary of Defense, Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense during their tenures in office. Information in these collections may contain personal files relating to an individual's personal affairs, as well as "extra copies" of documents/information kept only for ease of reference that may document significant events, activities, decisions, or transactions during an official's time in service. These collections are to be maintained separately and identified with the individual official accumulating them, such as "SecDef XXX's personal files." Many of the collections retained by high-level officials are created on a highly selective basis, and may contain, classified information; nevertheless,

consideration should be given to serving the needs of historical scholarship by donating the unclassified collection to a research institution. **NOTE:** Official record copies should never be included in these collections and are to be filed and maintained with related files in accordance with this schedule. Non-record materials that are classified may never be removed from DoD custody and are subject to the same restrictions that apply to all other classified documents. **NOTE:** All records and copies thereof made or received by military or civilian members of the DoD in the course of conducting Government business are considered Federal Records. No person acquires a proprietary interest in any official documentation by virtue of his military or civilian position.
DISPOSITION: Temporary. Cut off and destroy when no longer needed. Officials may remove personal files and unclassified non-record materials, if approved by the agency records official; removal does not affect DoD's ability to invoke certain legal privileges, and it does not diminish the official record and/or does not include information that is subject to the Privacy Act, classified, or prohibited from release. Officials may make arrangements to donate their personal files and unclassified non-records materials to a research institution in coordination with the OSD Records Administrator and DoD General Counsel. Senior officials that have maintained "extra copies" of classified documents and wish to maintain these non-record materials may request to deposit these materials into the OSD Executive Archives, providing the materials have significant historical reference value as a set.
AUTHORITY: Non-Record
PRIVACY ACT: Not Applicable

FILE NUMBER: 212-06
FILE TITLE: Secretary of Defense (SecDef) and Deputy Secretary of Defense (DepSecDef) Media and Trip Files
FILE DESCRIPTION: Documents including invitations and correspondence to and from the Secretary and Deputy Secretary of Defense concerning U.S. and foreign media interviews, public speeches, installation visits, and other events related to SecDef and/or DepSecDef travel. Individual files for each media, speech, or trip event include SecDef and/or DepSecDef, ASD (PA) guidance, geographic, legislative and military program issue papers, coordination memoranda, after-action reports, and various working documents supporting an overall approved event card or trip itinerary.
DISPOSITION: Permanent. Cut off upon change of SecDef or DepSecDef. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-93-003, item 1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 708-01

FILE NUMBER: 212-07
FILE TITLE: Informational Releases and Publications – Speeches
FILE DESCRIPTION: Complete set of formal official speeches with indexes.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 701-09a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 701-09.1.2

FILE NUMBER: 212-08

FILE TITLE: Informational Releases and Publications – Biographies
FILE DESCRIPTION: Biographies of Presidential Appointees, and other OSD senior level officials. Not to be confused with biographic material gathered for trips or visitors, which are temporary (101-01.1).
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 701-09h
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-09.7

FILE NUMBER: 212-09
FILE TITLE: Secretary of Defense and Deputy Secretary of Defense Guest Books
FILE DESCRIPTION: Guest books maintained to capture the signature and/or personnel comments of visiting distinguished guests and senior officials. Comments in books may be in the native language of the visitor. Signature of the guest is optional.
DISPOSITION: Temporary. Cut off and destroy when no longer needed for reference.
AUTHORITY: DAA-0330-2013-0011-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 212-10
FILE TITLE: Email Retention for the CAPSTONE Officials on the Secretary of Defense Network
FILE DESCRIPTION: All recorded information maintained in email accounts (regardless of classification) for current and incoming OSD personnel identified as Presidential Appointees (PA), Presidentially appointed, Senate-confirmed Officials (PAS), Schedule C, Detailed Officials, Non-career SES in the Immediate Office of the Secretary and Deputy Secretary of Defense, DoD Executive Secretary their staffs, and such other staff offices as the Secretary of Defense establishes within the Immediate Office of the Secretary of Defense to assist in carrying out assigned responsibilities. **NOTE:** Use File Number File Number 102-11.1 for OSD Non-Capstone Employee emails, File Number 102-11.2 for Contractor Emails and File Number 102-12 for the Emails of the DoD General Counsel or General Counsels assigned to OSD Components). Includes:

- Email messages and attachments
- Email calendars and appointments
- Email tasks
- Email chat transcripts, and other communications maintained on DEE or non-DEE email systems (including the Secretary of Defense Network officials)

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: GRS 6.1-0330-2017-0001-0001
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 102-12.1a

FILE NUMBER: 212-11
FILE TITLE: Commemorative Program Files
FILE DESCRIPTION: Records created by commemorative programs established under public law to commemorate events or anniversaries relating to the functions of the Department of Defense. These commemorations are authorized to establish commemorative programs that coordinate, support, and facilitate other programs and activities of the Federal Government, State and local governments, and other persons and organizations participating in the commemoration activities. Record information includes but not limited to the following:

- Program descriptions, member lists, organization charts, meeting minutes, agendas, reports, speeches and presentations, logos, media contacts and press releases, directives establishing and dissolving the commemoration program.
- Records of agreements with professional associations and other agencies that participated in the observation after action reports received of derivative programs for management and control of information requirements of the DoD Components. Represents the Department of Defense in development of Federal policy information requirements. Establishes and administers the information requirements levied on the DoD Components, defense contractors, and the general public.

DISPOSITION: Permanent. Cut off annually. Send electronic records to NARA for pre-accessioning 3 years after cutoff. Transfer to NARA upon termination of the commemoration program.
AUTHORITY: DAA-0220-2013-0001-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 212-12
FILE TITLE: Commemorative Program Administrative Files
FILE DESCRIPTION: Records created by the commission staff in the conduct of routine administrative actions and research, included are:

- Copies of housekeeping and facilitative records including travel, exhibit shipping, printing and graphics requests, and technical office copies of contract files.
- Background research materials consisting of information used in planning events, reference materials, and supporting materials from other sources. The information in these files may be found elsewhere.
- Questionnaires, surveys and other raw data accumulated in connection with the program.
- Routine inquiries and correspondence answered by commission staff filed by date, subject or name of staff member.

DISPOSITION: Temporary. Cut off and destroy immediately after termination of the commission.
AUTHORITY: DAA-0220-2013-0001-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 212-13
FILE TITLE: Commemorative Program Website Content Files
FILE DESCRIPTION: Records which consists of materials available solely on the website to include PDF files, and unique electronic documents.
DISPOSITION: Permanent. Cut off and transfer to NARA upon termination of Commission.
AUTHORITY: DAA-0220-2013-0001-0003
PRIVACY ACT: Not Applicable

FILE NUMBER: 212-14
FILE TITLE: Commemorative Program Website Administrative Files
FILE DESCRIPTION: Records created while administering the website, including electronic copies used as inputs to the site, electronic images produced as outputs, website use and control report, website screen printouts, system documentation, web design records, web site change control records, website migration records, and system configuration software.
DISPOSITION: Temporary. Cut off and destroy immediately after termination of the Commission.

AUTHORITY: DAA-0220-2013-0001-0004
PRIVACY ACT: Not Applicable

FILE NUMBER: 212-15
FILE TITLE: Commemorative Program Photos, Videos, and Films
FILE DESCRIPTION: Photos, videos and films, digital or analog of the commission. Two copies of posters and the final report.
DISPOSITION: Permanent. Cut off and transfer to the Defense Imagery Management Operations Center (DIMOC) in accordance with DoD Instruction 5040.02, Visual Information (VI).
AUTHORITY: DAA-0220-2013-0001-0005
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 213
CATEGORY TITLE: Directives Section Files
CATEGORY DESCRIPTION: Records of the Department of Defense Directives Section.

FILE NUMBER: 213-01
FILE TITLE: Department of Defense Issuances
FILE DESCRIPTION: Directives Section files that consist of DoD Directives, DoD Instructions, DoD Publications, Administrative Instructions, amendments thereto, other policy issuances under the DoD Directive System, and supporting documentation.
DISPOSITION: Permanent. Cutoff when superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-78-007, item 213
PRIVACY ACT: Not Applicable

FILE NUMBER: 213-02.1 – Moved to 214-01
FILE NUMBER: 213-02.2 – Moved to 214-03

RECORDS CATEGORY: 214
CATEGORY TITLE: Information Operations and Reports Files (IO&R)
CATEGORY DESCRIPTION: Records pertaining to information management. Includes information collection and forms management.

FILE NUMBER: 214-01a – Moved to 808-07
FILE NUMBER: 214-01b – Moved to 808-08

FILE NUMBER: 214-01
FILE TITLE: Federal Register Notices Other than Proposed or Final Rules
FILE DESCRIPTION: Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an

Agency's seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations.
NOTE 1: This File Number applies ONLY to notices about these items. Use File Number 203-29 (GRS 4.2, item 150) for the development/finalization of the SORNs themselves and 214-08 (GRS 5.7, item 050) for the PRA Information Collection reports.
NOTE 2: Use File Number 103-06.4 (GRS 6.2, item 050) for Notices of meetings of committees established under the Federal Advisory Committee Act (FACA).
DISPOSITION: Temporary. Cut off annually and destroy 1 year after cutoff.
AUTHORITY: GRS 5.7, item 070 (DAA-GRS-2017-0012-0004)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 213-02.1

FILE NUMBER: 214-02
FILE TITLE: Defense Contract Action Data System (DCADS)
FILE DESCRIPTION: An IT file that contains data on prime contract actions reported on DD Forms 350 and 1057.
DISPOSITION: Permanent. Cut off and prepare the full data file as of September 30 of each year. Transfer to NARA by acceptable electronic medium within 120 days of cutoff, along with adequate documentation to read and understand the file and a properly completed NA Form 14097 "Technical Description For Transfer of Electronic Records to the National Archives." IT file containing data on prime contract actions reported on DD Forms 350 over $10,000 for FY 1966 through FY 1982 and actions over $25,000 for subsequent fiscal years as well as summary data on actions of $25,000 or less reported on DD Forms 1057 from FY 1984 on are included
AUTHORITY: NC1-330-78-012, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 214-03
FILE TITLE: Agency Input into the Unified Agenda
FILE DESCRIPTION: Records that process Agency input into the publication of:

- The Unified Agenda of Federal and Deregulatory Actions (also known as the "Unified Agenda" or "semiannual regulatory agenda") published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB)
- Agency regulatory flexibility agendas
- The Regulatory Plan

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: GRS 5.7, item 080 (DAA-GRS-2017-0012-0005)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 213-02.2

FILE NUMBER: 214-04
FILE TITLE: Forms Management Records
FILE DESCRIPTION: Records involved with ensuring use of standard and Agency forms to support effective recordkeeping and ensuring that Federal standard forms are available and used as appropriate to support Federal recordkeeping requirements. Includes:

- Registers or databases used to record and control the numbers and other identifying data assigned to each form
- Official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form
- Background materials and specifications

DISPOSITION: Temporary. Cut off after form is discontinued, superseded, or canceled. Destroy 3 years after cutoff.
AUTHORITY: GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 214-04.1, 214-04.2

FILE NUMBER: 214-04.1 – Consolidated into 214-04
FILE NUMBER: 214-04.2 – Consolidated into 214-04

FILE NUMBER: 214-05
FILE TITLE: Administrative Management Report Requirements Records
FILE DESCRIPTION: Processing and submission files on reports an Agency creates or proposes. Includes:

- Copies of authorizing directives
- Preparation instructions
- Descriptions of required or standardized formats
- Clearance forms
- Documents on evaluating, continuing, revising, and discontinuing reporting requirements

DISPOSITION: Temporary. Cut off after the report is discontinued. Destroy 2 years after cutoff.
AUTHORITY: GRS 5.7, item 040 (DAA-GRS-2020-0001-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 214-06 – RESCINDED. Use applicable series under 1606 and/or 1607.

FILE NUMBER: 214-07
FILE TITLE: Information Management
FILE DESCRIPTION: Documents that develop, establish, and prescribe DoD-wide policy and criteria on management and control of all types of information requirements, including internal, interagency, and public reporting, forms, statistical surveys, and questionnaires and management systems required in the acquisition process, and encompassing all types of techniques of data and information collecting, recordings processing, and reporting. Review the implementation and operations of derivative programs for management and control of information requirements of the DoD Components. Represents the Department of Defense in development of Federal policy information requirements. Establishes and administers the information requirements levied on the DoD Components, defense contractors, and the general public.
DISPOSITION: Permanent. Cut off upon close of case file. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 304-05.1
PRIVACY ACT: Not Applicable

FILE NUMBER: 214-08

FILE TITLE: Mandatory Reports to External Federal Entities regarding Administrative Activities
FILE DESCRIPTION: Agency-level reports that external federal oversight entities, such as the White House, Congress, the Office of Management and Budget (OMB), Office of Personnel Management (OPM), and General Services Administration (GSA) require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing Requirements, and the FAIR Act. Examples include:

- Agency Financial Report (AFR)
- Statement of Assurance (per FMFIA), or equivalent
- Information Collection Clearances
- Report on financial management systems' compliance with requirements (per FMFIA), or equivalent
- Report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)
- EEOC Reports
- Analysis and Action Plans and other reports required by EEOC's MD 715
- No FEAR Act Reports
- Service organization auditor report, or equivalent
- Improper payments report
- Premium class travel report
- Report on property provided to non-federal recipients, schools, and nonprofit educational institutions
- Feeder reports to the Status of Telework in the Federal Government Report to Congress
- Feeder reports to GSA fleet reports

Includes ancillary records such as:

- Background and research records
- Submission packets and compilations
- Related files

EXCLUSION: Mandatory reports and records related to OSD management and oversight that are not limited to administrative matters, such as Agency Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (See Records Category 201)
EXCLUSION: Mandatory external reports on financial matters
DISPOSITION: Temporary. Cut off after report submission or oversight entity notice of approval, as appropriate. Destroy 6 years after cutoff.
AUTHORITY: GRS 5.7, item 050 (DAA-GRS-2020-0001-0003)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 215
CATEGORY TITLE: Administrative Audiovisual Records
CATEGORY DESCRIPTION: Non-permanent, non-mission/program-related Audiovisual records (still and motion picture photography, graphic materials, and sound and video recordings) – and related documentation ((1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records). Use 700 series for records

created/maintained by The Assistant Secretary for Public Affairs (ASD(PA)). Use 202-48.2 for audiovisual training materials/records.

FILE NUMBER: 215-01
FILE TITLE: Routine Audiovisual Records
FILE DESCRIPTION: Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the Mission of the Agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records. **NOTE:** Any incidences of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this form.
DISPOSITION: Temporary. Cut off at end of the event. Destroy 2 years after cutoff.
AUTHORITY: GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)
PRIVACY ACT: Not Applicable

FILE NUMBER: 215-02
FILE TITLE: Identification Cards
FILE DESCRIPTION: Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, and Personal Identity Verification (PIV) cards.
DISPOSITION: Temporary. Cut off and destroy after expiration, confiscation or return.
AUTHORITY: GRS 5.6, item 121 (DAA-GRS-2017-0006-0017)
PRIVACY ACT: Not Applicable

FILE NUMBER: 215-03
FILE TITLE: Temporary and Local Facility Identification and Card Access Records
FILE DESCRIPTION: Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:

- Temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance
- Supplemental cards issued to access elevators
- Personnel identification records stored in an identity management system for temporary card issuance
- Parking permits

NOTE: Agencies must offer any records created prior to January 1, 1939 to NARA before applying this disposition authority.
DISPOSITION: Temporary. Cut off and destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner.
AUTHORITY: GRS 5.6, item 130 (DAA-GRS-2021-0001-0006)
PRIVACY ACT: Not Applicable

FILE NUMBER: 215-04 – RESCINDED per GRS Transmittal 26

RECORDS CATEGORY: 216 – Moved to 1808

RECORDS CATEGORY: 217
CATEGORY TITLE: Pentagon Force Protection Agency
CATEGORY DESCRIPTION: These are files that document police operations at PFPA offices. These are operational files and their use does not prevent the use of any other administrative, logistical, fiscal, or personnel file authorized elsewhere in this Instruction.

FILE NUMBER: 217-01
FILE TITLE: Staff Inspection Records
FILE DESCRIPTION: Records of staff, general, spot, special inspections, and guard contracts.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-02
FILE TITLE: Line Inspection Records
FILE DESCRIPTION: Line and quarterly line inspections and completed checklists.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-88-002, item 2
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-03
FILE TITLE: Field Office Inspections
FILE DESCRIPTION: Documents prepared by the staff inspector from surveys, inspections, or evaluations of PFPA operations to promote coordination, detect problems, ensure compliance with operating procedures, policies, schedules, and orders. Included are the staff inspector's reports, area commanders' replies, and related reports. **NOTE:** Inspection reports on contracts are excluded from this file.
DISPOSITION: Temporary. Cut off after completion of inspection. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 3
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-04
FILE TITLE: Safety Agreement Files
FILE DESCRIPTION: Documents on accident and fire prevention, disaster control, or civil defense. Included are proposals, coordination actions, copies of agreements, and related records.
DISPOSITION: Temporary. Cut off when superseded or terminated. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 4
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-05
FILE TITLE: Safety Meetings Files

FILE DESCRIPTION: Documents on accident and fire prevention meetings, protection meetings, or comparable group meetings.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-88-002, item 5
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-06
FILE TITLE: Safety, Occupational Health, and Fire Prevention Council Files
FILE DESCRIPTION: Documents reflecting deliberations and activities of field office councils on safety, occupational health, and fire prevention. Included are listings of members, agenda, minutes, copies of program documents of schedules and related records.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 6
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-07
FILE TITLE: Fire Report Files
FILE DESCRIPTION: Documents concerning fires on DoD-owned or leased premises, or other property that the Department of Defense is accountable. Included are fire reports, investigative reports, ad hoc committee investigations of serious fires, and related records.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-88-002, item 7
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-08
FILE TITLE: Accident and Fire Prevention Promotion Files
FILE DESCRIPTION: Documents resulting from efforts to stimulate supervisory and employee interest in accident and fire prevention. Included are charts, and other materials used in publicizing safety achievements and special events.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 8
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-09
FILE TITLE: Disaster and Civil Defense Status Report Files
FILE DESCRIPTION: Reports and records showing the self-protection, shelter, stocking, radiological training, and preparedness of Government buildings against enemy attack, natural disaster, and other emergencies.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: N1-330-88-002, item 9
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-10.1
FILE TITLE: Security Log Files – Recording Tape of Radio Transmissions
FILE DESCRIPTION: Logs kept when used to record radio transmissions.

DISPOSITION: Temporary. Cut off after 30 days, extract information needed for further reference, re-record, and destroy when no longer needed.
AUTHORITY: N1-330-88-002, item 10a
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-10.2
FILE TITLE: Security Log Files – All Other Logs
FILE DESCRIPTION: Logs kept when recorder tapes are changed; records recording opening and closing of secured cabinets and safes; log books containing alarm system codes for various buildings; and tapes maintained to provide a record of alarms and authorized entry into buildings after duty hours.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 10b
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-11
FILE TITLE: Physical Security Surveys
FILE DESCRIPTION: Documents on the physical security hazards or deficiencies and recommendations for remedial action. Included are: survey reports, facility and occupant data, threats, and findings and recommendations.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-88-002, item 11
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-12
FILE TITLE: Federal Radio Frequency Management Program
FILE DESCRIPTION: Documents on the policies, rules, and regulations governing the allocation of radio frequencies. These consist of the following files:

1. Frequency Assignment Subcommittee (FAS). Included are applications for frequency assignments, modifications, corrections, and the 5-year review; regional requests for action; regional frequency authorizations; Government master file; and administrative agenda and minutes.
2. Inter-department Radio Advisory Committee. Included are National Telecommunications an Information Administration Manual and the weekly agenda and summary of minutes.

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-88-002, item 12
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 217-12.1, 217-12.2

FILE NUMBER: 217-12.2 – Consolidated into 217-12
FILE NUMBER: 217-12.2 – Consolidated into 217-12

FILE NUMBER: 217-13
FILE TITLE: Telecommunications Program
FILE DESCRIPTION: These records consist of the following files:

1. Control Center. Documents on the design, installation, and maintenance of telecommunications equipment used in the zone, district, and regional control center.
2. National Crime and Information Center (NCIC). Documents such as the NCIC Operating Manual, Code Manual, Update, and Newsletter; control terminal officer assignments; and originating Agency identifier applications.
3. National Law Enforcement Telecommunications Systems (NLETS). Documents such as the NLETS Operating Manual, Code Manual, Update, and Newsletter.

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-88-002, item 13
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 217-13.1, 217-13.2, 217-13.3

FILE NUMBER: 217-13.1 – Consolidated into 217-13
FILE NUMBER: 217-13.2 – Consolidated into 217-13
FILE NUMBER: 217-13.3 – Consolidated into 217-13

FILE NUMBER: 217-14
FILE TITLE: Occupant Letters Files
FILE DESCRIPTION: Letters from occupants of DoD-owned or leased space that has a PFPA protection and safety response. They contain correspondence on safety systems, crime, protection, parking, and related records.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-88-002, item 14
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-15
FILE TITLE: Firearm and Badge Record Files
FILE DESCRIPTION: Card files of employees issued firearms and badges. This file is organized by employee name and serial number of equipment.
DISPOSITION: Temporary. Cut off and destroy name card files when employee leaves position and equipment is turned in. Cut off and update Serial Number card as equipment is reassigned.
AUTHORITY: N1-330-88-002, item 15
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-16
FILE TITLE: Assignment Record Files
FILE DESCRIPTION: Documents reflecting tour of duty schedule, days off, and post assignments for Defense Protective Officer's (DPOs) and contract guards. Records include forms recording hours of duty schedule and related documents.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-88-002, item 16
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-17
FILE TITLE: Special Operating Procedures Files

FILE DESCRIPTION: Staff and supervisory Defense Protective Officers (DPOs) may issue their rules and regulations to DPOs for guidance during the performance of individual duties.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-88-002, item 17
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-18
FILE TITLE: Flag Records
FILE DESCRIPTION: Documents on regulations, proclamations and notices to fly the flag at half staff. Included are requests on the notification list, proclamations, and related records.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-88-002, item 18
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-19
FILE TITLE: Record of Time of Arrival and Departure
FILE DESCRIPTION: Documents reflecting entry and exit from buildings (during security hours) files. Register used to record the time of arrival, departure, destination of personnel packages, visitors and vehicles entering or leaving premises. Included are forms recording times of arrivals and departures; these forms are also used by supervisory Defense Protective Officers (DPOs) when conducting inspection. Forms used by contract guards should be filed under 217-26, Contract Guard Records.
DISPOSITION: Temporary. Cut off annually. Destroy 4 years after cutoff.
AUTHORITY: N1-330-88-002, item 19
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-20
FILE TITLE: Lost and Found Property Files
FILE DESCRIPTION: Documents on the reporting, receiving, accounting for and disposing of lost and found property.
DISPOSITION: Temporary. For found property, cut off and destroy cards and tags when property is restored to its owner. All other records: Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-88-002, item 20
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-21
FILE TITLE: Physical Evidence Files
FILE DESCRIPTION: Documents on the preservation and accountability of physical evidence.
DISPOSITION: Temporary. Cut off when property is returned to owner or disposed. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 21
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-22
FILE TITLE: Evidence Log Files

FILE DESCRIPTION: Log books or registers of physical evidence obtained during the investigation of crimes.
DISPOSITION: Temporary. Cut off when all property has been returned to owner or otherwise disposed. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 22
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-23
FILE TITLE: Report of Excess Personal Property Files
FILE DESCRIPTION: Included are forms used when accounting for the disposal of lost, abandoned, unclaimed, or excess Government or personal property.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-88-002, item 23
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-24
FILE TITLE: Security Uniform and Equipment Tracking Files
FILE DESCRIPTION: Records tracking uniforms and equipment issued to Defense Protective Officers (DPOs) / security personnel, including:

- Firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.)
- Communication Devices issued to security personnel such as mobile radios and walkie-talkies
- Body armor such as bullet-proof vests
- Police baton and holder
- Handcuffs and keys

DISPOSITION: Temporary. Cut off when employee returns equipment. Destroy 6 months after cutoff.
AUTHORITY: GRS 5.6, item 030 (DAA-GRS-2021-0001-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-25
FILE TITLE: Defense Protective Officer (DPO) Log Files
FILE DESCRIPTION: Included are:

- Security Logs, which are records of notices to Agencies on a security or energy violation found by PFPA; e.g., open safes, open security areas.
- Report Logs, or log books on the number assigned to reports written by PFPA units.
- Ticket Logs, or log books of traffic tickets issued.
- Ticket Log on thefts, or log books on stop-theft tickets issued.
- Mobile Reports, or forms used by PFPA mobile units as checklists showing the times that a facility was checked.
- Code 44, or records on transport of prisoners, bank escorts, etc.
- Activity Logs, or logs documenting daily activities at guard posts.
- Building logs, or monthly logs of daily activities within buildings; included are copies of activity log forms.

DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 25

PRIVACY ACT: Not Applicable

FILE NUMBER: 217-26
FILE TITLE: Contract Guard Record Files
FILE DESCRIPTION: Records dealing with all aspects of PFPA. Included is information on guards, firearms, qualifications training certification, sign-in and -out sheets, technical manager and monitor inspections and related records.
DISPOSITION: Temporary. Cut off at expiration of contract. Destroy 6 years and 3 months after cutoff.
AUTHORITY: N1-330-88-002, item 26
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-27
FILE TITLE: Special Protection Measures Files
FILE DESCRIPTION: Documents accumulated covering physical security measures planned and taken to protect Very Important Persons visiting DoD-controlled facilities.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 27
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-28
FILE TITLE: Crime Prevention Assessment Files
FILE DESCRIPTION: Documents accumulated from conducting assessments and inspections to evaluate physical protection services, facilities, equipment, and activities. Included are checklists, assessment forms and recommendations, reports, corrective and follow-up actions, and related records.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-88-002, item 28
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-29
FILE TITLE: Crime Prevention Program Files
FILE DESCRIPTION: Correspondence forms from the Crime Prevention Unit. Included are questionnaires, bulletins, notices, and related records.
DISPOSITION: Temporary. Cut off and destroy when obsolete or no longer needed for reference.
AUTHORITY: N1-330-88-002, item 29
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-30
FILE TITLE: Law Enforcement Agreement Files
FILE DESCRIPTION: Copies of Agreements and related records on the relationships between, responsibilities of, and actions to be taken by protection officers, groups, and law enforcement officials.
DISPOSITION: Temporary. Cut off when agreement expires or is terminated. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 30
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-31

FILE TITLE: Reimbursable Work Authorization Files
FILE DESCRIPTION: Records include GSA Form 2957, "Reimbursable Work Authorization," from Agencies to request that GSA perform work on a reimbursable basis. This form authorizes the work, controls the amount of work performed, and the dollar value. Included are backup estimates and requests for changes, bills, purchase orders, travel documents, and related records.
DISPOSITION: Temporary. Cut off annually or on completion of work. Destroy 1 year after cutoff.
AUTHORITY: N1-330-88-002, item 31
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-32
FILE TITLE: Staff Hours Distribution Files
FILE DESCRIPTION: Records of staff hours spent by craft employees on any activity or assignment. Included are daily time reports, time sheets, time summaries, and related records.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-88-002, item 32
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-33
FILE TITLE: Training Record Files
FILE DESCRIPTION: Documents on the continuing program of providing training for uniformed and other PFPA personnel in the field including programmed training, sight and sound packages, and instructions by supervisory officers. Included are course curriculums, qualification records, schedules, rosters, training bulletins, and related records.
DISPOSITION: Temporary. Cut off after completion of specific training program. Destroy 5 years after cutoff.
AUTHORITY: N1-330-88-002, item 33
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-33.2 – RESCINDED (per GRS Transmittal 23)

FILE NUMBER: 217-34
FILE TITLE: FPS Academy Records
FILE DESCRIPTION: Documents on training of students at FPS Academy. Included are curriculums, schedules, rosters testing records, attendance records, firearm training and certification, and training aids.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: N1-330-88-002, item 34
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-35
FILE TITLE: Firearms Files
FILE DESCRIPTION: Documents on firearms and firing ranges.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-88-002, item 35
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-36.1a – Moved to 217-36
FILE NUMBER: 217-36.1b – Moved into 217-37
FILE NUMBER: 217-36.2 – Consolidated into 202-08.1 or 202-08.2, as applicable
FILE NUMBER: 217-36.3 – Moved into 217-38

FILE NUMBER: 217-36
FILE TITLE: Incident Reporting and Investigative Case Files – Non-Criminal Incidents
FILE DESCRIPTION: Non-criminal activity reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such as internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.), and information collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 "Complaint Record;" SD 545 "Incident Report;" SD 545-1 "Interview Sheet;" SD 542 "Accident Report;" and all narrative information related to cases under investigation.
DISPOSITION: Temporary. Cut off and place in inactive file upon case closure. Review files at least once a year. Destroy all files at least 1 year after cutoff.
AUTHORITY: N1-330-92-007, item 1a
PRIVACY ACT: DWHSP 420
FORMER FILE NUMBER: 217-36.1a

FILE NUMBER: 217-37
FILE TITLE: Incident Reporting and Investigative Case Files – Criminal Incidents
FILE DESCRIPTION: Criminal activity reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters as well as preliminary and other reports of criminal investigations maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such as internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.), and information collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 "Complaint Record;" SD 545 "Incident Report;" SD 545-1 "Interview Sheet;" SD 542 "Accident Report;" SD 550 "Arrest Report;" SD 547 "Defendant/Suspect Statement;" and all narrative information related to cases under investigation.
DISPOSITION: Temporary. Cut off when case is closed. Destroy 15 years after cutoff.
AUTHORITY: N1-330-92-007, item 1b
PRIVACY ACT: DWHSP 420
FORMER FILE NUMBER: 217-36.1b

FILE NUMBER: 217-38
FILE TITLE: Incident Reporting and Investigative Case Files – Contingency Planning and Analysis Files
FILE DESCRIPTION: Contingency planning and analysis files pertaining to regional, nationwide, and worldwide terrorist organizations and their potential effects on the security of DoD facilities. These files contain intelligence briefs; tactical, operational and strategical information reports; regional and nationwide contingency analyses; contingency action plans; and information on patterns and trends of potential or actual terrorists or terrorist groups and other activities that could disrupt the orderly operations of DoD-owned or -controlled facilities over which PFPA has jurisdiction.

DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed.
AUTHORITY: N1-330-92-007, item 2
PRIVACY ACT: DWHSP 420
FORMER FILE NUMBER: 217-36.3

FILE NUMBER: 217-39
FILE TITLE: Pentagon and Pentagon Reservation Project Files
FILE DESCRIPTION: PFPA files relating to the Pentagon and Pentagon Reservation. Records include, but are not limited to, force protection projects dealing with

- Access Control
- Intrusion Detection
- Passive/active barriers
- Surveillance Systems,
- Including chemical, biological, radiological, and explosive protection systems
- Contracts, cost estimates, budget requests, budget estimates and Program Objective Memoranda (POM)

DISPOSITION: Temporary. Cut off upon completion of project. Destroy 25 years after cutoff.
AUTHORITY: N1-330-10-004, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-40
FILE TITLE: Other DoD Buildings and Facilities Project Files
FILE DESCRIPTION: PFPA files relating to DoD buildings and facilities within the NCR. Records include, but are not limited to, force protection projects dealing with

- Access Control
- Intrusion Detection
- Passive/active barriers
- Surveillance Systems,
- Including chemical, biological, radiological, and explosive protection systems
- Contracts, cost estimates, budget requests, budget estimates and Program Objective Memoranda (POM)

DISPOSITION: Temporary. Cut off upon completion of project; destroy 15 years after cutoff.
AUTHORITY: N1-330-10-004, item 2
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-41
FILE TITLE: Operation and Maintenance Records
FILE DESCRIPTION: PFPA operation and maintenance records for the Pentagon, Pentagon Reservation, and other DoD buildings and facilities within the NCR. Files relate to the operation and maintenance of Force Protection measures for buildings leased or owned by DoD within the National Capitol Region including the Pentagon and Pentagon Reservation. Records include, but are not limited to

- Maintenance contracts
- Equipment Reports
- Preventive/corrective maintenance programs

- Authorized construction
- Alterations
- Repair records

DISPOSITION: Temporary. Cut off annually. Destroy 6 years and 3 months after cutoff.
AUTHORITY: N1-330-10-004, item 3
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-42
FILE TITLE: Tow Appeal Records
FILE DESCRIPTION: Records of traffic proceedings concerning vehicles ticketed and towed in accordance with DoD Directive 6055.4, Department of Defense Traffic Safety Program. Case files consist of towing appeals, violations, towing companies, immobilization release, warning notice, parking control, authorization search for an existing permit, and immobilization notice.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: DAA-0330-2013-0016-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-43
FILE TITLE: Firearms Identification Card (FICs)
FILE DESCRIPTION: FICs are issued by the Pentagon Force Protection Agency, acting on behalf of the Office of the Secretary of Defense, to personnel verified as a "qualified retired law enforcement officer" as defined in the Law Enforcement Officers Safety Act (LEOSA) and DoD policy. The LEOSA FIC is OSD's process (per Section 926C of Title 18, United States Code (18 USC 926C)) to validate the eligibility of qualified retired PFPA law enforcement officers applying for a LEOSA FIC, to include Defense Protective Service, or other predecessor agency law enforcement officers. These files include but are not limited to investigative material needed to determine individual meets standards established to ensure the applicant meets the requirements of a qualified retired law enforcement officer'' as outlined by the DoD and statute.
DISPOSITION: Temporary. Cut off annually (at the end of the calendar year), after approval or denial. Destroy 15 years after cutoff.
AUTHORITY: DAA-0330-2016-0017-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-44
FILE TITLE: Canine (K-9) Service Records
FILE DESCRIPTION: Records documenting acquisition, training, activities, care and retirement of canine partners. Includes:

- Acquisition records
- Breeder and lineage records
- Vaccination and medical history records
- Microchip number and identification records
- Deficiencies/remedies
- Training courses taken and resulting grades and certifications
- Initial report of positive detections and bite incidents
- End-of-service documentation (through retirement or death)

DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete OR cut off after dog is released from service and destroy 3 years after cutoff, whichever is shorter.
AUTHORITY: GRS 5.6, item 160 (DAA-GRS-2016-0017-0021)
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-45
FILE TITLE: Counterintelligence Management Information System (CMIS) – Foreign Nationals
FILE DESCRIPTION: Information on criminal and non-criminal incidents involving foreign nationals, used to satisfy statutory and regulatory reporting requirements. All inputs are manually keyed in by agents based on reports and interviews from individuals, victims, witnesses, incidentals, Federal Agents, Federal Law Enforcement Officers, other Law Enforcement Agencies, Intelligence Agencies, or other agencies and organizations that reside within the Pentagon reservation or leased facilities under PFPA cognizance. Files include but are not limited to:

- Law enforcement reports and special inquiries into actual, potential or suspected violations of laws, regulations, and/or directives
- Security violations and inquiries that reveal compromise, but not espionage
- Reports of subversion and espionage
- Data elements includes but is not limited to:
    - Subject name
    - Citizenship
    - Date of Birth
    - Address
    - Description (height, weight, hair color etc.)
    - Nationality

DISPOSITION: Temporary. Cut off annually upon determination that the individual is no longer a threat to DoD, the Pentagon, Pentagon Reservation or DoD Facilities within the National Capitol Region (NCR). Destroy 25 years after cutoff.
AUTHORITY: DAA-0330-2014-0019-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 217-46
FILE TITLE: Counterintelligence Management Information System (CMIS) – US Citizens
FILE DESCRIPTION: Information on criminal and non-criminal incidents involving US citizens, used to satisfy statutory and regulatory reporting requirements. All inputs are manually keyed in by agents based on reports and interviews from individuals, victims, witnesses, incidentals, Federal Agents, Federal Law Enforcement Officers, other Law Enforcement Agencies, Intelligence Agencies, or other agencies and organizations that reside within the Pentagon reservation or leased facilities under PFPA cognizance. Files include but are not limited to:

- Law enforcement reports and special inquiries into actual, potential or suspected violations of laws, regulations, and/or directives
- Security violations and inquiries that reveal compromise, but not espionage
- Reports of subversion and espionage
- Data elements includes but is not limited to:
    - Subject name
    - Citizenship

- Date of Birth
- Address
- Description (height, weight, hair color etc.)
- Nationality

DISPOSITION: Temporary. Cut off annually upon determination that the individual is no longer a threat to DoD, the Pentagon, Pentagon Reservation or DoD Facilities within the National Capitol Region (NCR). Destroy 90 days after cutoff.
AUTHORITY: DAA-0330-2014-0019-0002
PRIVACY ACT: TBD

FILE NUMBER: 217-47
FILE TITLE: Technical Surveillance Countermeasures Investigation Files
FILE DESCRIPTION: Files documenting technical surveillance countermeasures (TSCM) investigations, conducted to detect the presence of technical surveillance devices and hazards, and to identify technical security weaknesses of a facility. Includes documentation of the following:

- Executive Travel Support Reports resulting from investigations during Executive Travel Support in continental United States and outside the continental United States travel. Outlines vulnerabilities discovered and mitigating actions performed when very important persons (VIPs) utilize transient facilities.
- Fixed Facility Reports resulting from investigations outlining key vulnerability findings and mitigating recommendations based on regulatory guidance and policy
- Vehicle Inspection Reports from technical security posture of vehicles used by VIPs
- Gift Inspection Reports resulting from radiological scans conducted on gifts received by VIPs from foreign dignitaries
- Results from in-place monitoring systems

DISPOSITION: Temporary. Cut off after date of last action. Destroy 20 years after cutoff.
AUTHORITY: N1-330-11-009, item 1
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 218
CATEGORY TITLE: Motor Vehicle Maintenance and Operations Files
CATEGORY DESCRIPTION: These files consist of records created by Organizational Transportation Offices, responsible for maintaining records of maintenance and operations of motor vehicles. These records consist of service logs and reports, vehicle repair and maintenance check-off sheets, costs ledgers; both hard copy and electronic, claims correspondence and related forms.

FILE NUMBER: 218-01 – Consolidated into 204-01

FILE NUMBER: 218-02
FILE TITLE: Land Vehicle and Water Vessel Inspection, Maintenance, and Service Records
FILE DESCRIPTION: Records documenting inspection, maintenance, service, and repair activities related to land vehicles and watercraft. Includes:

- Work orders, service and repair requisitions, and logs
- Descriptions of provided service and repair, and related papers

DISPOSITION: Temporary. Cut off annually. Destroy3 years after cutoff.

AUTHORITY: GRS 5.4, item 090 (DAA-GRS-2014-0011-0011)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 218-02, 218-03

FILE NUMBER: 218-03 – Consolidated into 218-02
FILE NUMBER: 218-04 – Consolidated into 204-01

FILE NUMBER: 218-05
FILE TITLE: Vehicle and Vessel Accident and Incident Records
FILE DESCRIPTION: Records about vehicle and vessel accidents – land, water, and air – that vehicle management offices maintain, including:

- Standard Form 91, Motor Vehicle Accident Report
- Standard Form 94, Statement of Witnesses
- Standard Form 95, Claim for Damage, Injury, or Death
- Copies of investigative reports (Originals are maintained in Investigative Case Files)

DISPOSITION: Temporary. Cut off upon closure of case. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.4, item 140 (DAA-GRS-2014-0011-0017)
PRIVACY ACT: Not Applicable

FILE NUMBER: 218-06 – Moved to 204-09

FILE NUMBER: 218-07
FILE TITLE: Vehicle and Heavy Equipment Operator Records
FILE DESCRIPTION: Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.
DISPOSITION: Temporary. Cut off after separation of employee or after rescission of authorization to operate Government-owned vehicles or equipment, whichever is sooner. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.4, item 110 (DAA-GRS-2014-0011-0014)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 219
CATEGORY TITLE: Passport Records
CATEGORY DESCRIPTION: Records related to Official Passports issued by the Department of State to people traveling abroad to carry out official duties on behalf of the U.S. Government. **NOTE:** Use 215-01 for passport photographs and 202-23 for Annual Reports to the Department of State regarding the number of official passports issued.

FILE NUMBER: 219-01
FILE TITLE: Passport Application Records
FILE DESCRIPTION: Records relating to administering the application or renewal of official passports and visas, including:

- Copies of passport and visa applications
- Passport and visa requests
- Special invitation letters
- Visa authorization numbers
- Courier receipts

- Copies of travel authorizations

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or upon employee separation or transfer, whichever is sooner.
AUTHORITY: GRS 2.2, item 090 (DAA-GRS-2017-0007-0013)
PRIVACY ACT: Not Applicable

FILE NUMBER: 219-02
FILE TITLE: Official Passport Registers
FILE DESCRIPTION: Registers and lists of agency personnel who have official passports.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: GRS 2.2, Item 091 (DAA-GRS-2017-0007-00014)
PRIVACY ACT: Not Applicable

FILE NUMBER: 219-03
FILE TITLE: Official Passports of Transferred or Separated Agency Personnel
FILE DESCRIPTION: Official Passports relating to personnel who have separated or transferred from the Agency.
DISPOSITION: Temporary. Cut off when employee transfers or separates, or when passport expires and transfer to new Agency or to the Department of State.
AUTHORITY: N/A – Filing instruction only.
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 220
CATEGORY TITLE: Historical Artifacts Gift Records
CATEGORY DESCRIPTION: Records pertaining to the Historical Artifacts Gift collection, a Department of Defense collection that receives donations and contributions from the public for exhibition.

FILE NUMBER: 220-01
FILE TITLE: Historical Artifacts Gift Agreement Files
FILE DESCRIPTION: Information relating to the offer of gifts and donation by private citizens and organizations to the DoD/OSD/Historical Artifacts Collection. Files provide a record of donations and contributions of historical properties to the Department of Defense (DoD). Documentation regarding these collections identifies the donor or donor heir's Information, the status/location of the donation, and enables the DoD to establish title to the property. Records Include forms, pictures, correspondence regarding offers, acceptance of offers, and related information regarding the status of the artifacts/donations.
DISPOSITION: Temporary. Cut off when all actions regarding the acceptance and location of the artifact are complete. Destroy 10 years after artifact is removed from OSD custody by donation, exchange, or return to donor. Transfer documentation which establishes title to the recipient of the artifact.
AUTHORITY: DAA-0330-2012-0006-0001
PRIVACY ACT: Not applicable

FILE NUMBER: 220-02
FILE TITLE: Historical Artifacts Rejected Gift Files

FILE DESCRIPTION: Information relating to the offer of gifts and donation by private citizens and organizations to the DoD/OSD/Historical Artifacts Collection. Files provide a record of refused offers concerning donations and contributions of historical properties to the Department of Defense (DoD). Documentation identifies the donor or donor's heirs' information. Records include forms, pictures, correspondence concerning offers, and related information.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2012-0006-0002
PRIVACY ACT: Not applicable

RECORDS CATEGORY: 221
CATEGORY TITLE: Library Records
CATEGORY DESCRIPTION: Records pertaining to the operation of the Pentagon Library and/or other DoD Libraries and information centers that collect material related to agency mission or focus. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document a library's administration and daily operations. This schedule does not cover nonrecord material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents. This schedule also does not include unique or special collections, which agencies must schedule based on their content.

FILE NUMBER: 221-01
FILE TITLE: Library Administrative Services
FILE DESCRIPTION: Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as:

- Strategic plans, project plans
- Policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material
- Promotional material describing library services and resources
- Correspondence and records on library staffing and relations with other libraries
- Quick guides to library databases and resources , topical or customized reading lists, and bibliographies

NOTE: Use File Number 206-09.1 for records on purchasing licenses, subscriptions, interagency agreements, or vendor services.
DISPOSITION: Temporary. Cut off annually or when superseded or obsolete, whichever is applicable. Destroy 3 years after cutoff.
AUTHORITY: GRS 4.4, item 010 (DAA-GRS-2015-0003-0001)
PRIVACY ACT: Not applicable

FILE NUMBER: 221-02
FILE TITLE: Library Operations Records
FILE DESCRIPTION: Records documenting the daily activities of running a library. Includes:

- Reference inquiries and responses
- Correspondence and records about normal cataloging, circulation, and document delivery activities
- Visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms

- Photocopying and digitization requests

DISPOSITION: Temporary. Cut off and destroy when business use ceases.
AUTHORITY: GRS 4.4, item 020 (DAA-GRS-2015-0003-0002)
PRIVACY ACT: Not applicable

FILE NUMBER: 221-03
FILE TITLE: Interlibrary Loan (ILL) Requests
FILE DESCRIPTION: Records pertaining to operation of the Library Interlibrary loan (ILL) program. ILL is a service whereby a user of one library can borrow books or receive photocopies of materials that are owned by another library. The user makes a request with their library, which, acting as an intermediary, identifies owners of the desired item, places the request, receives the item, makes it available to the user, and arranges for its return. The lending library usually sets the due date and overdue fees of the material borrowed.
DISPOSITION: Temporary. Cut off at close of the transaction. Destroy 5 years after cutoff.
AUTHORITY: GRS 4.4, item 030 (DAA-GRS-2015-0003-0003)
PRIVACY ACT: Not applicable

RECORDS CATEGORY: 222
CATEGORY TITLE: Administrative Media Relations Files
CATEGORY DESCRIPTION: These records pertain to routine interactions with the press or media conducted by offices other than the ASTR(PA), which must use the 700 series.

FILE NUMBER: 222-01
FILE TITLE: Routine Media Relations Files
FILE DESCRIPTION: Records of Interactions with the press or media that contain duplicate, minimal, or limited information, such as

- Requests and responses for interviews
- Requests and responses for information or assistance for media stories
- Daily or spot news recordings or videos available to local radio and TV stations
- Notices or announcements of media events
- Public Service Announcements
- Copies or articles created by the agency for publication in news media

Exclusion: Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item
DISPOSITION: Temporary. Cut off and destroy when no longer needed for business use.
AUTHORITY: GRS 6.4, item 040 (DAA-GRS-2016-0005-0004)
PRIVACY ACT: Not Applicable

SERIES 300 – USD(COMPTROLLER)

SERIES TITLE: UNDER SECRETARY OF DEFENSE (COMPTROLLER) (USD(C))/CHIEF FINANCIAL OFFICER (CFO), DEPARTMENT OF DEFENSE

SERIES DESCRIPTION: Records described in this series relate to the programming, budgeting, auditing, and fiscal functions of the CFO for the Department of Defense, who is the principal staff assistant to the Secretary of Defense, and the Office of USD(Comptroller), which supports this mission.

SERIES APPLIES TO THE FOLLOWING ORGANIZATION: File Numbers within the 300 Series reflect the mission of the Office of the Under Secretary of Defense (Comptroller). **NOTE**: Comptrollers of any other Component falling under the purview of the OSD Records Administrator should use applicable File Numbers in the 200 Series for their financial records.

RECORDS CATEGORY: 301 – RESERVED

RECORDS CATEGORY: 302 – RESERVED

RECORDS CATEGORY: 303
CATEGORY TITLE: Principal Deputy Comptroller Program/Budget Files
CATEGORY DESCRIPTION: Program, budget and related files of the Principal Deputy Comptroller.

FILE NUMBER: 303-01
FILE TITLE: Comptroller Issues and Action Files
FILE DESCRIPTION: Documents that represent the cognizance of this office over all important Comptroller issues on the programming systems, financial and budget policy.
DISPOSITION: Permanent. Cut off when no longer current. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 303-02
FILE TITLE: Plans and Systems - Policy
FILE DESCRIPTION: Contains documents that develop and establish financial policy. Studies of the policy, recommended changes, and directives.
DISPOSITION: Permanent. Cut off when case file is closed. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-007, item 303-02.1a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-02.1a

FILE NUMBER: 303-02.1a – Moved to 303-02
FILE NUMBER: 303-02.1b – Consolidated into 101-01.2
FILE NUMBER: 303-02.2a – Moved to 303-03
FILE NUMBER: 303-02.2b – Consolidated into 103-14
FILE NUMBER: 303-02.2c – Consolidated into 102-18.1

FILE NUMBER: 303-02.3a – Moved to 303-04
FILE NUMBER: 303-02.3b – Moved to 303-05
FILE NUMBER: 303-02.4 – Moved to 303-08

FILE NUMBER: 303-03
FILE TITLE: Plans and Systems - Congressional Relations Prior to FY 2017
FILE DESCRIPTION: Documents developing DoD actions and positions taken on congressional authorization and appropriation actions; correspondence and documentation supporting DoD appeals; documents on preparation for hearings, proposed statements, and proposed answers to anticipated questions. **NOTE**: Use 206-04.3 for Plans and Systems – Congressional Relations pertaining to the 2017 and forward budgets.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-007, item 303-02.2a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-02.2a

FILE NUMBER: 303-03.1 – Moved to 303-09
FILE NUMBER: 303-03.2 – Moved to 303-10

FILE NUMBER: 303-04
FILE TITLE: Plans and Systems – Economic Analyses and Budget Impact
FILE DESCRIPTION: Documents that pertain to economic analyses and studies concerning the budget impact.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-02.4a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-02.3a

FILE NUMBER: 303-04.1 – Moved to 303-11
FILE NUMBER: 303-04.2 – Consolidated into 206-07

FILE NUMBER: 303-05
FILE TITLE: Plans and Systems - Budget Matters
FILE DESCRIPTION: Documents that establish budgeting principles, policies, systems, and procedures covering all budget formulation, management, and execution processes within the Department of Defense and that maintain surveillance of the same.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-02.4b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-02.3b

FILE NUMBER: 303-05.1 – Moved to 303-12
FILE NUMBER: 303-05.2 – Moved to 303-13
FILE NUMBER: 303-05.3 – Moved to 303-14

FILE NUMBER: 303-05.4a – Moved to 303-15
FILE NUMBER: 303-05.4b – Moved to 303-16
FILE NUMBER: 303-05.5 – Moved to 303-17
FILE NUMBER: 303-05.6 – Moved to 303-18
FILE NUMBER: 303-05.7 – Moved to 303-19

FILE NUMBER: 303-06
FILE TITLE: Research and Development Investment Files Prior to FY 2017
FILE DESCRIPTION: Documents that review, evaluate, and make recommendations on the DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for all procurement, and all research, development, test, and evaluation appropriations of the Department of Defense. Also, documents that review and analyze the execution of the budget for procurement and research, development, test, and evaluation accounts. Includes reviews, evaluations of POMs, budget requests, studies, and reports.
NOTE: Use 206-04.3 for Plans and Systems – Congressional Relations pertaining to the 2017 and forward budgets.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-06
PRIVACY ACT: Not Applicable

FILE NUMBER: 303-07
FILE TITLE: Revolving Fund Files Prior to FY 2017
FILE DESCRIPTION: Documents that review, evaluate, and make recommendations on the DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for all revolving funds of the Department of Defense. Also documents that review and analyze budget execution for all revolving fund accounts.
NOTE: Use 206-04.3 for Revolving Fund Files pertaining to the 2017 and forward budgets.
DISPOSITION: Permanent. Cut off annually Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-07
PRIVACY ACT: Not Applicable

FILE NUMBER: 303-08
FILE TITLE: Plans and Systems - North Atlantic Treaty Organization (NATO) Financial Matters
FILE DESCRIPTION: DoD financial reports to NATO.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-010, item 303-02.5
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-02.4

FILE NUMBER: 303-09
FILE TITLE: Comptroller Information System (CIS) Master File
FILE DESCRIPTION: Information system containing program data, direct and reimbursable obligations, budget authority, financing orders, obligated and unobligated balances, expiring balances, expenditure

data (obligated balances, obligations incurred), civilian full time equivalent data and military end strengths for the Department of Defense.
DISPOSITION: Permanent. Cut off annually and pre-accession to NARA in an acceptable medium and format in accordance with federal requirements. Transfer to NARA 20 years after cutoff.
AUTHORITY: N1-330-08-010, item 1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 303-05.4a, 303-05.4b, 303-15, 303-16

FILE NUMBER: 303-10
FILE TITLE: Program Resources Collection Process (PRCP) Master File and Specific Reports
FILE DESCRIPTION: Information system containing budget submission data down to the line item level (i.e., number of ships, type of ship, etc.) for DoD Components and OUSD(Comptroller) Directorates, as well as the reports generated from the master file data and made available to the public.
DISPOSITION: Permanent. Cut off annually and pre-accession to NARA in an acceptable medium and format in accordance with federal requirements. Transfer to NARA 20 years after cutoff.
AUTHORITY: N1-330-08-010, item 2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 303-03.1, 303-03.2, 303-03.3, 303-04.1

FILE NUMBER: 303-11
FILE TITLE: Program Resources Collection Process (PRCP) Output Files
FILE DESCRIPTION: Outputs for the PRCP, including Procurement Program Reports (P-1), Research Development, Test and Evaluation Programs Reports (R-1), Military Construction, Family Housing, and Base Realignment and Closure (BRAC) Program Reports.
DISPOSITION: Permanent. Cut off annually and pre-accession to NARA in an acceptable medium and format in accordance with federal requirements. Transfer to NARA 20 years after cutoff.
AUTHORITY: N1-330-08-010, item 3
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 303-03.1, 303-03.2, 303-03.3, 303-04.1

FILE NUMBER: 303-12
FILE TITLE: Program and Financial Control
FILE DESCRIPTION: Analyses of current and projected financial and quantitative data to ascertain financial requirements and progress in terms of obligations and expenditure rates of Department of Defense's appropriations and reports on significant trends.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-05a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-05.1

FILE NUMBER: 303-13
FILE TITLE: Program and Financial Control - Primary uses of computer systems and programs supporting the budget process.

FILE DESCRIPTION: Computer reports, users manuals, correspondence with programming, and IT support activities.
DISPOSITION: Temporary. Cut off upon supersession. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-05b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-05.2

FILE NUMBER: 303-14
FILE TITLE: Program and Financial Control – FYDP
FILE DESCRIPTION: Documents that develop and review the Future-Year Defense Program (FYDP). Instructions that establish procedures for its development and input reports from Component activities. Includes procedures and policy on the FYDP, reviews and inputs to the FYDP, and the FYDP itself.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-05c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-05.3

FILE NUMBER: 303-15 – Use 303-09
FILE NUMBER: 303-16 – Use 303-09

FILE NUMBER: 303-17
FILE TITLE: Program and Financial Control - Reports
FILE DESCRIPTION: Documents that prepare fiscal reports, financial statements, charts, and graphs to support the budget presentation, studies, and economic analyses.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-05e
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-05.5

FILE NUMBER: 303-18
FILE TITLE: Program and Financial Control – POM and PPBS
FILE DESCRIPTION: Documents that operate and control the Planning, Programming, and Budgeting System (PPBS); review of all Program Objective Memoranda documents and preparation of program change memoranda and the process of same.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 303-05f
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-05.6

FILE NUMBER: 303-19
FILE TITLE: Banking, Finance and Professional Development
FILE DESCRIPTION: Documents which develop and promulgate policies and procedures pertaining to domestic and overseas military banks and credit unions, foreign currencies and minority banking.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-80-010, item 303-09
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 303-09.1, 303-09.2, 303-09.3

RECORDS CATEGORY: 304
CATEGORY TITLE: Principal Deputy Chief Financial Officer (CFO) Files
CATEGORY DESCRIPTION: Files relating to the duties of the Principal Chief Financial Officer.

FILE NUMBER: 304-01
FILE TITLE: Systems Policy Files - Improvement of DoD Resources and Operations Systems
FILE DESCRIPTION: Policy directives and procedures that direct and supervise the development and implementation of programs for improvement of resources and operations in the Department of Defense (other than budget systems).
DISPOSITION: Permanent. Cut off upon close of policy case file. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 304-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 304-01.1

FILE NUMBER: 304-02
FILE TITLE: Systems Policy Files - Improvement of Management Systems
FILE DESCRIPTION: Assistance to DoD Components in efforts to improve management systems.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-013, item 304-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 304-01.2

FILE NUMBER: 304-02.1 through 304-02.14 – Consolidated into 304-05

FILE NUMBER: 304-03
FILE TITLE: Systems Policy Files - Accounting Program and Performance
FILE DESCRIPTION: Policy directives and procedures that establish and supervise the accounting policy, program and performance measurement, and banking and finance.
DISPOSITION: Permanent. Cut off upon close of case file. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 304-01c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 304-01.3

FILE NUMBER: 304-03.1 – Consolidated into 304-09
FILE NUMBER: 304-03.2 – Consolidated into 304-09
FILE NUMBER: 304-03.3 – Consolidated into 101-01.2
FILE NUMBER: 304-03.4 – Consolidated into 101-01.2
FILE NUMBER: 304-03.5 – Consolidated into 101-01.2
FILE NUMBER: 304-03.6 – Consolidated into 103-10
FILE NUMBER: 304-03.7 – Consolidated into 304-09

FILE NUMBER: 304-04
FILE TITLE: Systems Policy Files - Performance Correspondence and Liaison
FILE DESCRIPTION: Correspondence and liaison within the Department of Defense, or with other Government Agencies, international organizations, and foreign governments on the subject.
DISPOSITION: Temporary. Cutoff annually. Destroy 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 304-01d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 304-01.4

FILE NUMBER: 304-04.1 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 304-04.1.1 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 304-04.1.2 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 304-05
FILE TITLE: Accounting Policy Files
FILE DESCRIPTION: Files that document accounting policies, procedures, operations, and systems. Included among these files are accounting and reporting matters pertaining to:

- The Chief Financial Officers Act, the Federal Financial Management Improvement Act, the Government Management and Reform Act, and other legislative matters, including congressional testimony
- The Federal Accounting Standards Advisory Board, the Accounting and Auditing Policy Committee, the Chief Financial Officer Council, the Joint Financial Management Improvement Program, the U.S. Government Standard General Ledger Board and other federal-wide authoritative bodies
- The General Accounting Office, the Office of the Inspector General, the Military Department, internal audit agencies, and other audit and/or investigative organizations
- The Office of Management and Budget, the Department of the Treasury, and other Federal Agencies financial issues
- The Defense Working Capital Fund Board, and other internal DoD deliberative bodies
- Audited Financial Statements, the Defense Working Capital Fund
- Property-related issues, including property in the possession of contractors, valuation, depreciation, capitalization, and National Defense property, plant and equipment
- Inventory-related issues, including operating materials and supplies and valuation of inventory
- Liabilities, including environmental, military retirement and health care
- Inter-DoD and intragovernmental eliminations
- Fund balance with the Treasury
- Current, expired and canceled and/or closed accounts
- Problem disbursements, including in-transit disbursements, suspense accounts, triannual reviews of obligations, negative unliquidated obligations and unmatched/undistributed disbursements
- Administrative and personnel-related files and other assorted matters.

DISPOSITION: Permanent. Cut off upon close of case file. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-010, item 304-02
PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 304-02.1, 304-02.2, 304-02.3, 304-02.4, 304-02.5, 304-02.6, 304-02.7, 304-02.8, 304-02.9, 304-02.10, 304-02.11, 304-02.12, 304-02.13, 304-02.14

FILE NUMBER: 304-06
FILE TITLE: Audit and Analysis Files
FILE DESCRIPTION: Documents that plan and develop policies and procedures required for directing and controlling performance of DoD audits or surveys of significant problem areas in defense contractor activities.
DISPOSITION: Permanent. Cut off when canceled or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 305-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 304-06.1

FILE NUMBER: 304-06.1 – Moved to 304-06
FILE NUMBER: 304-06.2 – Moved to 304-07
FILE NUMBER: 304-06.3 – Consolidated into 304-08
FILE NUMBER: 304-06.4 – Consolidated into 304-08
FILE NUMBER: 304-06.5 – Consolidated into 103-13
FILE NUMBER: 304-06.6 – Consolidated into 103-13
FILE NUMBER: 304-07.1 – Moved to 304-10
FILE NUMBER: 304-07.1.1 – RESCINDED

FILE NUMBER: 304-07
FILE TITLE: Internal Auditing Policy
FILE DESRIPTION: Documents which develop policies and plans with respect to internal auditing in the DoD.

- Defines areas subject to audit.
- Assures that all Defense components and activities are subject to appropriate internal audit coverage.
- Analyses, evaluations, and coordination of internal audit organizations, schedules, programs, reports, operations of the DoD internal audit organizations.
- Reviews of internal audit reports of the Defense audit agencies and disseminates significant audit results to the Secretary and Deputy Secretary of Defense and to interested DoD offices.
- Assistance and guidance with respect to any matters relating to the effective performance of the internal audit mission.

DISPOSITION: Permanent. Cut off when canceled or superseded. Transfer to NARA 25 years after cutoff.
NOTE: Summaries of internal audit reports to be destroyed when no longer required for reference.
AUTHORITY: NC1-330-77-013, item 305-03a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 304-06.2

FILE NUMBER: 304-08
FILE TITLE: Contract Audit Policy
FILE DESCRIPTION: Documents which develop policy and procedures to be followed in matters on audit of Defense contractors' records. Documents containing technical guidance for the Defense Contract Audit

Agency (DCAA) as representative of the USD(C). Evaluations of audit instructions developed by the DCAA to ensure consistency with DoD policies. Documents on development of procurement regulations of instructions on contract audit or contract cost practices.
DISPOSITION: Permanent. Cut off when canceled or superseded. Transfer to NARA 25 years after cutoff.
NOTE: Destroy reports and working papers on special studies performed to evaluate the effectiveness of contract audit support of procurement when no longer needed for reference.
AUTHORITY: NC1-330-77-013, item 305-04a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 304-06.3, 304-06.4

FILE NUMBER: 304-09
FILE TITLE: Program and Performance Systems
FILE DESCRIPTION: Documents which

- Prepare policies, plans and guidance for the maintenance, extension and improvement of the DoD Planning Programming System. This provides broad policy on the entire planning concept for budgeting, designating programs and acquisitions to be pursued in the immediate future and for the next 5 years.
- Prepares the annual calendar year action schedule for Program/Budget.
- Significant events and milestones
- Prepares policies and objectives to guide development and implementation of subsystems to the Five Year Defense Program.
- Develops policies, plans and guidance for the measurement of output and performance of DoD activities on a product or capability basis.
- Establishes policies and principles on the use of economic analysis for investment decision.
- Analysis of purchase vs. lease, shared use and similar policy matters related to economic tradeoffs.

DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 304-03
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 304-03.1, 304-03.2, 304-03.7

FILE NUMBER: 304-10
FILE TITLE: Business Policy Files
FILE DESCRIPTION: Documents that develop, promulgate and interpret DoD-wide policies related to accounting and finance systems developments and deployment, internal controls, systems integration, financial data administration; developing reports to the Congress and others on the status of finance, accounting, and interfacing business systems and processes; implementing within the Department major aspects of the Chief Financial Officers Act of 1990, the Federal Financial Management Improvement Act, the Federal Managers' Financial Integrity Act (FMFIA), the Foreign Assistance Act (FAA), and other statutes and regulatory issuances; and supporting the USD(C)/Chief Financial Officer and Deputy Chief Financial Officer on various interagency forums; and promoting and facilitating improvements to financial management processes, systems and organizations.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-00-003, item 1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 304-07.1

SERIES 400 – DoD GENERAL COUNSEL

SERIES TITLE: GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE (GC, DoD) GENERAL COUNSEL FILES

SERIES DESCRIPTION: Records described in this series relate to advice from the Office of the General Counsel Matters regarding all legal matters and services performed within, or involving the Department of Defense, the OSD, and other DoD Components. Includes, but is not limited to, legal advice, standards of conduct involving personnel, development of the DoD Legislative Program, coordination of DoD positions on legislation and Executive Orders, establishment of DoD policy on general legal issues, coordination on FOIA appeals as well as litigation involving the DoD, surveillance over DoD personnel security programs, actions undertaken as lead counsel for DoD on all international negotiations conducted by OSD organizations, and the maintenance of all international agreements coordinated, negotiated, or conducted by DoD personnel.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 400 Series reflect the mission of the General Counsel of the Department of Defense (including lawyers, attorneys and legal professionals assigned in support of OSD, WHS, or WHS-serviced components), such as Defense Legal Services Agency (DLSA), Defense Office of Hearings and Appeals (DOHA), and the Office of Military Commissions (OMC). **NOTE**: OGC staff in other WHS-serviced components that are not affiliated with GC, DoD may use File Numbers issued under the authority of the General Records Schedule (GRS).

RECORDS CATEGORY: 401 – RESERVED

RECORDS CATEGORY: 402
CATEGORY TITLE: Office of the General Counsel of the Department of Defense
CATEGORY DESCRIPTION: Functional records of the DoD GC, and the Deputy GC's within OUSD(Comptroller).

FILE NUMBER: 402-01.1 – Moved to 402-01
FILE NUMBER: 402-01.2 – Moved to 402-02
FILE NUMBER: 402-01.3 – Moved to 402-03
FILE NUMBER: 402-01.4 – Moved to 402-04
FILE NUMBER: 402-01.5 – Moved to 402-05
FILE NUMBER: 402-01.6 – Moved to 402-06

FILE NUMBER: 402-01
FILE TITLE: DoD General Counsel Immediate Office Functional Files
FILE DESCRIPTION: Legal advice, opinions, and assistance to various committees of the Department of Defense such as: Personnel Security Programs (legal assistance on cases for the OSD Control Clearance Groups) Freedom of Information Act (DoD Directive 5400.7-R); and Interpretations of the Act, case opinions, and background information.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-76-002, item 402-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-01.1

FILE NUMBER: 402-02
FILE TITLE: DoD General Counsel Immediate Office Functional Files - DoD Legislative Program
FILE DESCRIPTION: Records that relate to the review, coordination, and presentation of proposed legislation or executive actions that involve any activity of the Department of Defense.
DISPOSITION: Permanent. Cut off when legislation is discontinued. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-01.2

FILE NUMBER: 402-02.1 – Moved to 402-07
FILE NUMBER: 402-02.2 – Consolidated into 402-08
FILE NUMBER: 402-02.3 – Consolidated into 402-08
FILE NUMBER: 402-02.4 – Moved to 402-09

FILE NUMBER: 402-03
FILE TITLE: DoD General Counsel Immediate Office Functional Files - Emergency Planning and Continuity of Operations
FILE DESCRIPTION: DoD General Counsel's (GC, DoD's)s role in subject programs, legal advice on acquisition, and seizure of essential property or equipment. Inventory of essential records for the GC, DoD.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-01c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-01.3

FILE NUMBER: 402-03.1 – Moved to 402-10
FILE NUMBER: 402-03.2 – Moved to 402-11

FILE NUMBER: 402-04
FILE TITLE: DoD General Counsel Immediate Office Functional Files - Legal Proceedings
FILE DESCRIPTION: Records on court trials, administrative hearings, and other legal proceedings, correspondence, and case files.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-01d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-01.4

FILE NUMBER: 402-04.1 – Moved to 402-12
FILE NUMBER: 402-04.2 – Moved to 402-13

FILE NUMBER: 402-04.3 – Moved to 402-14
FILE NUMBER: 402-04.4 – Moved to 402-15
FILE NUMBER: 402-04.5 – Moved to 402-16
FILE NUMBER: 402-04.6 – Moved to 402-17

FILE NUMBER: 402-05
FILE TITLE: DoD General Counsel Immediate Office Functional Files - Real Property
FILE DESCRIPTION: Records documenting legal terms and conditions for the acquisition, care, and occupancy of real property, such as contracts, insurance policies, leases, titles, and other similar records.
DISPOSITION: Retirement or disposition authorized only on an individual case basis. Submit SF 115 for appropriate authorization when disposition action is desired.
AUTHORITY: NC1-330-76-002, item 402-01e
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-01.5

FILE NUMBER: 402-05.1 – Moved to 402-18
FILE NUMBER: 402-05.2 – Moved to 402-19
FILE NUMBER: 402-05.3 – Moved to 402-20

FILE NUMBER: 402-06
FILE TITLE: DoD General Counsel Immediate Office Functional Files - Civil Government
FILE DESCRIPTION: Records on the development and establishment of policies and methods employed in civil government and related matters.
DISPOSITION: Permanent. Cut off when case file is closed. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-01f
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-01.6

FILE NUMBER: 402-07
FILE TITLE: Deputy General Counsel (Fiscal) – OSD Welfare and Recreation Association
FILE DESCRIPTION: Legal advice and assistance to the OSD Welfare and Recreation Association. Processing of Tort, Contract and Compensation Claims arising out of operation in non-appropriated fund activities.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-02.1

FILE NUMBER: 402-08
FILE TITLE: Deputy General Counsel (Fiscal) – Directives and Policy
FILE DESCRIPTION: Legal advice on proposed directives of a fund nature. DoD policy on the administration of Claims under provision of the Federal Tort Claims Act. Collection, compromise, or termination of collection actions on DoD civil claims for money or property. Settlement of claims under the Personnel Claims Act.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-76-002, item 402-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 402-02.2, 402-02.3

FILE NUMBER: 402-02.3 – Consolidated into 402-02.2

FILE NUMBER: 402-09
FILE TITLE: Deputy General Counsel (Fiscal) – Fiscal Matters and Coordination
FILE DESCRIPTION: Legal advice on fiscal matters and coordination on fiscal directives. Records documenting legal terms and conditions of interests, tariff, and tax administration matters.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-02c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-02.4

FILE NUMBER: 402-10
FILE TITLE: Deputy General Counsel (Personnel and Health Policy) – Advice on Clearances of Directives and Policy
FILE DESCRIPTION: Advice and assistance to the OSD (Personnel and Readiness, Reserve Affairs, Health Affairs in the clearances of directives and policy, the preparation of legislative packages, and in all other aspects such as, nondiscrimination, and appeal rights that may have legal applications.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-03d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-03.1

FILE NUMBER: 402-11
FILE TITLE: Deputy General Counsel (Personnel and Health Policy) – Advice on Personnel Matters
FILE DESCRIPTION: Documents providing advice to the OUSD (P&R) personnel matters such as equal opportunity, labor management relations, off-base housing.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-03e
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-03.2

FILE NUMBER: 402-12
FILE TITLE: Deputy General Counsel (Acquisition and Logistics) - Inventions
FILE DESCRIPTION: Legal directives, advice, and opinions on inventions and their licensing.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITIY: NC1-330-76-002, item 402-04a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-04.1

FILE NUMBER: 402-13
FILE TITLE: Deputy General Counsel (Acquisition and Logistics) – Natural Resources
FILE DESCRIPTION: Legal aspects of conservation and management of natural resources such as oil reserves.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-04b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-04.2

FILE NUMBER: 402-14
FILE TITLE: Deputy General Counsel (Acquisition and Logistics) – Real Property
FILE DESCRIPTION: Records on the documentation of the policy for the acquisition of real property, terms and conditions of the titles, contracts, deeds, court orders, and related proceedings.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-04c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-04.3

FILE NUMBER: 402-15
FILE TITLE: Deputy General Counsel (Acquisition and Logistics) – DAR
FILE DESCRIPTION: Legal advice on Defense Acquisition Regulation (DAR) or other procurement matters and files of procurement actions of special interest to OSD. Legal advice to the Defense Systems Acquisition Review Council on procurement activities. Advice and review of procurement contracts.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-04d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-04.4

FILE NUMBER: 402-16
FILE TITLE: Deputy General Counsel (Acquisition and Logistics) – Logistical Functions
FILE DESCRIPTION: Legal advice on general directives, instructions, and operation of logistical functions. Advice on transportation matters, proceedings before regulatory agencies, motor vehicle accidents, Homeowners Assistance Program, etc.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-04e
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-04.5

FILE NUMBER: 402-17
FILE TITLE: Deputy General Counsel (Acquisition and Logistics) – Committee Files
FILE DESCRIPTION: Advice and assistance to various committees in these functional areas such as the OSD Concessions Committee that require contract and lease advice.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-03a

PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-04.6

FILE NUMBER: 402-18
FILE TITLE: Senior Deputy General Counsel (International Affairs and Intelligence) – International Matters
FILE DESCRIPTION: Legal advice and assistance on such international matters as: Status of Forces Agreements, jurisdiction of Service Courts of friendly Foreign Forces, review of legality of weapons under international law. Agreements with foreign governments or international organizations.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-05a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-05.1

FILE NUMBER: 402-19
FILE TITLE: Senior Deputy General Counsel (International Affairs and Intelligence) – Department of State
FILE DESCRIPTION: Legal opinions prepared for the Secretary of Defense on Defense matters under discussion or review by the Department of State.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-05b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-05.2

FILE NUMBER: 402-20
FILE TITLE: Senior Deputy General Counsel (International Affairs and Intelligence) – DoD Components
FILE DESCRIPTION: Directives and policy instructions to the DoD Components of the Department of Defense concerning such subjects as indicated in 402-05.1., above.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-05c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 402-05.3

RECORDS CATEGORY: 403
CATEGORY TITLE: Standards of Conduct Office
CATEGORY DESCRIPTION: Records pertaining to standards of conduct. The dispositions included here apply EXCEPT that documents needed in an on-going investigation shall be retained until no longer needed in the investigation.

FILE NUMBER: 403-01
FILE TITLE: Alternative or Additional Financial Disclosure Reports and Related Files
FILE DESCRIPTION: All other reports [other than those in 403-03]
DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after receipt of the financial disclosure report by the Agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
AUTHORITY: GRS 2.8, item 081 (DAA-GRS-2014-0005-0015)

PRIVACY ACT: OGE/GOVT2
FORMER FILE NUMBER(s): 403-01, 403-02, 403-04

FILE NUMBER: 403-02 – Consolidated into 403-01
FILE NUMBER: 403-03 – Moved to 403-07 and 403-08, as applicable
FILE NUMBER: 403-04 – Consolidated into 403-01

FILE NUMBER: 403-05
FILE TITLE: Ethics Agreements Records – No Financial Disclosure Reports
FILE DESCRIPTION: Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest for employees who do not file financial disclosure reports. Includes:

- Review of recusals, resignations, reassignments, and divestitures
- Determinations
- Authorizations
- Waivers
- Waivers of disqualifications

DISPOSITION: Temporary. Cut off annually. Destroy 6 years after the waiver or other agreed upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later.
AUTHORITY: GRS 2.8, item 100 (DAA-GRS-2014-0005-0017)
PRIVACY ACT: Not Applicable

FILE NUMBER: 403-06
FILE TITLE: Ethics Agreements Records – Financial Disclosure Reports Filed
FILE DESCRIPTION: Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest for employees who file financial disclosure reports. Includes:

- Review of recusals, resignations, reassignments, and divestitures
- Determinations
- Authorizations
- Waivers
- Waivers of disqualifications

DISPOSITION: Temporary. Cut off annually. Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later.
AUTHORITY: GRS 2.8, item 101 (DAA-GRS-2014-0005-0018)
PRIVACY ACT: Not Applicable

FILE NUMBER: 403-07
FILE TITLE: Public Financial Disclosure Reports – Non-Confirmed Individuals
FILE DESCRIPTION: Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate. Legal Citation: 5 U.S.C. app. section 105, 5 CFR 2634.603.

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
AUTHORITY: GRS 2.8, item 060 (DAA-GRS-2014-0005-0007)
PRIVACY ACT: DGC16
FORMER FILE NUMBER: 403-03

FILE NUMBER: 403-08
FILE TITLE: Public Financial Disclosure Reports – All Others
FILE DESCRIPTION: Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records for all other individuals other than unconfirmed individuals covered under 403-07.
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after receipt of the OGE form 278 or 278e or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
AUTHORITY: GRS 2.8, item 061 (DAA-GRS-2014-0005-0008)
PRIVACY ACT: DGC 16
FORMER FILE NUMBER: 403-03

FILE NUMBER: 403-09
FILE TITLE: Confidential Financial Disclosure Reports (OGE-450 and OGE-450A) – Non-Confirmed Individuals
FILE DESCRIPTION: Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), and related records for individuals not subsequently confirmed by the U.S. Senate.
DISPOSITION: Temporary. Cut off and destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
AUTHORITY: GRS 2.8, item 070 (DAA-GRS-2014-0005-0011)
PRIVACY ACT: DGC16

FILE NUMBER: 403-10
FILE TITLE: Confidential Financial Disclosure Reports (OGE-450 and OGE-450A) – All Others
FILE DESCRIPTION: These files contain copies of OGE 450 "Confidential Financial Disclosure Report" and OGE 451 "Confidential Certificates of No Interest" for all others (other than those individuals not confirmed by the US Senate) that may be submitted by those Government officials specified by the Ethics in Government Act of 1978. Also included are worksheets, correspondence, and other pertinent documents.
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after receipt of the OGE Form 450 by the Agency, except when the OGE Form 450 supports one or more subsequent Optional OGE 450-A's then destroy 6 years after receipt of the last related OGE Form 450-A by the Agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
AUTHORITY: GRS 2.8, item 071 (DAA-GRS-2014-0005-0012)
PRIVACY ACT: DGC16

RECORDS CATEGORY: 404
CATEGORY TITLE: Office of Hearings and Appeals Files
CATEGORY DESCRIPTION: Records pertaining to investigations, and adjudications for personnel National Security clearances.

FILE NUMBER: 404-01 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 404-02
FILE TITLE: Investigative Report Files
FILE DESCRIPTION: Summaries and reviews and investigative reports on issuance of, or continuation of clearances, which are favorable.
DISPOSITION: Temporary. Cut off at inactivation of case. Destroy 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-03b
PRIVACY ACT: DGC 04

FILE NUMBER: 404-03
FILE TITLE: Hearing Case Files
FILE DESCRIPTION: Case files on determinations and hearings for applicants maintained by Department Counsel, Administrative Judges, and Appeal Board.
DISPOSITION: Temporary. Cut off upon inactivation of case. Destroy 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-03d
PRIVACY ACT: DGC 17

FILE NUMBER: 404-04
FILE TITLE: Final Decisions
FILE DESCRIPTION: Redacted copies of final decisions of Administrative Judges and Appeal Board.
DISPOSITION: Cut off annually. Retain in OSD. Review for disposition in 20 years.
AUTHORITY: NC1-330-77-013, item 306-03e
PRIVACY ACT: Not Applicable

FILE NUMBER: 404-05 – RESCINDED

RECORDS CATEGORY: 405
CATEGORY TITLE: Legislative Reference Service Files
CATEGORY DESCRIPTION: Legislative opinions on proposed and historical legislation.

FILE NUMBER: 405-01
FILE TITLE: Legislation and Opinion Files
FILE DESCRIPTION: Documents on proposed legislation and legal opinions, positions on legislative matters if of interest to the Defense Department.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-06a
PRIVACY ACT: Not Applicable

FILE NUMBER: 405-02
FILE TITLE: Document Reference and Distribution Point Files
FILE DESCRIPTION: Copies of documents, laws, acts, Federal Code, directives of legal interest used to facilitate work.
DISPOSITION: Temporary. Cut off and destroy when no longer needed for reference.
AUTHORITY: NC1-330-76-002, item 402-06b
PRIVACY ACT: Not Applicable

FILE NUMBER: 405-03
FILE TITLE: Historical Legislation
FILE DESCRIPTION: Documents, opinions, and related papers of legislative content that have historic or continuing interest.
DISPOSITION: Permanent. Cut off when legislation is no longer effective. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-76-002, item 402-06c
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 406 – Consolidated into 202-82

RECORDS CATEGORY: 407
CATEGORY TITLE: Program Records of the Office of Military Commissions (OMC)
CATEGORY DESCRIPTION: Records pertaining to the functions and responsibilities of the Office of Military Commissions and its mission of achieving just resolution to all cases referred to a military commission.

FILE NUMBER: 407-01
FILE TITLE: Military Commission Legal Filings
FILE DESCRIPTION: Information regarding legal filings from trial counsel, defense counsel, military judge, convening authority, or other party provided to the military commission or convening authority which is used during the

- Swearing and referring of charges
- Active court litigation
- Trial on the merits, including sentencing and the final record of trial

DISPOSITION: Permanent. Cut off when case closes. Transfer to NARA 20 years after cutoff.
AUTHORITY: DAA-0330-2014-0005-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-02
FILE TITLE: Military Commission Guidance and Policy Files
FILE DESCRIPTION: Policy and guidance **i**nformation pertaining to the legal operation of the military commission system through court rules and regulations which impact how military commissions are operated within and outside the courtroom.

DISPOSITION: Permanent. Cut off annually in the year when superseded or obsolete. Transfer to NARA in five year blocks 20 years after close of the block.
AUTHORITY: DAA-0330-2014-0005-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-03
FILE TITLE: Military Commission Witness Files
FILE DESCRIPTION: Information on witnesses, experts, and non-experts who are requested to appear before a military commission. This includes correspondence, witness information, oaths/affirmations, contract/funding agreements, approval letters, authorizations, and other information indicating action has been taken.
DISPOSITION: Permanent. Cut off when case closes. Transfer to NARA 20 years after cutoff.
AUTHORITY: DAA-0330-2014-0005-0003
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-04
FILE TITLE: Military Commission Records of Trial
FILE DESCRIPTION: Information required for the completion of the record of trial for a specific military commission. This includes all legal filings, transcripts, opinions/rulings, evidence, allied papers, and other legal filings appropriate to construct and publish the record of trial to the public, accused, trial and defense counsel, and other parties as required by the Military Commission Act of 2009.
DISPOSITION: Permanent. Cut off when all appeals have been exhausted, case is completed, and record of trial has been authenticated by the military judge. Transfer to NARA 20 years after cutoff.
AUTHORITY: DAA-0330-2014-0005-0004
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-05
FILE TITLE: Military Commission Operational Files
FILE DESCRIPTION: Information on the internal management of a military commission and its proceeding. Includes logistical, construction, security, travel, contract procurements and the budgets and funding necessary for the operation of the military commission proceedings. Also includes all budget, travel, military and civilian personnel, information technology, contractual agreements, and other items necessary for the operational running of the Office of Military Commissions.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA in five year blocks 20 years after close of the block.
AUTHORITY: DAA-0330-2014-0005-0005
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-06
FILE TITLE: Office of Court Administration Files
FILE DESCRIPTION: Information concerning the administration of court proceedings to include court stenographers, court reporters, panel members, and a repository for legal documents required for the operation of the public aspects of military commission proceedings.

DISPOSITION: Temporary. Cut off upon completion of a military commission proceeding or when an individual is no longer required to participate. Destroy 6 years after cutoff.
AUTHORITY: DAA-0330-2014-0005-0006
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-07
FILE TITLE: Victim Assistance Program Files
FILE DESCRIPTION: Records pertaining to the development and implementation of the victim family member assistance program within the military commission system. This includes outreach materials, policies, procedures, victim and family member information, logistical support coordination, and other related information necessary for successful outreach and support.
DISPOSITION: Temporary. Cut off upon completion of trial or withdrawal of family member from program. Destroy 6 years after cutoff.
AUTHORITY: DAA-0330-2014-0005-0007
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-08
FILE TITLE: Military Commission Records of Trial (Public Version)
FILE DESCRIPTION: Electronic public version of records of trial, provided to the public via the Office of the Military Commissions Website. This includes unclassified legal filings, transcripts, opinions/rulings, evidence, allied papers, and other legal filings appropriate to construct and publish the record of trial to the public, accused, trial and defense counsel, and other parties as required by the Military Commission Act of 2009 and published to the OMC website.
DISPOSITION: Permanent. Cut off when case closes. Transfer to NARA 15 years after cutoff.
AUTHORITY: DAA-0330-2014-0005-0008
PRIVACY ACT: Not Applicable

FILE NUMBER: 407-09
FILE TITLE: OMC Office of the Prosecutor Victim's Database
FILE DESCRIPTION: System used to collect information from victims and/or family members who have suffered direct harm or loss as a result of an offense as defined in the Military Commissions Act of 2006 (MCA), for which an individual subject to trial by a military commission has been charged. Information in this database is used to allow victims and/or family members to view Closed Circuit Television of the trials, to facilitate the solicitation of victim impact information, and to assist those victims and/or family members who are interested in attending portions of the trials to travel to Guantanamo Bay, Cuba (GTMO) on military aircraft and access the installation to view the proceedings or other location within the United States designated by the President of the United States. Information collected includes:

- Full name, Social Secunty Number (SSN), mailing address, phone number(s) and email)
- Requests to view closed circurt television broadcasts of hearings
- Travel-related information (passport information, blood type, emergency point of contact information, etc)
- Victim Impact questionnaires (name of the deceased or injured and other related information)

DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-09-005, item 1
PRIVACY ACT: TBD

SERIES 500 – USD(INTELLIGENCE AND SECURITY)

SERIES TITLE: UNDER SECRETARY OF DEFENSE (INTELLIGENCE AND SECURITY) (OUSD(I&S)), DEPARTMENT OF DEFENSE

SERIES DESCRIPTION: Records described in this series relate to the intelligence functions of the Secretary of Defense. Includes, but is not limited to, DoD intelligence policies, programs, and activities, including those for warning, reconnaissance, and other related areas that may be designated by the Secretary of Defense.

SERIES APPLIES TO THE FOLLOWING ORGANZATIONS: File Numbers within the 500 Series reflect the mission of the Office of the Under Secretary of Defense for Intelligence (OUSD(I&S)).

RECORDS CATEGORY: 501 – RESERVED

RECORDS CATEGORY: 502
CATEGORY TITLE: Programs and Resources
CATEGORY DESCRIPTION: Program and resource records pertaining to the U.S. Intelligence Community.

FILE NUMBER: 502-01
FILE TITLE: Programs and Resources – Intelligence Planning at OSD Level
FILE DESCRIPTION: Documents that develop, coordinate, and promulgate all documents in intelligence and intelligence-related planning and programming at the OSD level.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 502-01.1

FILE NUMBER: 502-01.1 – Moved to 502-01
FILE NUMBER: 502-01.2 – Moved to 502-02
FILE NUMBER: 502-01.3 – Moved to 502-03
FILE NUMBER: 502-01.4 – Consolidated into 206-04.3
FILE NUMBER: 502-01.5a – Moved to 502-04
FILE NUMBER: 502-01.5b – Moved to 502-05

FILE NUMBER: 502-02
FILE TITLE: Analysis of Intelligence Resource Programs
FILE DESCRIPTION: Analyses of intelligence resources programs and supervision of their implementation.
DISPOSITION: Permanent. Cutoff annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 502-02.1 – RESCINDED

FILE NUMBER: 502-02.2 – RESCINDED

FILE NUMBER: 502-03
FILE TITLE: Recommendations for Intelligence Resources
FILE DESCRIPTION: Recommendation of objectives, plans, and guidance for intelligence resources.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-01c
PRIVACY ACT: Not Applicable

FILE NUMBER: 502-04
FILE TITLE: Intelligence Budget Recommendations
FILE DESCRIPTION: Formulation of budget estimates, fiscal and manpower, for the intelligence positions of the DoD budget. Reviews of intelligence programs and recommendations for funding levels.
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-01d
PRIVACY ACT: Not Applicable

FILE NUMBER: 502-05
FILE TITLE: Intelligence, Fiscal, and Manpower Databases: User Manuals
FILE DESCRIPTION: User manuals on the intelligence database, fiscal and manpower databases.
DISPOSITION: Temporary. Cut off when system is discontinued. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-01e(1)
PRIVACY ACT: Not Applicable

FILE NUMBER: 502-06
FILE TITLE: Intelligence, Fiscal, and Manpower Databases: Data Dictionaries
FILE DESCRIPTION: Data element definitions that maintain the intelligence database, fiscal and manpower databases.
DISPOSITION: Temporary. Cut off when superseded. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-01e(2)
PRIVACY ACT: Not Applicable

FILE NUMBER: 502-07
FILE TITLE: General Systems – Policy Correspondence and Coordination
FILE DESCRIPTION: Policy correspondence with and coordination of intelligence activities within the Department of Defense and with other U.S. Government entities.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-02c(1)
PRIVACY ACT: Not Applicable

FILE NUMBER: 502-08
FILE TITLE: General Systems – Administrative and Non-Policy Correspondence and Coordination
FILE DESCRIPTION: Correspondence with and coordination of intelligence activities within the Department of Defense and with other U.S. Government entities.

DISPOSITION: Temporary. Cut off when coordination action is discontinued or when no longer needed. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-009, item 502-02c(2)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 503
CATEGORY TITLE: Intelligence, Surveillance and Warning
CATEGORY DESCRIPTION: Records pertaining to development, interpretation, and operation of intelligence gathering, surveillance and warning systems, including budget and resource material.

FILE NUMBER: 503-01.1 – RESCINDED

FILE NUMBER: 503-01
FILE TITLE: Intelligence, Surveillance and Warning – ELINT
FILE DESCRIPTION: Technical and policy Directives for all programs involving electronic intelligence (ELINT) within the Department of Defense. Reviews and analyses of adequacy of current or future ELINT systems. Cost and/or value evaluations of such systems.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 503-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 503-02.1 – RESCINDED
FILE NUMBER: 503-02.2 – RESCINDED
FILE NUMBER: 503-02.3 – RESCINDED
FILE NUMBER: 503-02.4 – RESCINDED

FILE NUMBER: 503-03
FILE TITLE: Space Systems
FILE DESCRIPTION: Evaluations of programs for new systems and devices related to intelligence functions. Determinations on the needs for intelligence programs based on analyses of threats, resource priorities, requirements, trends, strategic objectives, and innovations in technology. Studies and technical guidance on specialized intelligence systems.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 503-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 503-04.1
FILE TITLE: SIGINT Systems – Policy Directives for Development, Integration, and Operation
FILE DESCRIPTION: Policy directives for the development, integration, and operation of reconnaissance and surveillance programs. Reviews and analyses of existing and planned systems to determine adequacy and objectivity.
DISPOSITION: Permanent. Cut off upon completion of actions or when no longer needed. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 503-04a

PRIVACY ACT: Not Applicable

FILE NUMBER: 503-04.2
FILE TITLE: SIGINT Systems – Technical and Policy Direction
FILE DESCRIPTION: Technical and policy direction for all reconnaissance and surveillance programs.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 503-04b
PRIVACY ACT: Not Applicable

FILE NUMBER: 503-05.1 – RESCINDED
FILE NUMBER: 503-05.2 – RESCINDED
FILE NUMBER: 503-05.3 – RESCINDED
FILE NUMBER: 503-05.4 – RESCINDED
FILE NUMBER: 503-05.5 – RESCINDED
FILE NUMBER: 503-05.6 – RESCINDED

FILE NUMBER: 503-05
FILE TITLE: Intelligence Resources - Studies and Exercises for DoD Services
FILE DESCRIPTION: Preparation and backup data and copies of completed documents.
DISPOSITION: Temporary. Cut off and destroy when obsolete or no longer needed for reference.
AUTHORITY: NC1-330-77-009, item 503-05h
PRIVACY ACT: Not Applicable

FILE NUMBER: 503-06
FILE TITLE: Intelligence Resources - Budget Issue Papers
FILE DESCRIPTION: Budget issue papers for DoD Services and Government Agencies.
DISPOSITION: Temporary. Cut off and destroy when obsolete or no longer needed.
AUTHORITY: NC1-330-77-009, item 503-05i
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 504
CATEGORY TITLE: Intelligence (Other)
CATEGORY DESCRIPTION: Records pertaining to Intelligence, not otherwise described in a Records Category within the 500 Series.

FILE NUMBER: 504-01.1
FILE TITLE: Contractor Files – Interim Contract Reports
FILE DESCRIPTION: Interim contract reports and document volumes that are portions of complete contract requirements and contract files by contract titles. Complete Contract files are defined as research and evaluation project study documents created by civilian companies, corporations, etc., per Government contract for resultant documents.
DISPOSITION: Temporary. Cut off and destroy when contract report files are complete.
AUTHORITY: NC1-330-77-009, item 504-01a
PRIVACY ACT: Not Applicable

FILE NUMBER: 504-01.2
FILE TITLE: Contractor Files – Correspondence
FILE DESCRIPTION: Correspondence with point of contact on contract timing, change, amendments, background data, control and dissemination of created documents.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 504-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 504-01.3
FILE TITLE: Contractor Files – Contract Products
FILE DESCRIPTION: Control, dissemination, and evaluation of contractor products by military and/or civilian professional staff.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 504-01c
PRIVACY ACT: Not Applicable

FILE NUMBER: 504-02
FILE TITLE: General Purpose Force Reference and Planning Files
FILE DESCRIPTION: Operations plans, orders, and technical description and evaluation publications and committee meetings and evaluation minutes, issues, discussions, and conclusions.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff. **NOTE:** Destroy reference files when obsolete or no longer needed.
AUTHORITY: NC1-330-77-009, item 504-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 504-03
FILE TITLE: Strategic Force
FILE DESCRIPTION: Reference file of strategy plans; offensive system files and intelligence committee correspondence; Strategic Arms Limitations Talks (SALT) monitoring documents, messages and papers.
DISPOSITION: Temporary. Cut off and destroy when obsolete or no longer needed.
AUTHORITY: NC1-330-77-009, item 504-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 504-04
FILE TITLE: Intelligence Collection systems
FILE DESCRIPTION: Allocations, product evaluations, perspectives, and objective files.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 504-04
PRIVACY ACT: Not Applicable

FILE NUMBER: 504-05
FILE TITLE: Special Subject Files
FILE DESCRIPTION: Analysis, comparison, management, study results, and historical research of special subjects.

DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-009, item 504-05
PRIVACY ACT: Not Applicable

FILE NUMBER: 504-06
FILE TITLE: Intelligence Resource Documents
FILE DESCRIPTION: Memoranda, reports, reviews, and required following fact sheets and/or books and service and foreign country publications.
DISPOSITION: Temporary. Cut off annually. Destroy when obsolete or no longer required following annual cut off of files.
AUTHORITY: NC1-330-77-009, item 504-06
PRIVACY ACT: Not Applicable

SERIES 600 – RESERVED

SERIES TITLE: RESERVED

SERIES 700 – ATSD(PUBLIC AFFAIRS)

SERIES TITLE: ASSISTANT TO THE SECRETARY OF DEFENSE (PUBLIC AFFAIRS) (ATSD(PA)), DEPARTMENT OF DEFENSE

SERIES DESCRIPTION: Records described in this series relate to public information and community relations activities in support of the Department of Defense. Includes, but is not limited to, news media releases and relations, communications policies, plans, and programs in support of DoD objectives and operations, Integration of social and online media tools into DoD's communication strategy to maximize its ability to communicate timely information to traditional and non-traditional audiences, community relations, information training, and audiovisual matters.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: Files Numbers within the 700 Series reflect the mission of the Office of the Assistant to the Secretary of Defense for Public Affairs (OATSD(PA)) and DoD agencies and field activities under its authority, direction and control, including the Defense Media Activity (DMA).

RECORDS CATEGORY: 701
CATEGORY TITLE: Informational Services Records
CATEGORY DESCRIPTION: This file contains certain records on information services performed by the Department of Defense offices in their day-to-day affairs and in their relations with the public. Except as otherwise specified in individual items, it applies to copies of these records wherever located in the Department of Defense.

FILE NUMBER: 701-01
FILE TITLE: Informational Releases and Publications – Press Products
Complete set of formal informational releases and publications, such as press releases, press conference transcripts, graphic progress presentations, and indexes thereto.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 701-09a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 701-09.1.1

FILE NUMBER: 701-02
FILE TITLE: Public Affairs Product Production Files
FILE DESCRIPTION: Records relating to developing speeches, publications, educational material, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:

- News clippings
- Marketing research
- Copies of records used for reference in preparing products
- Research notes
- Printers galleys

- Drafts and working copies (see Exclusion 3)
- Preparatory or preliminary artwork or graphics
- Bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4)
- Clearances related to release of products (see Exclusions 5 and 6)

NOTE 1: Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item.

NOTE 2: Agencies must offer any cartographic and aerial photographic records created prior to January 1, 1950 to NARA before applying this disposition authority.

Exclusion 1: Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials are covered under File Number 709-01.1

Exclusion 2: This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and if so are covered under file numbers 701-09.8 or 701-09.9.

Exclusion 3: This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.

Exclusion 4: This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.

Exclusion 5: Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule.

Exclusion 6: This item does not cover clearances for release of information related to declassification review.

DISPOSITION: Temporary. Cut off and destroy after business use ceases.

AUTHORITY: GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 701-09.5

FILE NUMBER: 701-03

FILE TITLE: Public Correspondence and Communications Not Requiring Formal Action

FILE DESCRIPTION: Records related to correspondence and communications, including comments, to and from the public, that require no formal response or action . Includes:

- Comments the agency receives but does not act upon or that do not require a response, such as:
  - Write-in campaigns
  - Personal opinions on current events or personal experiences
  - Routine complaints or recommendations
  - Anonymous communications
  - Suggestion box comments
  - Public correspondence addressed to another entity and copied to the agency or that the agency receives in error
  - Comments posted by the public on an agency website that do not require response or that the agency does not collect for further use
- Communications from the public that the agency responds to but takes no formal action on

- Agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting

NOTE 1: For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use File Number 102-06.4.
NOTE 2: The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials.
Exclusion 1: Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.
Exclusion 2: Public comments that the agency takes action on or uses to take action are not covered by this file number.
DISPOSITION: Temporary. Cut off monthly. Destroy 90 days after cutoff.
AUTHORITY: GRS 6.4, item 020 (DAA-GRS-2016-0005-0002)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 701-09.6

FILE NUMBER: 701-04
FILE TITLE: Informational Releases and Publications – Implementation of Policies
FILE DESCRIPTION: Records on the implementation of policies, criteria, and standards regarding the release of information to the press, radio, television, or other media whereby such release shall result in information reaching the public.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 701-09i
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 701-09.8a

FILE NUMBER: 701-05
FILE TITLE: Informational Releases and Publications – Official DoD Position
FILE DESCRIPTION: Records on the planning, preparation, coordination, and issuance of publications issued as an official DoD position.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 701-09k
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 701-09.9

FILE NUMBER: 701-06
FILE TITLE: Public Affairs-related Routine Operational Records
FILE DESCRIPTION: Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:

- Logistics, planning, and correspondence records for routine conferences and events
- Correspondence and records on speakers and speaking engagements, including biographies
- Case files and databases of public comments (related to public affairs activities only)

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff or when no longer needed, whichever is later.
AUTHORITY: GRS 6.4, item 010 (DAA-GRS-2016-0005-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 701-07
FILE TITLE: Significant Still, Motion and/or Audio Recording Combat Visual Information
FILE DESCRIPTION: Visual information and associated hard copy or electronic finding aids and caption information recorded by DoD military, civilian or contract personnel, or acquired from non-DoD sources, that records / documents the various types of events and activities that take place during combat operations, missions, and engagements with an enemy within a joint or non-joint (service specific)-Combatant Command and/or joint department - environment and/or terrorism attacks, events, or acts. Also included is the contextual VI documenting the pre-and post-operation efforts, activities, events, briefings, reports, and training that put the combat events into operational and historical perspective. Visual information may also include that which differs from the camera originals but that was released (i.e. masking/ redaction, cropping, etc.). Content may include but is not limited to:

- Category 1: Organized by the name of the operation
    - Organized by Military Service, Office of the Secretary of Defense or Department
        - Organized by the following categories and their subject matter titles therein
            - Operation/Enemy Engagement
            - Pre-Operation
            - Post-Operation

    Within each Operation/Enemy Engagement, Pre-Operation, Post-Operation are (but is not limited to) the following sub-categories:
    - Humanitarian Aid and Disaster Relief/Response (HADR)
        - Supplies
        - Medical Aid
        - Damage Assessment
        - Reconstruction
    - Training
        - Basic Training
        - Classroom
        - Career-field Specialty Training
        - General Readiness
        - Weapons Training
    - Exercises by name & year
        - With Foreign military
        - U.S. Services (individual or combined)
    - Health, Morale, Welfare, Recreation & Community
        - USO
        - Healthcare
        - Religious Services
    - Community Outreach
        - Women's Issues
        - Government rebuilding/diplomacy
    - Ceremonies
        - Funerals/memorials/dignified transfers
        - Repatriation of Remains
        - Awards/promotions/graduations
        - Change of Command

        - Inauguration
    - Peacekeeping
        - Occupational Forces
        - Relief Supplies
    - Officials (imagery of)
        - President, Vice President, Secretaries of the U.S. Services and Departments, foreign dignitaries, etc.
    - History/documentation
        - First-time events within DoD
        - Documentation of vehicles such as aircraft, vessels, etc., weapons, uniform changes, etc.
        - Daily life and operations of the DoD
        - Unique events
        - Military support to civil authorities (e.g. riots, natural disasters)
- Category 2: Terrorism Attack Event Name (Organized within one of the following categories):
    - Damage Assessment
    - Recovery/Reconstruction efforts
    - Security Response
        - Domestic
        - International
    - History/Documentation

NOTE: Combat visual information included within predominantly textual files such as reports, briefing documents, case files, evidentiary type files, investigative files, etc. should never be removed and should be scheduled in accordance with the disposition of the those files and reports.

DISPOSITION: Permanent. Cut off annually. DoD Components will transfer visual information to the Defense Imagery Management Operations Center (DIMOC) as soon as possible, but no later than one year from the date of creation. DIMOC will cut off the VI annually. For security-classified visual information or that which is covered by identifiable FOIA exemption restrictions, DIMOC will cut off such materials annually and confer with originating DoD offices as necessary. Transfer to NARA in five-year blocks for Accessioning immediately after the end of the last year of the block. For security-classified visual information or that which is covered by identifiable FOIA exemption restrictions, transfer to NARA in 5 year blocks two years after the end of the last year of the block.

AUTHORITY: DAA-0330-2013-0014-0001

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-08

FILE TITLE: Significant Still, Motion and/or Audio Recording Non-Combat Visual Information

FILE DESCRIPTION: Content may include but is not limited to:

- Category 1: Non-Combat Visual Information with an Operation Name and Year (Organized by the services/departments/offices (Army, DLA, etc.))

- Humanitarian Aid and Disaster Relief/Response (HADR)
  - Supplies
  - Medical Aid
  - Damage Assessment
  - Reconstruction
- Training
  - Basic Training
  - Classroom
  - Career-field Specialty Training
  - General Readiness
  - Weapons Training
- Exercises by name & year
  - With Foreign military
  - U.S. Services (individual or combined)
- Health, Morale, Welfare, Recreation & Community
  - USO
  - Healthcare
  - Religious Services
- Community Outreach
  - Women's Issues
  - Government rebuilding/diplomacy
- Ceremonies
  - Funerals/memorials/dignified transfers
  - Repatriation of Remains
  - Awards/promotions/graduations
  - Change of Command
  - Inauguration
- Peacekeeping
  - Occupational Forces
  - Relief Supplies
- Officials (imagery of)
  - President, Vice President, Secretaries of the U.S. Services and Departments, foreign dignitaries, etc.
- History/documentation
  - First-time events within DoD
  - Documentation of vehicles such as aircraft, vessels, etc., weapons, uniform changes, etc.
  - Daily life and operations of the DoD
  - Unique events
  - Military support to civil authorities (e.g. riots, natural disasters)

- Category 2: Non-Combat Visual Information without an Operation name (Organized by the services/departments/offices (Army, DLA, etc.)):
  - Humanitarian Aid and Disaster Relief/Response (HADR)
    - Supplies
    - Medical Aid
    - Damage Assessment
    - Reconstruction

- Training
  - Basic Training
  - Classroom
  - Career-field Specialty Training
  - General Readiness
  - Weapons Training
- Exercises by name & year
  - With Foreign Military
  - U.S. Services (individual or combined)
- Health, Morale, Welfare, Recreation & Community
  - USO
  - Healthcare
  - Religious Services
  - Music concerts/plays/parades
- Community Outreach
  - Women's Issues
  - Government rebuilding/diplomacy
- Ceremonies
  - Funerals/memorials/dignified transfers
  - Repatriation of Remains
  - Awards/promotions/graduations
  - Change of Command
  - Inauguration
- Peacekeeping
  - Occupational Forces
  - Relief Supplies
- Officials (imagery of)
  - President, Vice President, Cabinet Members (Secretaries of Departments), and Assistant Secretaries, U.S. Military Chiefs, Commandants, Chairman of the Joint Chiefs, National Security Director, and Cabinet-level officers, Directors of the intelligence agencies (CIA, DIA, NSA, etc.)
  - Imagery of individuals of national interest (newsworthy) whether foreign or domestic
- History/documentation
  - First-time events within DoD
  - Documentation of vehicles such as aircraft, vessels, etc., weapons, uniform changes, etc.
  - Daily life and operations of the DoD
  - Unique events
  - Military support/Joint assistance to civil authorities/law enforcement (e.g. peaceful protests, riots, etc.)
  - Recruiting/Promotional
  - Non-combat imagery documenting significant political, social, cultural, economic, environmental, scientific, or technological subject-matter

NOTE: Combat visual information included within predominantly textual files such as reports, briefing documents, case files, evidentiary type files, investigative files, etc. should never be removed and should be scheduled in accordance with the disposition of the those files and reports.

DISPOSITION: Permanent. Cut off at date of creation. Transfer visual information to the DIMOC as soon as possible, but no later than one year from cutoff. DIMOC will cut off visual information annually. DIMOC will transfer to NARA in 5 year blocks immediately after the end of the last year of the block.
AUTHORITY: DAA-0330-2013-0014-0002
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-09
FILE TITLE: Non-Significant Still, Motion and/or Audio Recording Visual Information
FILE DESCRIPTION: Visual information that is duplicative, excessive in coverage, non-useable for lack of metadata, or relating to routine subjects not reflective of mission of the Department of Defense. Visual information and associated hard copy or electronic finding aids and caption information captured by DoD military, civilian or contract personnel, or acquired from non-DoD sources, that records/documents various types of routine events and ceremonies not central to the mission of the Department of Defense, that lacks appropriate metadata, that is duplicative, or that is deemed to be in excess of what is necessary for the adequate and proper visual documentation of the unique mission and history of the Department of Defense.

- Visual information without the critical metadata information
    - Still Imagery:
        - Photographer Name
        - Caption
        - Date Shot
        - VIRIN
    - Motion and/or Audio Recording:
        - Videographer Name
        - Caption
        - Date Shot
        - VIRIN
- Duplicate copies
- Official photographs, personnel identification or passport photographs
- Visual information of:
    - Routine award ceremonies, social events, and other activities not related to the mission of the Department of Defense
    - Poor visual quality
    - Internal personnel and administrative training programs that are not related to the mission of the Department of Defense deemed to be in excess of what is necessary for adequate and proper visual documentation of subjects listed under Items 1 and 2; Examples may include, but are not limited to, repetitive shots of the same event, multiple camera angle shots of the same event o promote campaigns common to most government agencies (e.g., CFC donations, blood drives, health fairs, etc.)

DISPOSITION: Temporary. Cut off annually and offer to DIMOC: 1. DIMOC may offer back to the capturing U.S. Military Service. 2. DIMOC may offer to the original Services' U.S. Military Service Academy Library, Archive or Museum. DIMOC will destroy records immediately after receiving a negative response from owning DoD Component or DIMOC will destroy records immediately if not offered to any Component.
AUTHORITY: DAA-0330-2013-0014-0003
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-09.1.1 – Moved to 701-01
FILE NUMBER: 701-09.1.2 – Moved to 212-07
FILE NUMBER: 701-09.2 – Consolidated into 102-06.4
FILE NUMBER: 701-09.3 – Consolidated into 102-06.4
FILE NUMBER: 701-09.4 – RESCINDED
FILE NUMBER: 701-09.5 – Moved to 701-02
FILE NUMBER: 701-09.6 – Moved to 701-03
FILE NUMBER: 701-09.7 – Moved to 212-08
FILE NUMBER: 701-09.8a – Moved to 701-04
FILE NUMBER: 701-09.8b – Consolidated into 103-13
FILE NUMBER: 701-09.8c – RESCINDED
FILE NUMBER: 701-09.9 – Moved to 701-05
FILE NUMBER: 701-10.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.3.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.3.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.3.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.4 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.5 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.1.6 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.1.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.1.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.1.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.1.4 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.3 – Consolidated into 701-07 through 701-19, as applicable

FILE NUMBER: 701-10.2.4 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.2.5 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.1.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.1.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.1.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.1.3.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.1.3.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.1.3.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.1.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.2.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.3.2.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.1.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.1.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.1.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.1.4 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.3 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.4 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.5 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.4.6 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.5 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.5.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.5.2 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.5.2.1 – Consolidated into 701-07 through 701-19, as applicable
FILE NUMBER: 701-10.5.2.2 – Consolidated into 701-07 through 701-19, as applicable

FILE NUMBER: 701-10
FILE TITLE: Mission-related News Reports and/or Broadcasts by U.S. Military Components and Defense Media Activity
FILE DESCRIPTION: News Reports and/or Broadcasts may include U.S. Military Service specific broadcasts for television, radio, and online display/feature. Such records may also include those news reports and/or broadcasts that were originally created or a composite creation from within the Department of Defense and may include those news reports and/or broadcasts for feature in a joint environment and the DoD locations worldwide; may also include audio recordings and that which differs from the camera originals but that was released (i.e. masking/redaction, cropping, etc.). Content may include but is not limited to:

- News reports and/or broadcasts that are Service specific
- News reports and/or broadcasts that were compiled using external DoD resources; license information to be included
- News reports and/or broadcasts that are of joint interest.

DISPOSITION: Permanent. Cut off at date of final creation. Transfer visual information to the DIMOC no later than one year from cutoff. DIMOC will cut off VI annually. Transfer to NARA in 5 year blocks one year after last year of the block.
AUTHORITY: DAA-0330-2013-0014-0004
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-11
FILE TITLE: Non-significant News Reports and/or Broadcasts by U.S. Military Components and Defense Media Activity
FILE DESCRIPTION: News reports and/or broadcasts that are duplicative, excessive in coverage, non-useable for lack of metadata, sound effects, or relating to routine subjects not reflective of mission of the Department of Defense. Also includes acquired broadcasts from commercial, network, or other non-DoD sources.
DISPOSITION: Temporary. Cut off annually and transfer to DIMOC: 1. DIMOC may offer back to the capturing U.S. Military Service. 2. DIMOC may offer to the original Services' U.S. Military Service Academy Library, Archive or Museum. DIMOC will destroy records immediately after receiving a negative response to from DoD Component, or DIMOC will destroy records immediately if not offered to a DoD Component.
NOTES:

- Those news reports and/or broadcasts with information found/discovered upon additional research will be placed into 701-13 (Mission-Related News Reports and/or Broadcasts by U.S. Military Components), where applicable, for transfer to NARA.
- All those with unavailable/unobtainable metadata after research consideration are temporary and should follow the disposition options described above.
- Duplicative copies of news reports and/or broadcasts will be compared against one another for quality and metadata accuracy, and one report or broadcast will be selected and arranged according to 701-13 (Mission-related News Reports and/or Broadcasts by U.S. Military Components), where applicable, for transfer to NARA. Those remaining copies are temporary and should follow the disposition options described above.

AUTHORITY: DAA-0330-2013-0014-0005
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-12

FILE TITLE: Graphic Visual Information – Posters - Published relating to the mission and history of the Department of Defense
FILE DESCRIPTION: Graphics convey a topic in various visual information mediums. These VI materials may highlight a DoD program/message or may seek the interpretation of the viewer to grasp the pertinent information and possible message. Graphics/Posters may represent people, places, and events as well as unit seals, montages, icons, logos, composites, displays, exhibits and fictional people, places and events. Posters may exist in layered digital file-formats and/or a physical format. They may also be hand or mechanically drawn and may exist in a printout or digital image of the graphic. These graphic VI records may also include imagery that has been altered beyond the parameters of DoD Instruction 5040.02, such as photo illustrations. The above description is not inclusive or limiting. RECORD ELEMENTS: Digital files; and, when a physical copy is available for posters two (2) copies are required plus any digitized version.
DISPOSITION: Permanent. Cut off and transfer two copies of each printed poster in hardcopy form, or if hard copy does not exist, digital form, to the DIMOC immediately after publication. DIMOC will cut off annually. Transfer materials to NARA in 5 year blocks immediately after the end of the last year of the block.
AUTHORITY: DAA-0330-2013-0014-0006
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-13
FILE TITLE: Copies or Drafts of Graphic Visual Information – Posters
FILE DESCRIPTION: Duplicate copies (beyond the two required in 701-15) of published posters or published posters lacking adequate metadata; or published posters that do not relate to the mission of the Department of Defense, but instead, promote campaigns common to most government agencies (e.g., CFC donations, blood drives, health fairs, etc.) Graphics convey a topic in various visual information mediums. These VI materials may highlight a DoD program/message or may seek the interpretation of the viewer to grasp the pertinent information and possible message. Graphics/Posters may represent people, places, and events as well as unit seals, montages, icons, logos, composites, displays, exhibits and fictional people, places and events. Posters may exist in layered digital file-formats and/or a physical format. They may also be hand or mechanically drawn and may exist in a printout or digital image of the graphic. These graphic VI records may also include imagery that has been altered beyond the parameters of DoD Instruction 5040.02, such as photo illustrations.
DISPOSITION: Temporary. Cut off immediately after publication and transfer to DIMOC. 1. DIMOC may offer back to the capturing U.S. Military Service. 2. DIMOC may offer to the original Services' U.S. Military Service Academy Library, Archive or Museum. DIMOC will destroy records immediately after receiving a negative response from owning DoD Component, or DIMOC will destroy records immediately if not offered to a DoD Component.
AUTHORITY: DAA-0330-2013-0014-0007
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-

10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-14
FILE TITLE: Graphic Visual Information – Military Service and DoD Component Specific Magazines
FILE DESCRIPTION: The Military Service specific magazines: Soldiers, All Hands, Airman, and Marines but not excluding other DoD Component magazines with the following characteristics and purposes. These flagship magazine publications feature useful information on operations, equipment, education and training, sports, entertainment, and policy in a mixed media graphic format, whether in digital or a physical hard copy format. The above description is not inclusive or limiting.
DISPOSITION: Permanent. Cut off immediately after publication. If electronic, transfer an electronic copy to DIMOC immediately after publication. If no electronic copy exists, military service and DoD Component shall transfer a paper copy to DIMOC immediately after publication. DIMOC will cut off annually. DIMOC will transfer electronic versions to NARA in 5 year blocks immediately after the end of the last year of the block. DIMOC will transfer paper records to NARA in 5 year blocks when the latest record in block is 15 years old.
AUTHORITY: DAA-0330-2013-0014-0008
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-15
FILE TITLE: Copies or Draft Versions of Graphic Visual Information – Military Service and DoD Component Specific Magazines
FILE DESCRIPTION: Duplicate copies (beyond the required) of published Service specific and other DoD component magazines; or such published magazines lacking adequate metadata. Also preliminary designs, sketches, drawings, layouts, and other production materials used in creating the magazines. The Military Service specific magazines: Soldiers, All Hands, Airman, and Marines and DoD Component magazines with the following characteristics and purposes. These flagship magazine publications feature useful information on operations, equipment, education and training, sports, entertainment, and policy in a mixed media graphic format, whether in digital or a physical hard copy format.
DISPOSITION: Temporary. Cut off immediately after publication and transfer to DIMOC. 1. DIMOC may offer back to the capturing U.S. Military Service. 2. DIMOC may offer to the original Services' U.S. Military Service Academy Library, Archive or Museum. DIMOC will destroy records immediately after receiving a negative response from owning DoD Component, or DIMOC will destroy records immediately if not offered to a DoD Component.
AUTHORITY: DAA-0330-2013-0014-0009
PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-16
FILE TITLE: Digital Artwork
FILE DESCRIPTION: Digital artwork that captures combat artwork or other art relating to the mission and history of Department of Defense in various mediums including paintings, sketches, sculpture, mobiles and digital formats.
DISPOSITION: Permanent. Cut off upon completion of artwork and transfer to DIMOC one year after cutoff. DIMOC will cut of annually. Two years after receipt, DIMOC will transfer materials to NARA in 5 year blocks.
AUTHORITY: DAA-0330-2013-0014-0010
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-17
FILE TITLE: Original Physical Artwork and Copies of Digital Artwork
FILE DESCRIPTION: Original artwork relating to the mission and history of the Department of Defense, to include combat artwork or other art in various mediums including paintings, sketches, sculpture, mobiles and digital formats. Also included are extra copies of digital artwork and of photographs of original artwork; and original artwork, in any form, lacking adequate metadata, generated strictly as part of poster production, or relating to campaigns common to most government agencies (e.g., CFC donations, blood drives, health fairs, etc.).
DISPOSITION: Temporary. Cut off upon completion of artwork. Transfer to the DIMOC after use or direct to the Service Museums with their acceptance. DIMOC will offer to the creating U.S. Military Service's museums. 1. DIMOC will offer to the original Services' U.S. Military Museum. 2. DIMOC will offer to the original Services' U.S. Military Academy, library or archive. 3. DIMOC will attempt to locate another U.S. Military affiliated educational institution. DIMOC will destroy records immediately after receiving a negative response to offers to U.S. Military Service Museum, Academy, library, archive, or other affiliated educational institution. Or DIMOC will destroy records immediately if not offered to any entity.
AUTHORITY: DAA-0330-2013-0014-0011
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1,

701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-18
FILE TITLE: Mission-related Motion and/or Audio Recording Visual Information Productions
FILE DESCRIPTION: A complete linear or non-linear interactive motion and/or sound recording presentation developed according to a plan or script; such as motion pictures, television broadcasts, informational and/or training videos, interactive video learning modules, entertainment/music videos, TV Public Service Announcements, and other video spot announcements designed to achieve specific training or communication objectives. Includes but is not limited to:

- OSD or Military Service sponsored productions intended for OSD-wide, DoD-wide, Military Service or public distribution.
- Productions produced for or by OSD that are intended for internal staff use. • Productions intended for broadcasting or training that are acquired from outside the Department of Defense that either:
- Provide information concerning the organization, functions, policies, procedures, operations, and essential activities of the Department of Defense or a DoD Component thereof;
- Convey information about current or historical events involving the Department of Defense;
- Communicate information or instructions concerning the operation, maintenance, construction, design, repair, use of, capabilities of, or tactical implications of weapons, equipment, or technologies that are unique to, used in a unique manner by, or used primarily by either the U.S. Military, foreign armed forces, or armed non-governmental organizations.
- Production talent and all other releases, contracts, scripts, treatments, transcripts and other documentation bearing on the origin, acquisition, and ownership of the production maintained by the DIMOC.
- Content objective may include but is not limited to:
    - Education and Training
    - Internal/Command Information
    - Public Information
    - Recruiting/Promotional
    - Research, Development, Technology and Engineering (RDT&E)
    - Intelligence, Reconnaissance, Criminal Investigation
    - Combat Readiness
    - Installation Support
    - Medical

DoD Instruction 5040.07, Visual Information (VI) Production Procedures explains the complete requirements for a production. Materials, documents and content may include but is not limited to:

- Any masters or copies related to associated sound recordings, graphics, or still visual information
- Cut scenes, unedited audiovisual outtakes and trims, the discards of the production process, which have been appropriately arranged, labeled, and described.
- Content type may include:
    - Training and information products, spot announcements and advertisements, interactive productions, simulations, educational computer games, virtual reality scenarios.
    - Software and related documentation necessary to run the program.

- Reference material related to places/events depicted; research materials; special effects production.
- Shelf lists, caption cards, data sheets, and indexes.
- Production Folder materials, including but is not limited to: releases for talent, interviews, letter of assignment, signed and dated DD Form 1995 with distribution plan, status reports, scripts, approvals, permits, signed legal review and review for public use clearance.
- Procurement package, if contracted, including (but not limited to): specification or statement of work, independent government estimate, realistic delivery schedule, identification of deliverable items, justification and approval, funding document, copy of approved script, DD Form 250, "Material Inspection and Receiving Report," contract correspondence, and general correspondence. Record Elements: Myriad formats whether digital or physical are accepted. A final copy of the distribution quality product is also required. The record element for VI Productions includes the Production Folder and Procurement package documentation referenced in DoD Instruction 5040.07.

DISPOSITION: Permanent. Cut off upon completion of production and transfer immediately to DIMOC. DIMOC will cut off annually and transfer to NARA in 5 year blocks.
AUTHORITY: DAA-0330-2013-0014-0012
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

FILE NUMBER: 701-19
FILE TITLE: Non-significant Motion and/or Audio Recording Visual Information Productions and Cancelled Productions
FILE DESCRIPTION: Motion and/or audio recording VI productions that are duplicative, excessive in coverage as related to particular types of training, weapons systems, etc., non-useable for lack of metadata, or relating to routine subjects not reflective of mission of the Department of Defense. Includes acquired productions from commercial, network, or other non-DOD sources. Includes items deemed in excess of adequate sampling as relate to highly technical medical, scientific, or engineering topics. Also, unedited motion and/or audio recording outtakes and trims, which are un-described or lack arrangement, including those that lack any discernable relationship to a completed production. The Production folder and the Procurement package for cancelled productions are included as well.
DISPOSITION: Temporary. Cut off upon completion of production and offer to DIMOC. DIMOC may offer back to the capturing U.S. Military Service. DIMOC may offer to the original Services'
U.S. Military Service Academy Library, Archive or Museum. DIMOC will destroy records immediately after receiving a negative response from the owning DoD Component, or DIMOC will destroy records immediately if not offered to the DoD Component.
AUTHORITY: DAA-0330-2013-0014-0013
PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 701-10.1, 701-10.1.1, 701-10.1.2, 701-10.1.3, 701-10.1.3.1, 701-10.1.3.2, 701-10.1.3.3, 701-10.1.4, 701-10.1.5, 701-10.1.6, 701-10.2, 701-10.2.1, 701-10.2.1.1, 701-10.2.1.2, 701-10.2.1.3, 701-10.2.1.4, 701-10.2.2, 701-10.2.3, 701-10.2.4, 701-10.2.5, 701-10.3, 701-10.3.1, 701-10.3.1.1, 701-10.3.1.1.1, 701-10.3.1.1.2, 701-10.3.1.1.3, 701-10.3.1.1.3.1, 701-10.3.1.1.3.2, 701-10.3.1.1.3.3, 701-10.3.1.2, 701-10.3.2, 701-10.3.2.1, 701-10.3.2.2, 701-10.4, 701-10.4.1, 701-10.4.1.1, 701-10.4.1.2, 701-10.4.1.3, 701-10.4.1.4, 701-10.4.2, 701-10.4.3, 701-10.4.4,701-10.4.5, 701-10.4.6, 701-10.5, 701-10.5.1, 701-10.5.2, 701-10.5.2.1, 701-10.5.2.2, 706-06.1, 706-06.2, 706-07

RECORDS CATEGORY: 702
CATEGORY TITLE: Community Relations and Outreach
CATEGORY DESCRIPTION: Files relating to Department of Defense participation in, or organization of public events, as well as files documenting DoD's community outreach activities.

FILE NUMBER: 702-01.1 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 702-01.2 – RESCINDED
FILE NUMBER: 702-01.3 – Consolidated into 212-01
FILE NUMBER: 702-01.4 – Consolidated into 212-02
FILE NUMBER: 702-01.5 – Consolidated into 702-01
FILE NUMBER: 702-01.6 – Consolidated into 702-01
FILE NUMBER: 702-01.7 – Consolidated into 702-01
FILE NUMBER: 702-01.8 – Consolidated into 702-03
FILE NUMBER: 702-01.9 – Moved to 702-04
FILE NUMBER: 702-01.10 – Moved to 702-06
FILE NUMBER: 702-01.11 – Consolidated into 702-03
FILE NUMBER: 702-01.12 – Consolidated into 702-03
FILE NUMBER: 702-01.13 – Consolidated into 702-03
FILE NUMBER: 702-01.14 – Consolidated into 702-03
FILE NUMBER: 702-01.15 – Consolidated into 702-03

FILE NUMBER: 702-01
FILE TITLE: Joint Civilian Orientation Conferences and other OSD-Sponsored Conferences
FILE DESCRIPTION: Documents pertaining to planning, implementing and controlling Joint Civilian Orientation Conferences and other OSD-sponsored conferences. Documents include (but are not limited to) invitations, statistics, after action reports, budget and transportation and/or TDY requests, briefings, tours, etc.).
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 702-02d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 702-01.5, 702-01.6, 702-01.7

FILE NUMBER: 702-02
FILE TITLE: Joint Civilian Orientation Conference Program (JCOC) "Eligibility of Nominators and Candidates" Records Master File
FILE DESCRIPTION: Master file includes but is not limited to

- Nominator (DoD/Coast Guard): full name, rank/grade, work email address, work telephone number, point of contact for questions/notifications, nominating authority;
- Nominator (JCOC alumni): full name, email address, telephone number, point of contact for questions/notifications, JCOC class;
- Nominee: full name, title, organization, work email address, personal email address, postal address, work phone number, cell phone number, alternate point of contact name/email address/phone number;
- Participant: full name, title, organization, work email address, personal email address, postal address, work phone number, cell phone number, emergency point of contact name/email address/phone number; and
- Participant's health care provider: full name, phone number.

DISPOSITION: Temporary. Cut off nomination and participant records upon conclusion of applicable JCOC course. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2016-0015-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 702-03
FILE TITLE: Public Event Correspondence
FILE DESCRIPTION: Correspondence with national organization, business, labor, Veterans group and the like.

- Correspondence on arranging Pentagon tours for civilian groups.
- Correspondence and documents on military participation in Armed Forces Day observances.
- Correspondence and documents on military participation in Veterans Day observances.
- Correspondence on Standards of Conduct determinations related to events hosted by business, professional, veterans, and similar associations in which the Department of Defense is invited to participate.
- Documentation on DoD cooperation with producers of commercial entertainment media (e.g. motion picture films, television, and theatrical).

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-81-001, item 702-03.3 and 702-04
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 702-01.8, 702-01.11, 702-01.12, 702-01.13, 702-01.14, and 702-01.15

FILE NUMBER: 702-04
FILE TITLE: Military Displays at Public Events
FILE DESCRIPTION: Correspondence on arranging military displays, color guards, bands, ceremonial units, and similar support for public events.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cut off. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
AUTHORITY: NC1-330-81-001, item 702-03.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 702-01.9

FILE NUMBER: 702-05

FILE TITLE: Speakers for Public Events
FILE DESCRIPTION: Documents on arrangements for speakers to participate in public events.
DISPOSITION: Temporary. Cut off and destroy on completion of event.
AUTHORITY: NC1-330-81-001, item 702-03.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 702-01.10

RECORDS CATEGORY: 703
CATEGORY TITLE: Defense Information
CATEGORY DESCRIPTION: Files relating to the media and public affairs.

FILE NUMBER: 703-01.1
FILE TITLE: Media Travel – Authority Policy
FILE DESCRIPTION: Policy on authority for members of the press to travel on DoD-furnished transportation to military establishments worldwide.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 703-02a
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-01.2
FILE TITLE: Media Travel – Clearances
FILE DESCRIPTION: Individual accreditation and clearances for media.
DISPOSITION: Temporary. Cut off after death of individual press member. Destroy individual accreditation and clearances 10 years after cutoff.
AUTHORITY: NC1-330-77-012, item 703-02b
PRIVACY ACT: DPAD 12.0

FILE NUMBER: 703-02
FILE TITLE: Research and Distribution
FILE DESCRIPTION: Research support to provide background and current data on issues of interest.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-012, item 703-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-03.1
FILE TITLE: News Division – Public Information Program
FILE DESCRIPTION: Coordination, implementation and reviews of news media aspects of the Public Information program to ensure maximum public understanding of policies, objectives, and functions.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 703-04a
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-03.2
FILE TITLE: News Division – News Service Policy

FILE DESCRIPTION: Development and implementation of news service policy.
DISPOSITION: Permanent. Cut off when policy case file is closed. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 703-04b
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-03.3
FILE TITLE: News Division – DoD Unclassified Activities
FILE DESCRIPTION: Release of official unclassified news relative to DoD activities.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 703-04c
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-03.4
FILE TITLE: News Division – Management
FILE DESCRIPTION: Management procedures of Armed Forces News, Defense Women's News, and Defense News.
DISPOSITION: Permanent. Cut off annually and transfer the record copy of each periodical to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 703-04d
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-04.1
FILE TITLE: Audiovisual Division – Policy
FILE DESCRIPTION: Public affairs audiovisual policy.
DISPOSITION: Permanent. Cut off upon closure of case file. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-81-001, item 703-04.1
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-04.2
FILE TITLE: Audiovisual Division – National Press Photographers Association
FILE DESCRIPTION: Documentation on the DoD participation in National Press Photographers Association education and training events and competition.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-81-001, item 703-04.2
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-04.3
FILE TITLE: Audiovisual Division – Indices
FILE DESCRIPTION: Indexes of still and motion pictures cleared for public release.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 10 years after cutoff.
AUTHORITY: NC1-330-81-001, item 703-04.3
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-04.4

FILE TITLE: Audiovisual Division – In-Service Film Documentation
FILE DESCRIPTION: Documentation on OASD (PA)-initiated in-service film production.
DISPOSITION: Permanent. Cut off annually and transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-81-001, item 703-04.4
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-04.5
FILE TITLE: Audiovisual Division – Cooperation with Civilians
FILE DESCRIPTION: Documentation on DoD cooperation with civilian producers in the production of TV, theatrical, and industrial motion picture films.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-81-001, item 703-04.5
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-04.6
FILE TITLE: Audiovisual Division – Ready-Access
FILE DESCRIPTION: Ready-access still and motion picture duplicate photography for media handout.
DISPOSITION: Temporary. Cut off and destroy when obsolete or no longer needed.
AUTHORITY: NC1-330-81-001, item 703-04.6
PRIVACY ACT: Not Applicable

FILE NUMBER: 703-04.7
FILE TITLE: Audiovisual Division – Film Festivals
FILE DESCRIPTION: Files on the Department of Defense participation in film festivals.
DISPOSITION: Temporary. Cut off and destroy when obsolete or no longer needed.
AUTHORITY: NC1-330-81-001, item 703-04.7
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 704 – RESERVED

FILE NUMBER: 704-01.1 – Moved to 203-23
FILE NUMBER: 704-01.2 – Consolidated to 203-24
FILE NUMBER: 704-01.3 – Moved to 203-25 and 203-26, as applicable
FILE NUMBER: 704-01.4 – Moved to 203-27
FILE NUMBER: 704-01.5 – Consolidated into 103-02.1
FILE NUMBER: 704-02.1a – Consolidated into 203-02
FILE NUMBER: 704-02.1b – Consolidated into 203-02
FILE NUMBER: 704-02.1c – RESCINDED (Per GRS 23)
FILE NUMBER: 704-02.2 – Consolidated into 203-02
FILE NUMBER: 704-02.3 – RESCINDED (Per GRS 23)
FILE NUMBER: 704-02.4 – Consolidated to 203-19
FILE NUMBER: 704-02.5 – Consolidated into 203-02
FILE NUMBER: 704-02.6 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 704-02.7 – Consolidated into 103-02.1
FILE NUMBER: 704-03.1.1 – Consolidated to 203-02

FILE NUMBER: 704-03.1.2a – Consolidated into 203-02
FILE NUMBER: 704-03.1.2b – Consolidated into 203-02
FILE NUMBER: 704-03.1.3a – Consolidated into 203-02
FILE NUMBER: 704-03.1.3b – Consolidated into 203-02
FILE NUMBER: 704-03.2 – RESCINDED (Per GRS 23)
FILE NUMBER: 704-04.1a – Consolidated into 203-02
FILE NUMBER: 704-04.1b – Consolidated into 203-02
FILE NUMBER: 704-04.2 – RESCINDED (Per GRS 23)
FILE NUMBER: 704-04.3 – Consolidated into 203-02
FILE NUMBER: 704-04.3.1 – RESCINDED (Per GRS 23)
FILE NUMBER: 704-04.4 – Consolidated into 101-06
FILE NUMBER: 704-05 – Consolidated into 203-10.5
FILE NUMBER: 704-06.1 – Consolidated into 203-10.2
FILE NUMBER: 704-06.2 – Consolidated into Use 203-10.2
FILE NUMBER: 704-06.3 – Consolidated into 203-10.2
FILE NUMBER: 704-07 – Moved to 203-10.1
FILE NUMBER: 704-08.1 – Consolidated into 203-21
FILE NUMBER: 704-08.2 – Consolidated into 203-21
FILE NUMBER: 704-09 – Consolidated into 203-19
FILE NUMBER: 704-10 – Consolidated into 203-20

RECORDS CATEGORY: 705
CATEGORY TITLE: Defense Media Activity (DMA)
CATEGORY DESCRIPTION: Files relating to the Defense Media Activity.

FILE NUMBER: 705-01.1
FILE TITLE: DMA Administration – Hard Copy Output
FILE DESCRIPTION: Hard copy output from data banks storing information on the DMA budget, DoD periodicals inventory, and inventory of audiovisual inventions. The data banks are not used for regular reporting cycles. Hardcopy output is generated to respond to specific inquiries.
DISPOSITION: Temporary. Cut off and destroy when purpose has been completed.
AUTHORITY: NC1-330-77-012, item 705-06a
PRIVACY ACT: Not Applicable

FILE NUMBER: 705-01.2
FILE TITLE: DMA Administration – Administrative
FILE DESCRIPTION: Temporary non-record material on assigned personnel, office procedures, and other administrative matters.
DISPOSITION: Temporary. Cut off annually. Destroy material on personnel when individuals are reassigned. Destroy other material 1 year after cut off.
AUTHORITY: NC1-330-77-012, item 705-06c
PRIVACY ACT: Not Applicable

FILE NUMBER: 705-01.3
FILE TITLE: DMA Administration – Joint Service Motion Picture Files
FILE DESCRIPTION: Policy on distribution, acquisitions, and care of Joint Service Motion Picture films.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-012, item 705-03f
PRIVACY ACT: Not Applicable

FILE NUMBER: 705-02.1
FILE TITLE: American Forces Radio and Television Services (AFRTS) – Policies and Procedures
FILE DESCRIPTION: Policies and procedures, describing program, authorizing frequency, signal strength, manning, location, etc.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-81-001, item 705-02.1
PRIVACY ACT: DPA 02

FILE NUMBER: 705-02.2 – Consolidated into 103-04.1
FILE NUMBER: 705-02.3 – Consolidated into 103-04.1

FILE NUMBER: 705-02.4
FILE TITLE: AFRTS – Film Lease/Purchase
FILE DESCRIPTION: Documents arranging for lease or purchase of film from industry and the creation of film for this purpose. **NOTE:** Record copy is with procurement office.
DISPOSITION: Temporary. Cut off and destroy non-record copy when lease or purchase is completed.
AUTHORITY: NC1-330-81-001, item 705-02.4
PRIVACY ACT: Not Applicable

FILE NUMBER: 705-02.5
FILE TITLE: AFRTS – Outlet Products
FILE DESCRIPTION: Command Information and DoD new products for use by AFRTS outlets.
DISPOSITION: Permanent. Cut off annually. Not later than July 1st of each year, HQ American Forces Radio and Television Service/Radio and Television Production Office/News Center (AFRTS/RTPO/News Center) shall deliver to NARA one Beta-SP video cassette containing approximately twenty-five television announcements and news products and one CD-ROM disk containing about fifteen radio and news products, each typical of those added to the inventory during the previous calendar year. Remaining program material shall be destroyed when obsolete or no longer needed.
AUTHORITY: NC1-330-81-001, item 705-02.5
PRIVACY ACT: Not Applicable

FILE NUMBER: 705-03 – RESCINDED by GRS

FILE NUMBER: 705-04
FILE TITLE: Current News Analysis and Research Service (CNARS) Publications Files
FILE DESCRIPTION: CNARS publications consisting of copies of the current news, supplemental clips, and Radio-TV Defense Dialog and Friday Review of Defense Literature.
DISPOSITION: Permanent. Cut off when 1 year old. Transfer to NARA 24 years after cutoff.
AUTHORITY: N1-330-92-003, item 705-04
PRIVACY ACT: Not Applicable

FILE NUMBER: 705-05 – RESERVED
FILE NUMBER: 705-06.1 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 705-06.2 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 705-06.3 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 705-07 – RESCINDED

RECORDS CATEGORY: 706
CATEGORY TITLE: Audiovisual (AV) and Visual Information (VI) Management Policy
CATEGORY DESCRIPTION: Files relating to the initiation, development and implementation of AV and VI policies.

FILE NUMBER: 706-01
FILE TITLE: Implementation Files
FILE DESCRIPTION: Records relating to the initiation, development, and implementation of policies, guidelines, and standards for audiovisual and visual information management.
DISPOSITION: Permanent. Cut off upon close of case file. Transfer to NARA 15 years after cutoff.
AUTHORITY: NC1-330-79-006, item 705-07.1
PRIVACY ACT: Not Applicable

FILE NUMBER: 706-02
FILE TITLE: VI Production Acquisition Files
FILE DESCRIPTION: Documents relating to requirements, approval, acquisition, utilization, and disposition of audiovisual and visual information products and productions.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff. Documents relating to requirements, approval, acquisition, and utilization that are not currently in the VI production folder should be transfer to that folder prior to destruction.
AUTHORITY: NC1-330-79-006, item 705-07.2
PRIVACY ACT: Not Applicable

FILE NUMBER: 706-03
FILE TITLE: AV Management Oversight Files
FILE DESCRIPTION: Records relating to management inspection of Defense audiovisual and visual information. activities.
DISPOSITION: Temporary. Cut off at the end of the inspection. Destroy 5 years after supersession by new inspection.
AUTHORITY: NC1-330-79-006, item 705-07.3
PRIVACY ACT: Not Applicable

FILE NUMBER: 706-04
FILE TITLE: AV Resources Files
FILE DESCRIPTION: Records relating to audiovisual and visual information resources: equipment and facility reports; standards; authorization, consolidation, and elimination documents.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: NC1-330-79-006, item 705-07.4
PRIVACY ACT: Not Applicable

FILE NUMBER: 706-05 – RESERVED
FILE NUMBER: 706-06.1 – Consolidated under 701-07 through 701-19, as applicable
FILE NUMBER: 706-06.2 – Consolidated under 701-07 through 701-19, as applicable

FILE NUMBER: 706-07 – Consolidated under 701-07 through 701-19, as applicable
FILE NUMBER: 706-08 – RESERVED
FILE NUMBER: 706-09 – RESERVED
FILE NUMBER: 706-10 – RESCINDED
FILE NUMBER: 706-11 – RESCINDED
FILE NUMBER: 706-12 – RESCINDED
FILE NUMBER: 706-13 – RESCINDED

RECORDS CATEGORY: 707
CATEGORY TITLE: Public Affairs Planning and Guidance Files
CATEGORY DESCRIPTION: Files relating to the policies, procedures and planning of Defense Public Affairs functions.

FILE NUMBER: 707-01.1
FILE TITLE: Military Exercise Public Affairs Plans and Files – Annual Exercises
FILE DESCRIPTION: Documents on the coordination and approval of proposed public affairs guidance and plans concerning military exercises hosted by Combatant Commands that are held on an annual basis. Documents include the proposed plan and or guidance, correspondence, and notes created during the coordination process, and the final approved plan or guidance.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-90-001, item 1a
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-01.2
FILE TITLE: Military Exercise Public Affairs Plans and Files – Bi-annual Exercises
FILE DESCRIPTION: Documents on the coordination and approval of proposed public affairs guidance and plans concerning military exercises hosted by Combatant Commands on a bi-annual basis. Documents include the proposed plan and or guidance, correspondence, and notes created during the coordination process, and the final approved plan or guidance.
DISPOSITION: Temporary. Cut off at the end of the year in which exercise is held. Destroy 2 years after cutoff.
AUTHORITY: N1-330-90-001, item 1b
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-01.3
FILE TITLE: Military Exercise Public Affairs Plans and Files – Irregularly Scheduled Exercises
FILE DESCRIPTION: Documents on the coordination and approval of proposed public affairs guidance and plans concerning military exercises hosted by Combatant Commands for exercises that are held on a one-time basis or at irregular intervals. Documents include the proposed plan and or guidance, correspondence, and notes created during the coordination process, and the final approved plan or guidance.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: N1-330-90-001, item 1c
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-02
FILE TITLE: Military Contingency Operations Public Affairs Plans and Guidance Files

FILE DESCRIPTION: Documents on the coordination and approval of public affairs plans and guidance concerning U.S. military contingency actions and operations. Included would be documents relating to counter-terrorism, the military role in drug interdiction operations, and deployments of U.S. Military Forces to a foreign theater in response to a pronounced threat to U.S. personnel, property, or interests, and U.S. military participation in international disaster relief operations.
DISPOSITION: Permanent. Cut off upon completion or cancellation of the operation. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-90-001, item 2
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-03
FILE TITLE: OSD Publication PA Plans Files
FILE DESCRIPTION: Public affairs plans developed by the Plans Directorate for release of OSD publications. Included in this category are the public release of Soviet Military Power, and other recurring or one-time publications.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-90-001, item 3
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-04.1
FILE TITLE: DoD National Media Pool – Policy Files and Studies
FILE DESCRIPTION: Files that establish policy for operation of the DoD National Media Pool. Included are

- Policies governing composition of the pool, quarterly rotation policies, media ground rules, and associated policies.
- Copies of academic or management studies performed by or on behalf of the Department of Defense by individuals or organizations concerning the application of the media pool concept, military/media relations, and other aspects of the DoD media pool that are singled out for in-depth study.

DISPOSITION: Permanent. Cut off when superseded, obsolete, or when no longer needed for reference. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-90-001, items 4.1 and 4.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 707-04.1, 707-04.2

FILE NUMBER: 707-04.2 – Consolidated into 707-04.1

FILE NUMBER: 707-04.3
FILE TITLE: DoD National Media Pool – Operations
FILE DESCRIPTION: Operations files pertaining to the DoD National Media Pool. Included are

- Quarterly Rotation Files - Documents indicating the Agencies/organizations to be represented on quarterly media pools.
- Bureau Chiefs Meeting Files - Files created in support or as a result of quarterly meetings of the bureau chiefs. Included are requests for administrative and logistical support, a copy of the principal's meeting book, and related documents.
- Deployment files - Documents created during a deployment of the media pool. Included are documents completed by members of the media who deploy as part of the pool, travel orders,

passenger manifests, documents created during the pre-deployment alert notification and coordination of the pool deployment, and other related documents.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-90-001, items 707-04.3, 707-04.4, 707-04.5
PRIVACY ACT: DPAD 12.0
FORMER FILE NUMBER(s): 707-04.3, 707-04.4, 707-04.5

FILE NUMBER: 707-04.4 – Consolidated into 707-04.3
FILE NUMBER: 707-04.5 – Consolidated into 707-04.3

FILE NUMBER: 707-05
FILE TITLE: Exercise Participation Public Affairs Files
FILE DESCRIPTION: Documents created as a result of the public affairs portion of exercises in which OASD (PA) participates in a "player" role. Included are exercise scenarios, exercise public affairs plans and guidance, and after-action reports.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-90-001, item 5
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-06
FILE TITLE: Long-Range PA Planning Files
FILE DESCRIPTION: Copies of long-range PA plans and objectives, coordinating documents, and periodic review of the plans; other documents that develop plans, programs, and themes of the DoD PA activities.
DISPOSITION: Permanent. Cut off when superseded, obsolete, or completion of the plan or program. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-90-001, item 6
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-07
FILE TITLE: Wartime Public Affairs Planning Files
FILE DESCRIPTION: Documents on development of plans for providing public affairs support during wartime. Included are studies and other documents concerning electronic information gathering and transmission, wartime information security program, correspondent accreditation, and other documents on public affairs programs in a combat environment.
DISPOSITION: Permanent. Cut off annually, or when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: N1-330-90-001, item 7
PRIVACY ACT: Not Applicable

FILE NUMBER: 707-08
FILE TITLE: Public Affairs Special Project Files
FILE DESCRIPTION: Documents on special, one-time projects assigned to the Plans Directorate.
DISPOSITION: Temporary. Cut off when superseded, obsolete, or completion of project. Destroy 5 years after cutoff.
AUTHORITY: N1-330-90-001, item 8
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 708 – RESCINDED

FILE NUMBER: 708-01 – Moved to 212-06

SERIES 800 – USD(POLICY)

SERIES TITLE: UNDER SECRETARY OF DEFENSE (POLICY) (USD(P)), DEPARTMENT OF DEFENSE

SERIES DESCRIPTION: The records described in this series relate to matters concerning the formation of national security and defense policy. Includes, but is not limited to the following:

- DoD participation in the National Security Council (NSC), including initiating appropriate action in DoD to implement NSC's approved policies;
- Development of DoD positions, policies, plans, and procedures in the fields of international political and/or military and foreign economic affairs; and
- National security objectives of the United States.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 800 Series reflect the mission of the Office of the Under Secretary of Defense for Policy (OUSD(P), as well DoD Agencies and Components under its authority, including Defense Prisoner of War/Missing in Action Accountability Agency (DPAA), Defense Security Cooperation Agency (DSCA), and Defense Technology Security Administration (DTSA). Other components with related missions (such as the DoD CIO, or within the Office of the Under Secretary of Defense for Acquisition and Sustainment (OUSD(A&S)) may use file numbers applicable to Committee on Foreign Investment in the United States (CFIUS) or export of IT technology to foreign nations.

RECORDS CATEGORY: 801
CATEGORY TITLE: General
CATEGORY DESCRIPTION: General files created/received by the Office of the Under Secretary for Defense (Policy) (OUSD(P).

FILE NUMBERS: 801-01 - 801-03 – RESERVED

FILE NUMBER: 801-04
FILE TITLE: Agreements File - Foreign
FILE DESCRIPTION: Records containing agreements with foreign governments or international organizations concerning basing, operating rights, logistical support, or status of forces, the together with their negotiating history, instructions from the Department of Defense or the Department of State, and comments between the Governments concerned, which may impact on National Defense. **NOTE:** Use 103-04.1 or 103-04.2 for non-foreign agreements.
DISPOSITION: Permanent. Cut off after conclusion of negotiations on the agreement, i.e., when the Agreement is signed. Transfer to NARA 40 years after cut off.
AUTHORITY: NC1-330-77-001, item 801-04b
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 802
CATEGORY TITLE: Staff Offices
CATEGORY DESCRIPTION: Files created/received by the USD(P) Staff Offices.

FILE NUMBER: 802-01
FILE TITLE: Military Commitments and Treaty Obligations
FILE DESCRIPTION: Copies of documents containing military commitments and treaty obligations, interpretations, comments or proposals.
DISPOSITION: Permanent. Cut off after the commitment or treaty is obsolete or cancelled. Transfer to NARA 40 years after cut off.
AUTHORITY: NC1-330-77-001, item 802-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 802-02.1
FILE TITLE: Overseas Travel Clearance - Policy
FILE DESCRIPTION: Policy on obtaining clearance to officially visit overseas areas.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 802-02a
PRIVACY ACT: Not Applicable

FILE NUMBER: 802-02.2
FILE TITLE: Overseas Travel Clearance – Requests
FILE DESCRIPTION: Specific requests, clearances, and briefing data.
DISPOSITION: Temporary. Cut off and destroy upon completion of travel or after 90 days, whichever is later.
AUTHORITY: N1-330-93-002, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 802-03
FILE TITLE: Foreign Military Rights Affairs
FILE DESCRIPTION: Documents that develop and coordinate DoD proposals and positions on overseas military facilities, operating rights, defense cooperation, and status of U.S. Forces in other countries; preparation of negotiating instructions for U.S. diplomatic missions and DoD elements on necessary agreements; interpreting and monitoring the implementation of the agreements, and providing guidance on application of the agreement and SOFA policies.
DISPOSITION: Permanent. Cut off when agreement is voided. Transfer to NARA 40 years after cut off.
AUTHORITY: NC1-330-77-001, item 802-03
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 803
CATEGORY TITLE: Security Assistance
CATEGORY DESCRIPTION: Policy, plans, and program formulation documents pertaining to USD(P) Security Assistance Section

FILE NUMBER: 803-01
FILE TITLE: Security Assistance Policy, Plans and Program Formulation
FILE DESCRIPTION: Files that formulate DoD Security Assistance programs, including policies, plans, and priorities.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 803-01a
PRIVACY ACT: Not Applicable

FILE NUMBER: 803-01.2 – Consolidated into 206-09.1

FILE NUMBER: 803-02
FILE TITLE: International Security Assistance
FILE DESCRIPTION: Records establishing DoD position on eligibility of foreign governments and international organizations for security assistance.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 803-01c
PRIVACY ACT: Not Applicable

FILE NUMBER: 803-03
FILE TITLE: Military Assistance Advisory Groups Security Assistance
FILE DESCRIPTION: Records directing and monitoring the Military Assistance Advisory Groups (MAAGs) and representatives. Includes the Military Assistance and Sales Manual.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 803-01d
PRIVACY ACT: Not Applicable

FILE NUMBER: 803-04
FILE TITLE: Security Assistance - Congressional Presentation Document
FILE DESCRIPTION: Files directing the Congressional Presentation Document.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 803-01e
PRIVACY ACT: Not Applicable

FILE NUMBER: 803-05
FILE TITLE: Security Assistance - Sale of Defense Articles
FILE DESCRIPTION: Files that provide policy guidance on the sale of defense articles and services.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 803-01f
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 804
CATEGORY TITLE: European and NATO Affairs
CATEGORY DESCRIPTION: Policy, plans, and program formulation documents pertaining to USD(P) European and NATO Affairs Section

FILE NUMBER: 804-01
FILE TITLE: European Region Files
FILE DESCRIPTION: Policy matters of Defense interests pertaining to the NATO and the countries of the Alliance (but excluding Greece and Turkey); the Warsaw Pact; Berlin; and all other European countries.
DISPOSITION: Permanent. Cut off when canceled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 804-01
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 805
CATEGORY TITLE: Policy and Plans
CATEGORY DESCRIPTION: Policy, plans, and program formulation documents pertaining to USD(P) Policy and Plans Section

FILE NUMBER: 805-01
FILE TITLE: Policy, Plans, and National Security Council Affairs
FILE DESCRIPTION: Analysis and planning documents affecting U.S. national security and defense posture; studies of current and emerging international politics – military issues; evaluations of politics – military implications of advanced weapons systems, force deployments, and regional defense concepts; coordination for the Department of Defense on foreign disaster relief; policies and coordination for military activities in or near politically sensitive areas.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 805-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 805-02
FILE TITLE: Mutual Balance of Forces Reduction (MBFR) Task Force
FILE DESCRIPTION: Analyses, plans, and DoD positions on any MBFR talks or negotiations.
DISPOSITION: Permanent. Cut off after supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 805-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 805-03
FILE TITLE: Law of the Sea
FILE DESCRIPTION: DoD policy matters on Law of the Sea and aspects of territorial waters, navigation, fishing, seabed, research, marine pollution, and relations with the United Nations (U.N.) Law of the Sea conferences.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 805-03

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 806
CATEGORY TITLE: East Asian and Pacific Affairs
CATEGORY DESCRIPTION: Policy, plans, and program formulation documents pertaining to USD(P) East Asian and Pacific Affairs Section

FILE NUMBER: 806-01
FILE TITLE: East Asian and Pacific Region
FILE DESCRIPTION: Policy matters of Defense interest on countries of the East Asian and Pacific Region (except the former Union of Soviet Socialist Republics).
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 1
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 807
CATEGORY TITLE: Near Eastern, African, and South Asian Affairs
CATEGORY DESCRIPTION: Policy, plans, and program formulation documents pertaining to USD(P) Near Eastern, African, and South Asian Affairs Section

FILE NUMBER: 807-01
FILE TITLE: Near East and South Asia
FILE DESCRIPTION: Policy matters of Defense interest on countries of the Near East and South Asian regions, including Greece and Turkey and the Indian Ocean islands, (except the Malagasy Republic).
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 807-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 807-02
FILE TITLE: Africa Region
FILE DESCRIPTION: Policy matters of Defense interest on countries of Africa and the Malagasy Republic (except the United Arab Republic).
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 807-02
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 808
CATEGORY TITLE: International Economic Affairs
CATEGORY DESCRIPTION: Policy, plans, and program formulation documents pertaining to USD(P) International Economic Affairs Section

FILE NUMBER: 808-01
FILE TITLE: International Economic Affairs

FILE DESCRIPTION: Documents on foreign economic implications of currently approved, new or alternative programs of force structures, weapons systems, and other military capabilities.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 808-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 808-02
FILE TITLE: Strategic Trade and Disclosure
FILE DESCRIPTION: DoD positions, policies, plans, and procedures in the fields of strategic trade control; monitors export control; and foreign disclosure. Documents, committee charter, memberships, minutes of the National Military Disclosure Policy Committee.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 808-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 808-03 – Moved to 813-01

FILE NUMBER: 808-04
FILE TITLE: Committee on Foreign Investment in the United States (CFIUS) Case Files
FILE DESCRIPTION: Case files accumulated in the Defense Technology Security Administration (DTSA) in response to requests from the Department of Treasury (chair of CFIUS) regarding proposed mergers, acquisitions, and takeovers of U.S. businesses by foreign investors. Includes tasking documents from Department of the Treasury, lists of DoD Agencies to which case is referred and responses, background information on companies, and related records.
DISPOSITION: Temporary. Cut off when case is closed or no longer needed for current business; destroy 10 years after cutoff. **NOTE:** except that materials of no substantive value, such as annual reports submitted by companies, may be destroyed when no longer needed.
AUTHORITY: N1-330-94-003, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 808-05
FILE TITLE: US Exports System (USXPORTS) Files
FILE DESCRIPTION: Information collected and processed by a government system designed to automate export licensing for dual use items, munitions, goods, and services. Temporary and permanent export licensing requests originated by industry and submitted to the Department of State (DoS) and the Department of Commerce (DoC) for licensing is provided to DoD for national security review. All information from this system is received, processed, and transferred electronically; there are no hard copy outputs. Included are:

- Munitions Case files pertaining to but not limited to records originating at the Department of State, Office of Defense Trade Control consisting of: Applications for licenses for permanent (DSP Form 5) and temporary export (DSP Form 73); Applications for licenses for temporary import (DSP Form 61); applications/license for the export of temporary import of classified defense articles and related classified data (Form DSP-85); Commodity Jurisdiction Determination Request; Voluntary Disclosure requests; and Manufacturing and/or Technical Assistance Agreements, Brokering Agreements, and Distribution Agreements.
- Dual-Use Case files pertaining to records originated at the DoC, Bureau of Export Administration (BXA) consisting of BXA Forms 738P (Multi-Purpose Application) and related data; reviews of

agency and Service positions/input; background information originating at DTSA Licensing Directorate, Dual-Use Division; and extra copies of industry-provided technical data.

- Source and reference information such as USXPORTS case summaries, and position papers, agendas, and briefing books, intelligence reports, and other related records used to formulate DoD's position to the Operating Committee (OC) and Advisory Committee on Export (ACEP).

DISPOSITION: Temporary. Cut off after review or when no longer needed for conducting business, as determined by licensing director**.** Destroy electronic case file data 75 years after cutoff.
AUTHORITY: N1-330-06-001, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 808-06 – Moved to 813-02

FILE NUMBER: 808-07
FILE TITLE: Worldwide Military Service Casualty Program
FILE DESCRIPTION: IT files that lists the number of U.S. military casualties, combat, non-combat, missing, captured, or dead.
DISPOSITION: Permanent. Cut off and prepare the full data file as of September 30 of each year and transfer to NARA using electronic medium within 45 days (November 15) along with adequate documentation to read and understand the file and a properly completed NA Form 14097, "Technical Description For Transfer of Electronic Records to NARA" (to be completed by Directorate for Information Operations and Reports (DIOR), WHS.
AUTHORITY: N1-330-96-003, item 1a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 214-01a

FILE NUMBER: 808-08
FILE TITLE: Worldwide Military Service Casualty Program – Hard Copy Reports
FILE DESCRIPTION: Hard copy reports from IT files that list the number of U.S. military casualties, combat, non-combat, missing, captured, or dead from the Worldwide Military Service Casualty Program System.
DISPOSITION: Permanent. Cut off and transfer the hard copy reports to NARA at the same time as the data files are transferred (within 45 days (November 15)) along with adequate documentation to read and understand the file and a properly completed NA Form 14097, "Technical Description For Transfer of Electronic Records to NARA" (to be completed by Directorate for Information Operations and Reports (DIOR), WHS.
AUTHORITY: N1-330-96-003, item 1b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 214-01b

RECORDS CATEGORY: 809
CATEGORY TITLE: SALT/START
CATEGORY DESCRIPTION: Policy, plans, and program formulation documents pertaining to Strategic Arms Limitation

FILE NUMBER: 809-01
FILE TITLE: SALT Task Force/START Treaty Files

FILE DESCRIPTION: Advice formulation and coordination of policy for the Department of Defense concerning the Strategic Arms Limitation Treaties (SALT) I and II, and the Strategic Arms Reduction Treaty (START) files.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 809-01
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 810
CATEGORY TITLE: Policy (and its components) Federal Information System (EIS) Files
CATEGORY DESCRIPTION: Files pertaining to policy, plans, and program formulation of the EIS under the purview of the USD(P)

FILE NUMBER: 810-01.1 – RESCINDED. System is Inactive and all records transferred to NARA
FILE NUMBER: 810-01.2 – RESCINDED. System is Inactive and all records transferred to NARA

FILE NUMBER: 810-02.1
FILE TITLE: Foreign Military Sales (FMS) (DSCA) (AR)1100 Master File – Case Report System
FILE DESCRIPTION: Master File of the Case Report System of FMS, a machine-readable cumulative record of FMS recording information on valid country requests, execution of accepted cases, delivery forecasts, and actual deliveries.
DISPOSITION: Permanent. Cut off and transfer to NARA when no longer required for reference.
AUTHORITY: NC1-330-78-004, item 1a(1)(a)
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-02.2
FILE TITLE: Foreign Military Sales (FMS) (DSCA) (AR)1100 Master File – Item Detail Tape
FILE DESCRIPTION: Master File of the Item Detail Tape of FMS, a machine-readable cumulative record of FMS recording information on valid country requests, execution of accepted cases, delivery forecasts, and actual deliveries.
DISPOSITION: Permanent. Cut off and transfer to NARA when no longer required for reference.
AUTHORITY: NC1-330-78-004, item 1a(1)(b)
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-02.3
FILE TITLE: Foreign Military Sales (FMS) (DSCA) (AR)1100 Master File – Delivery and Financial
FILE DESCRIPTION: Master FMS Record; FMS Delivery File and Financial Tape
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff or no longer required for reference, whichever is later.
AUTHORITY: NC1-330-78-4, item 1a(1)(c)
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-02.4
FILE TITLE: FMS Quarterly File

FILE DESCRIPTION: Quarterly File ran from FMS, a machine-readable cumulative record of FMS recording information on valid country requests, execution of accepted cases, delivery forecasts, and actual deliveries.
DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff or no longer required for reference, whichever is later.
AUTHORITY: NC1-330-78-004, item 1a(2)
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-02.5
FILE TITLE: FMS Weekly Report
FILE DESCRIPTION: Weekly Report ran by FMS, a machine-readable cumulative record of FMS recording information on valid country requests, execution of accepted cases, delivery forecasts, and actual deliveries.
DISPOSITION: Temporary. Cut off monthly. Destroy 90 days after cutoff.
AUTHORITY: NC1-330-78-004, item 1a(3)
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-02.6
FILE TITLE: FMS Hard Copy Output
FILE DESCRIPTION: Journals, facts, congressional presentations.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-78-004, item 1b
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-03.1
FILE TITLE: Military Assistance Program (MAP) (DSCA) (AR)1000 - Master Program and/or Delivery Tape
FILE DESCRIPTION: Master Program and/or Delivery Tape from MAP, a machine-readable record, tape resident, recording MAP deliveries in material or services for participating countries.
DISPOSITION: Permanent. Cut off and transfer to NARA when no longer required for reference.
AUTHORITY: NC1-330-78-006, item 1a
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-03.2
LE TITLE: MAP – Summary File
FILE DESCRIPTION: MAP Delivery Summary File and CPD Summary File reference, whichever is later.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff or no longer required, whichever is later.
AUTHORITY: NC1-330-78-006, item 1b
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-03.3
FILE TITLE: MAP – Quarterly File
FILE DESCRIPTION: Quarterly File from MAP, a machine-readable record, tape resident, recording MAP deliveries in material or services for participating countries.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff or no longer required for reference, whichever is later.
AUTHORITY: NC1-330-78-006, item 1c
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-04
FILE TITLE: Foreign Disclosure System (FDS) Master File
FILE DESCRIPTION: Information collected to support the transfer of Classified Military Information and sensitive unclassified data. The system is used for the coordination, tracking, and maintenance of records regarding the release of Classified Military Information (CMI) to Foreign Governments and International Organizations, carries out responsibilities assigned by the NDP-1, and contains applicable classification/declassification information. Included are:

- Case number, requestor, requesting country, National Disclosure Policy (NDP) Category, reason for request, items requested, DoD recommendation for release of information.
- Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

DISPOSITION: Permanent. Cut off and transfer copy of system and related documentation dating 1982-2005 to NARA upon approval of this schedule. Thereafter, cutoff at the end of each calendar year and transfer pre-accessioning copy, with related documentation, to NARA every 2 years. Transfer of legal custody to take place when records are 25 years old, after declassification review.
AUTHORITY: N1-330-07-001, item 1 and 2
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-05
FILE TITLE: National Disclosure Policy System (NDPS) Master File
FILE DESCRIPTION: Information system which provides an electronic means for organizations to submit and track submitted requests for exceptions to existing National Disclosure Policy. Included are:

- Content includes requests for exception to National Disclosure Policy, amendments to exceptions, records of action, and applicable classification/declassification information.
- Request numbers, requesting countries and organizations.
- Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

DISPOSITION: Permanent. Cut off and transfer copy of system dating 1962-2005 to NARA upon approval of this schedule. Thereafter, cutoff at the end of each calendar year and transfer pre-accessioning copy, with related documentation, to NARA every 2 years. Transfer of legal custody to take place when records are 25 years old, after declassification review.
AUTHORITY: N1-330-07-001, item 3 and 4
PRIVACY ACT: Not Applicable

FILE NUMBER: 810-06
FILE TITLE: Foreign Visits System (FVS) Master File
FILE DESCRIPTION: Information system used to process foreign visits, assignments, and exchanges of foreign nationals to DOD Components or contractor facilities. Records consist of lists of individuals cleared for access to DoD installations, activities, or Defense contractors. Information contained with the system includes: name, date and place of birth, security clearance, position, and an individual identification number which may be the Social Security Number of that person. Records may be retrieved by individual's

name, Social Security Number, or visit ID number. Information is obtained solely from the foreign country or international organization sponsoring the individuals for whom a visit to the DoD installation, activity, or Defense contractor is being requested. (Privacy Act Systems Notice DUSD P08)
DISPOSITION: Temporary. Cut off and destroy when the cooperative arms or mutual security agreement or program between the U.S. government and the foreign government or international organization has expired or when 10 years old, whichever is sooner.
AUTHORITY: N1-330-07-003, item 1
PRIVACY ACT: DUSDP 08

FILE NUMBER: 810-07
FILE TITLE: Regional Center Personnel Activity Management System (RCPAMS) Master File
FILE DESCRIPTION: Web-based information system used to support DoD and Federal initiatives and programs in international venues for bilateral and multilateral research, communication, and exchange of ideas involving military and civilian participants," focusing on "security issues relating to a specified geographic region of the world." Master file includes but not limited to name, full face photograph, gender, citizenship, date and place of birth, physical description, e-mail address, work and home addresses, work and home telephone numbers, military rank, identification and control numbers generated by RCPAMS and the Security Assistance Network (SAN), passport and visa information, health information, lodging and travel information, emergency contact(s), language capabilities, and employment history, and training activities, race/ethnicity, cell phone numbers, marital status, other names used, religious preference, spouse information and child information.
DISPOSITION: Temporary. Cut off on closure of study annually. Destroy 25 years after cutoff.
AUTHORITY: DAA-0330-2013-0003-0001
PRIVACY ACT: DSCA 03

RECORDS CATEGORY: 811
CATEGORY TITLE: Military Assistance Advisory Groups (MAAGs)
CATEGORY DESCRIPTION: Files of Military Assistance Advisory Groups (MAAGs), military missions, and similar joint activities established in foreign countries to manage DoD security assistance activities

FILE NUMBER: 811-01.1
FILE TITLE: Security Assistance to Foreign Governments – Program Records
FILE DESCRIPTION: Records on programs for the provision of security assistance to foreign governments in the form of materiel, training, and other assistance. Included are records that relate to establishing the requirements of foreign governments, including materials that pertain to the organization, functions, strength, and readiness of foreign military units, as well as records that document fulfillment of requirements by the United States, such as programs, amendments, and related papers, delivery schedules, and records that relate to visits of United States personnel to foreign military installations for the purpose of training and observation. Excluded are records described in 811-01.2., below.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-79-003, item 1a(1)
PRIVACY ACT: Not Applicable

FILE NUMBER: 811-01.2
FILE TITLE: Security Assistance to Foreign Governments – Individual Transactions

FILE DESCRIPTION: Records on individual transactions involving the shipping, storage, issue, receipt, and distribution of U.S. materiel provided to foreign governments, including supply manifests, vouchers, receipts, and invoices, as well as records on the training provided by the United States to individual foreign nationals, such as biographic data, travel orders, lists of courses taken, and copies of academic reports.
DISPOSITION: Temporary. Cut off and destroy in accordance with the disposition schedules of the Department designated to provide administrative support as identified in DoD Directive 5124.3.
AUTHORITY: NC1-330-79-003, item 1a(2)
PRIVACY ACT: Not Applicable

FILE NUMBER: 811-02
FILE TITLE: Records on the Organization and Functions of U.S. Military Missions
FILE DESCRIPTION: Included are agreements, directives, understandings, policy guidance documents, and similar instructional material received from elements of the Department of Defense, the Department of State and its components, and from foreign governments as well as records generated within the missions themselves, such as regulations, administrative memoranda, other policy issuances, organization charts, manuals, organization planning files, and general orders that document such matters as changes in command, organizational changes, and the issuance of awards.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-79-003, item 1b
PRIVACY ACT: Not Applicable

FILE NUMBER: 811-03
FILE TITLE: Other Records on MAAG's and Mission
FILE DESCRIPTION: Records pertaining to MAAG's and their missions that are not covered elsewhere in this schedule.
DISPOSITION: Cut off and follow the DoD disposition schedules of the Service designated to provide administrative support as identified in DoD Directive 5100.3.
AUTHORITY: NC1-330-79-003, item 1c
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 812
CATEGORY TITLE: Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs
CATEGORY DESCRIPTION: Emergency Planning and Security Policy, plans, and program formulation documents pertaining to the Office of the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs.

FILE NUMBER: 812-01
FILE TITLE: Program Planning Files
FILE DESCRIPTION: Documents on development of policy, plans, and procedures for the discharge of functions for emergency planning and preparedness, crisis management, defense mobilization and expansion in emergency situations, military support of civil authorities, and continuity of operations and continuity of government; provide support, as required, to the Department of Defense and other U.S. Government or State agencies on these as well as civil defense and related matters. Included are:

a. Civil Defense Files. Documents on activities and measures designed or undertaken to:

1. Minimize effects upon civilian population caused or expected to be caused by an enemy attack on the United States.
2. Deal with immediate emergency conditions that would be created by such an attack.
3. Affect emergency repairs to, or the emergency restoration of, vital utilities and facilities destroyed or damaged by such an attack.

b. Continuity of Government Files. Documents on measures designed to ensure continuity of essential functions of the Federal Government in the event of a national emergency.

c. Exercise (Command Post) Files. Records of military maneuvers or simulated wartime operations involving planning, preparation, and execution.

d. Intelligence Warning Indicators Files. Documents on selective dissemination of warnings and emergency information within Federal Emergency Management Agency (FEMA) regional areas within State-wide areas.

e. Military Support to Civil Authorities (MSCA) in Peacetime Conditions Files. Records on policy, plans and procedures governing MSCA in peacetime or wartime conditions:
   1. Data concerning missions assigned to the Department of Defense to assist civil authorities in dealing with disturbances that exceed law enforcement capabilities of State and local authorities.
   2. Documents related to the execution of disaster preparedness (e.g., plans for hurricanes, earthquakes, etc.).
   3. Explosive Ordnance Disposal. Documentation of identification, detection, recovery and disposal of unexploded explosive ordnance.

f. Military Support to Civil Defense Files. Documents relating to role as principal DoD spokesman to military and civilian authorities on matters of policy and doctrine for military support to civil defense:
   1. Civil Infrastructure Development. Fixed and permanent installations or facilities for support and control of military forces.
   2. Key Asset Program. Policy guidance for planning to protect key assets (any industrial asset and any infrastructure asset owned by civil agencies or private sector).

g. Mobilization Steering Group Files. Records on:
   1. Changes to current policies, plans, programs, and procedures that would improve the Department's ability to mobilize rapidly and deploy military forces.
   2. Evaluations of the department's capability to mobilize forces and to carry out major deployment plans.

h. Graduated Mobilization Response Files. Documents on:
   1. Development and implementation of incremental mobilization steps that are responsible to a wide range of national security threats and warning indicators.
   2. Quick and effective implementation of mobilization preparedness measures.
   3. Coherent decisions that relate mobilization response to the anticipated military requirements and overall national security policy.

i. National Security Emergency Preparedness Files. Documentation of capabilities at all levels of Government to meet essential defense and civilian needs in any natural, technological, or military occurrence that degrades or threatens the security of the nation.

j. White House Correspondence Files. Queries from the White House regarding on-going programs, projects, and activities of the Deputy Under Secretary of Defense (Policy).

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 30 years after cutoff.
AUTHORITY: N1-330-90-003, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 812-02 – RESCINDED
FILE NUMBER: 812-03 – RESCINDED
FILE NUMBER: 812-04 – RESCINDED
FILE NUMBER: 812-05 – RESCINDED
FILE NUMBER: 812-06 – RESCINDED
FILE NUMBER: 812-07 – RESCINDED
FILE NUMBER: 812-08 – RESCINDED
FILE NUMBER: 812-09 – RESCINDED
FILE NUMBER: 812-10 – RESCINDED
FILE NUMBER: 812-11 – RESCINDED
FILE NUMBER: 812-12 – RESCINDED
FILE NUMBER: 812-13 – RESCINDED
FILE NUMBER: 812-14 – RESCINDED
FILE NUMBER: 812-15 – RESCINDED
FILE NUMBER: 812-16 – RESCINDED
FILE NUMBER: 812-17 – RESCINDED
FILE NUMBER: 812-18 – RESCINDED
FILE NUMBER: 812-19 – RESCINDED
FILE NUMBER: 812-20 – RESCINDED
FILE NUMBER: 812-21 – RESCINDED

RECORDS CATEGORY: 813
CATEGORY TITLE: Defense POW/MIA Personnel Accountability Agency (DPAA) Program Records
CATEGORY DESCRIPTION: Records related to accounting for prisoners of war (POWs) and missing in action (MIA) Department of Defense. DPAA' mission is to provide the fullest possible accounting for missing personnel to their families and the nation.

FILE NUMBER: 813-01
FILE TITLE: Prisoner of War and/or Missing in Action Affairs
FILE DESCRIPTION: Policy on the overall program and coordinating documents of all DoD and/or MIA activities. Directives on procedures on Prisoners of War (POW) and detainee programs.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-001, item 808-03
PRIVACY ACT: DUSDP 11
FORMER FILE NUMBER: 808-03

FILE NUMBER: 813-02
FILE TITLE: Defense Prisoner of War/Missing in Action Accountability Agency (DPAA) Joint Commission Support Directorate Foreign Records
FILE DESCRIPTION: Records consists of copies of foreign documents acquired from various foreign sources related to U.S. Prisoners of War or Missing Personnel from World War II, The Korean War, The Vietnam

War or the Cold War. Files include foreign military records detailing combat operations, police records, eyewitness statements, foreign newspaper articles, burial records and other documents acquired through archival research, or through eyewitness interviews of missing U.S. personnel in foreign countries. Documents may be either photocopies provided by the originating nation, originals of eyewitness statements, or electronic scanned images of foreign documents.
DISPOSITION: Permanent. Cutoff annually. Transfer to NARA 1 year after cutoff in a format/media acceptable to NARA.
AUTHORITY: N1-330-09-001, item 1
PRIVACY ACT: DUSDP 11
FORMER FILE NUMBER: 808-06

FILE NUMBER: 813-03
FILE TITLE: POW/MIA Casualty Files
FILE DESCRIPTION: Case files of unaccounted-for and missing service members and select civilians throughout the conflicts involving the United States government maintained by the Defense POW/MIA Accounting Agency (DPAA). Casualty Files include, but are not limited to the following types of material:

- Intelligence collection requirements/requests for information (RFIs)
- Source/witness reporting related to the loss incident and associated analyses
- Further pursuit options
- Hand-written analyst notes
- Circle searches
- Sketches
- Maps, charts, aerial/satellite imagery and related analyses
- Newspaper clippings
- Reports of investigation/survey/excavation/ recovery,
- Analyses of wreckage e, and if available, a report of remains identification,
- Photo-static/scanned copies
- Analog/digital recordings and sometimes actual case-related artifacts
- Correspondence between the DPAA and external organizations such as Service Casualty Offices, Life Sciences Equipment Laboratory (LSEL), families, elected officials, and interested parties.

DISPOSITION: Permanent. Cut off (and convert to electronic format as necessary) once missing service members are accounted for, or upon case closure. Pre-accession to NARA 5 years after cutoff and transfer ownership to NARA 25 years after cutoff.
AUTHORITY: DAA-0330-2014-0020-0001
PRIVACY ACT: DUSDP 11

FILE NUMBER: 813-04
FILE TITLE: POW/MIA Source Witness Files
FILE DESCRIPTION: Case files on all individuals claiming or suspected to have information on American POWs/MIAs. Material consists of original documents, photo-static / scanned copies, and analog/digital recordings, books/manuscripts. These files are usually broken out by conflict and include but are not limited to information containing one or more source data sheets, a log sheet that serves as an index and basic biographic data and contact information on the source/witness. Files also may contain, the following types of material:

- Intelligence collection requirements/requests for information (RFIs)
- Source/witness reporting and associated analyses
- Further pursuit options
- Handwritten analyst notes
- Circle searches
- Sketches
- Maps, charts, aerial/satellite imagery and related analyses,
- Newspaper clippings, and if available, a report of remains identification.

DISPOSITION: Permanent. Cut off (and convert to electronic format as necessary) once missing service members are accounted for, or upon case closure. Pre-accession to NARA 5 years after cutoff and transfer ownership to NARA 25 years after pre-accessioning.

AUTHORITY: DAA-0330-2014-0020-0002

PRIVACY ACT: DUSDP 11

FILE NUMBER: 813-05

FILE TITLE: POW/MIA Thematic Files

FILE DESCRIPTION: Ad hoc files based on a single POW/MIA-related theme or focus that are established to consolidate related material in an organized manner. Material consists of both original documents and photo-static/scanned copies. These individual files, which are based on themes, i.e. Cuban program, Smith & McIntire lawsuit, Glomar Java Sea, Bobby Garwood, and Five Alive, serve as a repository for all material associated with the specified theme. The files contain both DPMO/DIA-originated documents/analyses and information crafted/published by other organizations. Files contain, but are not limited to the following types of material:

- Intelligence collection requirements/requests for information (RFIs)
- Source/witness reporting and associated analyses
- Hand-written analyst notes
- Newspaper clippings
- Legal proceedings
- Sketches
- Maps, charts, overlays, aerial/satellite imagery and related analyses.

DISPOSITION: Permanent. Cut off once properly organized and converted to electronic media. Pre-accession to NARA 5 years after cutoff. Transfer to NARA 25 years after pre-accessioning.

AUTHORITY: DAA-0330-2014-0020-0004

PRIVACY ACT: DUSDP 11

FILE NUMBER: 813-06

FILE TITLE: POW/MIA Audiovisual Files

FILE DESCRIPTION: Collections of hardcopy and electronic material capturing the images or voices of American POWs/MIAs. They are usually arranged by conflict and include, but are not limited to:

- Hardcopy photographs/ negatives
- Both aerial and satellite imagery
- Motion picture film
- Videotapes
- Compact discs
- Digital video discs

- Audio recordings

Subject matter in files depicts/covers

- Both live and deceased POW/MIA personnel
- Their equipment/aircraft/ vehicle
- Personal effects/rings/letters
- Actual or staged capture location and associated enemy personnel
- Detention sites and associated enemy personnel
- Propaganda opportunities/news conferences
- Negotiation/release photos
- Post-release debriefings
- POW/MIA-related news stories
- Congressional hearings.

DISPOSITION: Permanent. Cut off present holdings, for organizing and digital copying, upon approval of this schedule and transfer analog and digital holdings to NARA, along with digital copies of analog materials and any related databases, by the end of 2021. Cut off future analog and digital-born holdings in 10-year blocks. Pre-accession 5 years after cutoff to NARA, and transfer to NARA (along with digital copies of analog materials and any related databases), five years after the end of the respective 10-year block.

AUTHORITY: DAA-0330-2014-0020-0005

PRIVACY ACT: DUSDP 11

FILE NUMBER: 813-07

FILE TITLE: POW/MIA Data Files

FILE DESCRIPTION: DPAA-generated reference files that are/were developed to assist analysts / historians develop leads for further pursuit by POW/MIA investigators in the field. Files consist of unclassified databases in various formats, i.e. Excel, Access, and ARCG is, on DPAA servers. These databases capture historical data elements collected during and after World War II associated with loss incidents (including both accounted-for and unaccounted-for individuals), Search and Recovery (SAR) efforts, identification, and interment of remains/memorialization of
those not yet recovered. Files include, but are not limited to copies of the following types of material:

- Intelligence collection requirements/requests for information (RFIs)
- All source/witness reporting and associated analyses
- Further pursuit options
- Hand-written analyst notes
- Circle searches
- Sketches
- Maps, charts, aerial/satellite imagery and related analyses
- Newspaper clippings
- Reports of investigation/survey/excavation/recovery
- Analyses of wreckage
- Reports of remains identification (if available)

DISPOSITION: Temporary. Cut off and destroy when no longer needed.

AUTHORITY: DAA-0330-2014-0020-0006

PRIVACY ACT: DUSDP 11

FILE NUMBER: 813-08

FILE TITLE: Prisoner of War Camp Files

FILE DESCRIPTION: Case files on all suspected or confirmed detention facilities/camps where American POWs/MIAs are known/suspected to be or could possibly be held prior to repatriation. Files, most of which cnontain classified information, serve as a repository for all material associated with known or suspected POW camps/detention facilities/processing facilities. Individual files contain information associated with a specific POW-related facility. General files contain material associated with a particular subset that either could not be correlated to a specific facility or contains information associated with more than one facility. Files contain, but are not limited to, the following types of material:

- Intelligence collection requirements/requests for information (RFIs)
- Source/witness reporting and associated analyses
- Handwritten analyst notes
- Sketches, maps, charts, overlays, aerial/satellite imagery and related analyses
- Names of U.S. personnel believed to have been held/processed through the camp/facility

Material consists of both original documents and photo-static/scanned copies.

DISPOSITION: Permanent. Cut off once missing service member is accounted for and convert to electronic media/incorporate into the associated case files. Pre-accession to NARA 5 years after cutoff and transfer to NARA 25 years after pre-accession (30 years after cutoff).

AUTHORITY: DAA-0330-2014-0020-0003

PRIVACY ACT: DUSDP 11

SERIES 900 – ASD(HEALTH AFFAIRS)

SERIES TITLE: ASSISTANT SECRETARY OF DEFENSE (HEALTH AFFAIRS) (ASD(HA)), DEPARTMENT OF DEFENSE

SERIES DESCRIPTION: The records described in this series relate to the administration of the health affairs program within the Department of Defense. Includes, but is not limited to records necessary to:

- Administer the health affairs policy function of the OSD;
- Manage the DoD medical mission, including providing and maintaining readiness of medical services and support to
    - Members of the Military Services (including during military operations) and their families;
    - Those held in the control of the Military Services; and
    - Others etitled to or eligible for DoD medical care and benefits (including TRICARE)

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 900 Series reflect the mission of the Office of the Assistant Secretary of Defense for Health Affairs (OASD(HA)) and the DoD Agencies and Field Activities under its authority, direction, and control, including the Defense Health Agency (DHA) and the Surgeans General for the Military Departments.

RECORDS CATEGORY: 901
CATEGORY TITLE: General
CATEGORY DESCRIPTION: General or overview records on health affairs functions performed by the ASD(HA).

FILE NUMBER: 901-01
FILE TITLE: Defense Medical Data Dictionary (DMDD)
FILE DESCRIPTION: This automated database is maintained by the Department of Defense (Health Affairs). The DMDD is designed to collect, catalog, analyze and standardize terminology, content, and format of data elements used in operational and proposed medical information systems of the Department of Defense. The DMDD includes the physical and logical data element characteristics; source data element and file information; data element definition and other documentation; status of data element in the standardization process; official data element names; and data element value tables.
DISPOSITION: Permanent. Cut off and transfer electronic files and documentation to NARA on an annual basis. All transfers should be made in accordance with the standards set forth in 36 CFR 1228.
AUTHORITY: N1-330-92-011, item 1
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 902
CATEGORY TITLE: Drug and Alcohol Abuse
CATEGORY DESCRIPTION: Files related to identification, prevention, treatment, and statistical occurrence of drug and alcohol abuse within the Department of Defense.

FILE NUMBER: 902-01.1
FILE TITLE: Prevention and Identification - Policy
FILE DESCRIPTION: Documents pertaining to policy guidance on the prevention and identification of Drug and Alcohol Abuse.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 902-01a
PRIVACY ACT: Not Applicable

FILE NUMBER: 902-01.2
FILE NUMBER: Prevention and Identification - Administrative
FILE DESCRIPTION: Administrative documents that prescribe procedures to determine frequency of testing and identification of drug and alcohol abuse personnel subject to testing.
DISPOSITION: Temporary. Cut off and destroy when superseded by new technology or improved procedures.
AUTHORITY: NC1-330-77-005, item 902-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 902-02
FILE TITLE: Alcohol Abuse
FILE DESCRIPTION: Policy matters on the alcohol abuse treatment programs prescribing procedures to be used and guidelines in the administration and discipline of personnel with alcohol problems.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 902-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 902-03.1
FILE TITLE: Treatment and Rehabilitation - Policy
FILE DESCRIPTION: Policy on alcohol or drug treatment that prescribes the type of action to be undertaken for treatment, the rehabilitation procedures, and what disposition is to be made of those who complete the program or drop out. These are policy matters and do not include case files.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 902-03a
PRIVACY ACT: Not Applicable

FILE NUMBER: 902-03.2
FILE TITLE: Treatment and Rehabilitation – Statistics
FILE DESCRIPTION: Statistics on the number of military personnel undergoing treatment, or re-treatment and those separated or returned to duty. Excludes raw statistical data included in compiled studies.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 902-03b
PRIVACY ACT: Not Applicable

FILE NUMBER: 902-03.3
FILE TITLE: Treatment and Rehabilitation - Evaluations

FILE DESCRIPTION: Periodic evaluations on a "when required" basis consisting of documents that measure the success and effectiveness of the program policies.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 902-03c
PRIVACY ACT: Not Applicable

FILE NUMBER: 902-04
FILE TITLE: Education and Training Policy
FILE DESCRIPTION: Documents which develop and implement for use in education and training program policy to be used by the armed forces in their alcohol and drug abuse programs.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-005, item 902-04a
PRIVACY ACT: Not Applicable

FILE NUMBER: 902-05
FILE TITLE: Education and Training Program Evaluations
FILE DESCRIPTION: Documents which evaluation the effectiveness of training developed and implemented for use in education and training programs to be used by the armed forces in their alcohol and drug abuse programs.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 902-04b
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 903
CATEGORY TITLE: Health Resource Analysis
CATEGORY DESCRIPTION: Files related to resources necessary for Health Programs.

FILE NUMBER: 903-01
FILE TITLE: Facilities and Material
FILE DESCRIPTION: Development, coordination, and monitoring of DoD medical facilities and material policies, plans, and programs. Policies and guidelines on planning and space standards for military healthcare facilities. Review and coordination of plans and programs of FEMA regarding medical recommendations on proposed legislation about facilities or material.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 903-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 903-02
FILE TITLE: Health Manpower
FILE DESCRIPTION: Directives that establish the military requirements for health personnel. These are of a nature that identify the critical medical and dental health categories; designate those entitled to continuation pay; and authorize strengths in grade for the Medical and Dental Officers Corps. Preliminary to the issue of such directives would be documentation consisting of studies and analyses that indicate

the necessity for change. Policy directives on the utilization and medical education and training of health specialists. An example would be internship program policy and a determination of obligated service time for those who receive special training. Another would include documents proposing legislation affecting health programs such as bonus money to stimulate recruitment and retention.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 903-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 903-03
FILE TITLE: Cost and Budget
FILE DESCRIPTION: Documents on budget requirements for health activities to be incorporated in appropriate budgets and plans. Cost-benefit studies of possible cross-savings, consolidations, or disestablishment of health facilities.
DISPOSITION: Permanent. Cut off fiscally. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 903-03
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 904
CATEGORY TITLE: Health Program Statistics and Data System Requirements
CATEGORY DESCRIPTION: Files related to resources necessary for Health Programs.

FILE TITLE: 904-01
FILE TITLE: Program Statistics
FILE DESCRIPTION: Analyses of medical care case load reports provided by the Military Departments, the correlation with manpower reports on the military and dependent population in various defense communities in order to determine the type medical facility needed to deliver the required healthcare. The analyses of reports from the Military Departments on the incidence of various diseases; the number of recruits rejected for health reasons and similar data of medical interest.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 904-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 904-02.1
FILE TITLE: Health Data Systems
FILE DESCRIPTION: Data system documents, including

- Documents describing medical data system requirements to the programming and operating facility.
- User manuals of operable data systems.
- Agreements for data systems support.

DISPOSITION: Temporary. Cut off when system is discontinued. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-77-005, items 904-02a, 904-02b and 904-02c
PRIVACY ACT: Not Applicable

FILE NUMBER: 904-02.2
FILE TITLE: Health Data Systems Analysis
FILE DESCRIPTION: Analyses and studies of data system requirements for health affairs.
DISPOSITION: Temporary. Cut off upon supersession. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-77-005, item 904-02d
PRIVACY ACT: Not Applicable

FILE NUMBER: 904-03 – RESCINDED **NOTE:** See 1805-04 for Master Data Set for DEERS

RECORDS CATEGORY: 905
CATEGORY TITLE: Utility Reviews and Quality Assurance
CATEGORY DESCRIPTION: Studies and analyses related to Health Program utility reviews and quality assurance endeavors.

FILE NUMBER: 905-01
FILE TITLE: Utility Review
FILE DESCRIPTION: Studies and analyses of areas of potential innovation and assessments of value to productivity-enhancing technology with a view towards the improvement of health services in the Department of Defense.
DISPOSITION: Permanent. Cut off at completion of review. Transfer to NARA 25 years after cutoff.
AUTHORITIY: NC1-330-77-005, item 905-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 905-02
FILE TITLE: Quality Assurance Studies and Analyses of Healthcare Quality Standards
FILE DESCRIPTION: Files pertaining to the quality assurance analysis of DoD, other federal agency, State and local, and other healthcare standards including studies and analyses that result in issuance of new standards.
DISPOSITION: Permanent. Cut off upon completion of standard. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 905-02a and 905-02c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 905-02.1, 905-02.3

FILE NUMBER: 905-02.1 – Consolidated into 905-02
FILE NUMBER: 905-02.2 – Moved to 905-03
FILE NUMBER: 905-02.3 – Consolidated into 905-02

FILE NUMBER: 905-03
FILE TITLE: Ad Hoc Quality Assurance Studies and Analyses of Healthcare Quality
FILE DESCRIPTION: Studies and evaluations on a "when required" basis, not resulting in issuance of new standards.
DISPOSITION: Temporary. Cut off upon completion of study. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-005, item 905-02b
PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 905-02.2

RECORDS CATEGORY: 906
CATEGORY TITLE: Defense Health Agency (DHA) Program Administration Records
CATEGORY DESCRIPTION: Analysis files pertaining to the administration of the Defense Health Agency, formerly TRICARE Management Activity (TMA or TRICARE), and Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) program.

FILE NUMBER: 906-01.1 – Moved to 906-01
FILE NUMBER: 906-01.2 – Consolidated into 906-03
FILE NUMBER: 906-01.3 – Consolidated into 906-03
FILE NUMBER: 906-01.4 – Consolidated into 906-03

FILE NUMBER: 906-01
FILE TITLE: TRICARE Policy
FILE DESCRIPTION: These documents are generally in the form of instructions to the DoD Components on the administration of the TRICARE (formerly Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) program). They establish such policy as eligibility under the program for active duty, retired, and dependents of the military; guidance on obtaining contract support; the creation of an accounting system to process claims and related matters.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 906-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 906-01.1

FILE NUMBER: 906-02
FILE TITLE: Liaison Activities
FILE DESCRIPTION: Coordination between industry organizations and professional associations; with healthcare programs in the uniformed and other health agencies.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: NC1-330-77-005, item 906-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 906-03
FILE TITLE: Agency Studies, Reviews and Analyses
FILE DESCRIPTION: Defense Health Agency (DHA) reviews, studies, and analysis regarding the following topics:

- Health Industry Trends: Studies and reviews of developments and trends in the health industry that may impact on DHA .
- Pricing Structure Cost Analyses: Analyses of DHA costs for various types of treatment to determine equitable pricing structure.
- DHA Budget Analyses: Analyses and preparation of the DHA budget.

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-005, items 906-01b, 906-01c, and 906-01d

PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 906-01.2, 906-01.3, 906-01.4

RECORDS CATEGORY: 907
CATEGORY TITLE: Planning and Policy
CATEGORY DESCRIPTION: Health Program planning and policy files.

FILE NUMBER: 907-01
FILE TITLE: Policy Analysis
FILE DESCRIPTION: These files consist of studies made of the continuing need for health policies that are proposed or presently in the forms of Directives or Instructions. These files also coordinate the proposals of other offices on the need for healthcare legislation.
DISPOSITION: Permanent. Cut off upon finalization. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 907-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 907-02
FILE TITLE: Mobilization Plans
FILE DESCRIPTION: Coordination of medical aspects of emergency war and mobilization planning. Documents on liaison with FEMA.
DISPOSITION: Permanent. Cut off upon finalization. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-005, item 907-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 907-03
FILE TITLE: Productivity Planning
FILE DESCRIPTION: Studies and analyses whose purposes is to optimize efficiency in the healthcare program. The development of uniform standards to measure productivity. Some examples are the exploration of shared resources and the use of screening by a technician to save the doctor's time.
DISPOSITION: Permanent. Cut off upon finalization. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 907-03
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 908
CATEGORY TITLE: Dental Affairs
CATEGORY DESCRIPTION: Records pertaining to the Dental aspects of the Health Program.

FILE NUMBER: 908-01.1 – Moved to 908-01
FILE NUMBER: 908-01.2 – Moved to 908-02
FILE NUMBER: 908-01.3 – Moved to 908-03
FILE NUMBER: 908-01.4 – Moved to 908-04

FILE NUMBER: 908-01
FILE TITLE: DoD Dental Policy

FILE DESCRIPTION: The development, coordination, and issuance of directives and guidelines on dental policy for the Department of Defense. This would include such policy matters as the

- Limitation of dental care for military dependents,
- The joint utilization of personnel, and
- Facilities for dental care.

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 908-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 908-01.1

FILE NUMBER: 908-02
FILE TITLE: Dental Officer Continuation Pay
FILE DESCRIPTION: The estimation of an equitable continuation pay for dental officers.
DISPOSITION: Temporary. Cut off when subsequent (new) estimates for legislative changes are proposed. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-77-005, item 908-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 908-01.2

FILE NUMBER: 908-03
FILE TITLE: Dental Student Program
FILE DESCRIPTION: Monitoring of the Dental Student Program.
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-005, item 908-01c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 908-01.3

FILE NUMBER: 908-04
FILE TITLE: Dental Examination Standards
FILE DESCRIPTION: The establishment of standards for dental classification and specifications for conducting dental examinations.
DISPOSITION: Permanent. Cut off upon finalization of standard. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 908-01d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 908-01.4

RECORDS CATEGORY: 909
CATEGORY TITLE: Medical Affairs
CATEGORY DESCRIPTION: Records pertaining to the medical aspects of DoD health programs.

FILE NUMBER: 909-01
FILE TITLE: Medical Affairs
FILE DESCRIPTION: Development, coordination, and directives on the medical aspects of DoD programs (clinical and preventive medicine for the Armed Forces). Preparation of DoD Directives and Instructions

on medical services programs in the Department of Defense. Coordination of Federal medical professional activities.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-005, item 909
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 909

RECORDS CATEGORY: 910
CATEGORY TITLE: Medical Readiness
CATEGORY DESCRIPTION: Records pertaining to the medical readiness of the DoD Health Program.

FILE NUMBER: 910-01
FILE TITLE: Medical Readiness Speeches
FILE DESCRIPTION: Copies of speeches made by assigned personnel or by others on medical readiness.
DISPOSITION: Temporary. Cut off and destroy when no longer required for reference.
AUTHORITY: NC1-330-80-012, item 910-01.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-01.1

FILE NUMBER: 910-01.2a – RESCINDED (Use 103-06.1 for FACA Committees and 212-04 for Special Study/Task Forces)
FILE NUMBER: 910-01.2b – Consolidated into 103-06.4 or 103-15, as applicable
FILE NUMBER: 910-02 – Consolidated into 102-01
FILE NUMBER: 910-03.1 – Consolidated into 103-10

FILE NUMBER: 910-03
FILE TITLE: Defense Audit Service Audits
FILE DESCRIPTION: Case files of audits of medical facilities or related to health affairs.
DISPOSITION: Temporary. Cut off upon completion of audit. Destroy 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-03.2 (which refers to NC1-330-77-13, item 305-05a)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-03.2

FILE NUMBER: 910-04.1 – Consolidated into 103-04.1 or 103-04.2, as applicable

FILE NUMBER: 910-04
FILE TITLE: Civilian-Military Contingency Hospital System
FILE DESCRIPTION: Special study reports on Civilian-Military Contingency Hospital Systems, such as the National Disaster Medical System or the DoD VA Contingency System.
DISPOSITION: Permanent. Cut off when no longer needed. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-04.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-04.2

FILE NUMBER: 910-04.3 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 910-04.4 – Consolidated into 101-01.2
FILE NUMBER: 910-04.5 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 910-05
FILE TITLE: Exercises
FILE DOCUMENT: Documents on exercises between elements of the Department of Defense and other Federal Agencies or organizations.
DISPOSITION: Temporary. Cut off and destroy when no longer required for reference.
AUTHORITY: NC1-330-80-012, item 910-05
PRIVACY ACT: Not Applicable

FILE NUMBER: 910-06
FILE TITLE: International Affairs
FILE DESCRIPTION: Documents on DoD relationship with Allied countries on medical readiness matters.
NOTE: USD(P) offices retain the record copy of any agreements with foreign countries. The OASD(HA) retains any records created on medical readiness such as evaluations and other analyses.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-06.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-06.1

FILE NUMBER: 910-06.2 – Consolidated into 102-01
FILE NUMBER: 910-07.1 – Consolidated into 102-01

FILE NUMBER: 910-07
FILE TITLE: Chairman of the Joint Chiefs of Staff and Joint Staff Matters – Readiness Evaluation
FILE DESCRIPTION: Documents created for readiness evaluation such as analyses of medical readiness; recommendations of a policy nature.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-07.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-07.2

FILE NUMBER: 910-08 – Consolidated into 102-01

FILE NUMBER: 910-09
FILE TITLE: Mobilization Planning
FILE DESCRIPTION: Documents on the medical aspects of emergency war and mobilization planning. Documents on liaison with other activities such as the FEMA.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-09.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-09.1

FILE NUMBER: 910-09.2 – Consolidated into 102-01

FILE NUMBER: 910-10
FILE TITLE: Medical Resource Requirements
FILE DESCRIPTION: Studies and forecasts of wartime medical resource requirements obtained through modeling techniques.
DISPOSITION. Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-10.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-10.1

FILE NUMBER: 910-10.2 – Consolidated into 102-01
FILE NUMBER: 910-10.3 – Consolidated into 102-01

FILE NUMBER: 910-11
FILE TITLE: Nuclear, Biological, and Chemical Warfare
FILE DESCRIPTION: Evaluations and policies on nuclear, biological, and chemical warfare related to medical readiness.
DISPOSITION: Permanent. Cut off when no superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-11.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-11.1

FILE NUMBER: 910-11.2 – Consolidated into 102-01

FILE NUMBER: 910-12
FILE TITLE: Planning, Programming, Budgeting System
FILE DESCRIPTION: Background papers on medical readiness budget matters.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-12.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-12.1

FILE NUMBER: 910-12.2 – Consolidated into 102-01
FILE NUMBER: 910-13.1 – Consolidated into 102-01

FILE NUMBER: 910-13
FILE TITLE: Reserve Affairs
FILE DESCRIPTION: Studies, reports, and analyses of Reserve posture.
DISPOSITION: Permanent. Cut off at completion of review. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-13.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-13.2

FILE NUMBER: 910-14
FILE TITLE: Wartime Skills Training
FILE DESCRIPTION: Training policy on medical readiness training.
DISPOSITION: Permanent. Cut off when superseded, obsolete, or no longer required for reference. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-012, item 910-14.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-14.1

FILE NUMBER: 910-14.2 – Consolidated into 102-01
FILE NUMBER: 910-14.3.2 – Consolidated into 103-14

FILE NUMBER: 910-15
FILE TITLE: Wartime Skills Training General File
FILE DESCRIPTION: Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives on the establishment and operation of training courses and conferences.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff or completion of a specific training program.
AUTHORITY: NC1-330-80-012, item 910-14.3a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-14.3.1

FILE NUMBER: 910-16
FILE TITLE: Wartime Skills Training - Individual Training
FILE DESCRIPTION: Documents on the availability of training and participation in training programs sponsored by other Government Agencies or non-Government institutions.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff or when superseded or obsolete, whichever is sooner.
AUTHORITY: NC1-330-80-012, item 910-14.4
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 910-14.4

RECORDS CATEGORY: 911
CATEGORY TITLE: Defense Health Agency TRICARE Files
CATEGORY DESCRIPTION: Records pertaining to the mission of the Defense Health Agency (DHA), formerly TRICARE Management Activity (TMA or TRICARE), and Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) (prior to TMA). **NOTE:** Use 906 for Analysis of Administrative DHA files.

FILE NUMBER: 911-01
FILE TITLE: TRICARE Contractor Claims Records
FILE DESCRIPTION: These files consist of any record acquired or used by the fiscal intermediary and/or contractor in the development and processing of TRICARE CHAMPVA claims. These records include but

are not limited to: claims (TRICARE claims or other forms approved by TRICARE) receipts (itemized statements); medical reports (operative or daily nursing notes, lab results, etc.) authorization forms; non-availability statements; certifications of eligibility; double coverage information; completed third party liability (guardianship); peer reviews and other correspondence that support payments to beneficiaries, physicians, and other suppliers of service under TRICARE. Includes the following database:

- TRICARE Latin America and Canada (TLAC) Claims Database Master File: Information system used for analyzing claims processed by Defense Health Agency (formerly TRICARE). Included are claim receipts, medical reports, authorization forms, non-availability statements, certifications of eligibility, double coverage information, completed third party liability, peer reviews and other correspondence that support payment to beneficiaries, physicians, and other suppliers of service.
- Third Party Outpatient Collection System (TPOCS): Information system that enables the collection, tracking, and reporting of data required for the outpatient billing process. Records include Employer Information (i.e. name, address, policyholder POC); Insurance Policy data (i.e. policy number, group number, group name, effective date, policy category, insurance company, insurance type, policy holder, drug coverage data); Accounting data (i.e. control number, transaction code, debit amount, credit amount, check number, Batch posting number, balance, patient identification, patient name, encounter date, comments, entry date, follow-up date).

DISPOSITION: Temporary. Cut off at end of the calendar year in which received. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2014-0014-0001
PRIVACY ACT: EDTMA 04
FORMER FILE NUMBER(s): 911-01.1, 911-01.2, 911-01.3

FILE NUMBER: 911-01.2 – Consolidated into 911-01
FILE NUMBER: 911-01.3 – Consolidated into 911-01

FILE NUMBER: 911-02
FILE TITLE: TRICARE Benefit Check Records
FILE DESCRIPTION: These files consist of paid checks that contractors receive from banks covering amounts paid to beneficiaries and/or sponsors, physicians, and other suppliers of service under the TRICARE program. Also included are check vouchers and canceled or voided checks resulting from non-receipt, loss, theft, or non-delivery where the beneficiary and/or sponsor cannot be reached.
DISPOSITION: Temporary. Cut off out at the end of the calendar year in which paid, or voided, as applicable. Destroy 6 years after cutoff.
AUTHORITY: NC1-330-77-016, item 2
PRIVACY ACT: EDTMA 04

FILE NUMBER: 911-03
FILE TITLE: Explanation of TRICARE Benefit Records
FILE DESCRIPTION: These files consist of explanation of TRICARE benefit notices TRICARE Explanation of Benefits (TEOB) used to advise beneficiaries and/or sponsors about TRICARE claims. Included are forms that are developed locally by contractors regarding explanation of TRICARE benefits.
DISPOSITION: Temporary. Cut off at end of the calendar year in which issued. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2014-0014-0002

PRIVACY ACT: EDTMA 02
FORMER FILE NUMBER(s): 911-03.1, 911-03.2, 911-03.3

FILE NUMBER: 911-03.2 – Consolidated into 911-03
FILE NUMBER: 911-03.3 – Consolidated into 911-03

FILE NUMBER: 911-04
FILE TITLE: Appeals and Hearings Case Files - TRICARE Program
FILE DESCRIPTION: These files accumulate when a beneficiary and/or sponsor, physician, or supplier of service is dissatisfied with the contractor's determination denying a request for payment, or with the amount of the payment, or when the individual believes that the request for payment is not being acted upon with reasonable promptness. Included are copies of the claimants' request for review, together with relevant written statements or evidence, notices or review decision, requests for a hearing to protest adverse decisions, hearing proceedings, hearing officers to protest adverse decisions, hearing proceedings, hearing officers' final decisions, and other papers resulting from the appeals process.
DISPOSITION: Temporary. Cut off at the end of the calendar year in which action was taken. Destroy 6 years after cutoff.
AUTHORITY: N1-330-86-001, item 911-04
PRIVACY ACT: EDTMA 01

FILE NUMBER: 911-05
FILE TITLE: Contractor Subcontractor Files
FILE DESCRIPTION: These files consist of copies of contractor agreements with subcontractors, leases for building space, equipment, and consulting and other services. Included are TRICARE approvals, amendments, and similar papers.
DISPOSITION: Temporary. Cut off at the end of the calendar year in which paid, or voided, as applicable. Destroy 6 years after cutoff.
AUTHORITY: NC1-330-77-016, item 5
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-06.1
FILE TITLE: Certification of Institutional Providers of Healthcare Case Files
FILE DESCRIPTION: These files consist of certification of institutional providers of healthcare as authorized TRICARE providers that meet all applicable provisions of law and regulation. The files include: TRICARE forms, correspondence, and related documents certifying that each provider (institutional entity that provides medical services or supplies on an outpatient or inpatient basis) meets the criteria in the TRICARE Regulation, 32 CFR part 199. They also include documents relating to: accreditation status, evaluation surveys to ensure compliance with TRICARE standards, investigation of complaints, termination and reinstatement of providers, and assessment of the operational effectiveness of the provider certification program.
DISPOSITION: Temporary. Cut off at the end of the calendar year in which final action was taken. Destroy 6 years after cutoff.
AUTHORITY: N1-330-86-001, item 911-06.1
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-06.2
FILE TITLE: Health Facilities Registry File
FILE DESCRIPTION: This file consists of a computer printout registry of Defense Health Agency (formerly TRICARE)-approved institutional providers of healthcare. The file includes the following categories of providers: Residential Treatment Centers, Specialized Treatment Facilities, and Program for the Handicapped. **NOTE:** The registry is compiled from data contained in file number 911-06.1.
DISPOSITION: Temporary. Cut off and destroy when superseded by a new registry.
AUTHORITY: NC1-330-81-008, item 911-06.2
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-07
FILE TITLE: TRICARE Recoupment Files
FILE DESCRIPTION: These files consist of all documents used to develop and execute recoupment cases at the contractor and TRICARE level. The files include: copies of TRICARE claim forms, correspondence and related documents, Explanations of Benefits, checks, investigative reports, court documents and other documents required to collect debts owed the Government. Information from these files may be given to consumer credit agencies.
DISPOSITION: Temporary. Cut off at the end of the calendar or fiscal year in which final action was taken. Destroy 6 years after cutoff.
AUTHORITY: N1-330-92-005, item 3
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-08
FILE TITLE: Fraud and Abuse Files
FILE DESCRIPTION: These files consist of control forms, background papers, development records, external agencies reports/letters/investigative records, contractor products of processing, Utilization Review and Medical Analysis papers, and other documents required to process fraud and abuse cases.
DISPOSITION: Temporary. Cut off at the end of the calendar year in which the final action was taken. Destroy 6 years after cutoff.
AUTHORITY: N1-330-86-002, item 911-08
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-09
FILE TITLE: TRICARE Litigation Files
FILE DESCRIPTION: These files consist of TRICARE copies of documents that are forwarded to the Department of Justice for litigation cases in which TRICARE is party.
DISPOSITION: Temporary. Cut off at end of the calendar year in which final action taken. Destroy 6 years after cutoff.
AUTHORITY: N1-330-86-002, item 911-09
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-10
FILE TITLE: TRICARE Legal Opinion Files

FILE DESCRIPTION: These files consist of records from various legal files which are maintained for legal opinion purposes only.
DISPOSITION: Temporary. Cut off and destroy when no longer required for reference.
AUTHORITY: N1-330-86-002, item 911-10
PRIVACY ACT: EDTMA 03

FILE NUMBER: 911-11
FILE TITLE: TRICARE Medical Care Grievance Case Files
FILE DESCRIPTION: These files consist of beneficiary's written complaints of a TRICARE provider, healthcare finder, or other contractor or subcontractor personnel to furnish the level or quality of care and/or service to which the beneficiary may believe they are entitled. This includes the record of the contractor's review and findings, the response to the aggrieved party and, where appropriate, the record of the corrective action taken.
DISPOSITION: Temporary. Cut off at the end of the CY in which case is closed. Destroy 6 years after cutoff.
AUTHORITY: N1-330-94-001, item 1
PRIVACY ACT: EDTMA 03

FILE NUMBER: 911-12
FILE TITLE: Defense Medical Logistics Support System (DMLSS) Medical Logistics Master Files
FILE DESCRIPTION: Information system that provides capabilities for medical logistics management throughout TRICARE treatment facilities. Included are records related to stock control, vendor operations, preparation of procurement, research and price comparisons for products, property accounting, biomedical maintenance operations, capital equipment, property management, inventory, and facility management (excluding financial records).
DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-11-002, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-13
FILE TITLE: Centralized Credentials Quality Assurance System (CCQAS) Master File
FILE DESCRIPTION: Information system that collects and manages military health system (MHS) and MHS commercial provider data regarding employee credentials and qualifications, adverse action and malpractice cases against medical caregivers, risk management, and other similarly related data. Included are employee health care providers, demographics, identification, education, training, affiliations, certification, and other credential information, privileges, risk management, and adverse action information.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-11-003, item 1
PRIVACY ACT: EDHA 09

FILE NUMBER: 911-14
FILE TITLE: Expense Assignment System (EAS) IV Master File

FILE DESCRIPTION: Information system that provides standardized reporting of expense, personnel, and workload data. Records include financial, personnel, and clinical data used to calculate unit cost tables, work center costs, and workload performance for budget formulation/execution.
DISPOSITION: Temporary. Cut off upon final payment. Destroy 7 years after cutoff.
AUTHORITY: N1-330-11-003, item 2
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-15
FILE TITLE: Patient Movement Item Tracking System (PMITS) Master File
FILE DESCRIPTION: Information on the location, quantity, and status of movable medical items (defibrillators, infusion pumps, ventilators, etc.).
DISPOSITION: Temporary. Cut off annually. Maintain current month of data, and destroy oldest data 3 years after cutoff.
AUTHORITY: N1-330-11-003, item 3
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-16
FILE TITLE: Special Needs Program Management Information System (SNPMIS) Master File
FILE DESCRIPTION: Information system used to comply with the Individuals with Disabilities Education Act (IDEA) and includes referral, evaluation, eligibility, and service plan data for all children eligible for service. This system provides case tracking, management and reporting capabilities to Military Treatment Facilities. Records contained within the system include, but are not limited to, information related to performing outreach and prevention activities, conducting assessment and survey activities, compilation of databases for statistical analysis, tracking and reporting, evaluations of program effectiveness, information to assist in conducting research, reports that provide historical analysis to monitor ongoing improvements in quality of care initiatives, care locations and provider's name and title that evaluate and provide intervention, individualized educational programs, and information on areas where additional services are delivered.
DISPOSITION: Temporary. Cut off annually upon child's transition or withdrawal from Educational and Developmental Intervention Services (EDIS). Destroy 5 years after cutoff.
AUTHORITY: N1-330-11-003, item 4
PRIVACY ACT: EDHA 16-DoD

FILE NUMBER: 911-17
FILE TITLE: Armed Forces Health Longitudinal Technology Application / Composite Health Care System (AHLTA/CHCS)
FILE DESCRIPTION: The AHLTA is comprised of multiple legacy information systems to include the Composite Health Care System (CHCS). The CHCS, which was formerly DoD's primary health information system, is still in use to capture pharmacy, radiology and laboratory order management for AHLTA. Data in AHLTA is the computer based patient records (CPR) or Electronic Health Record (EHR) for DHA beneficiaries. Records in the system include, but are not limited to the following: patient name, patient demographics (active duty, retiree, or beneficiary), DOB, Age, SSN, gender, sponsor information, dependent codes, consult logs, patient register, telephone consults, results, appointments, medications, immunizations, allergies, laboratory, radiology, pharmacy, dietetics, readiness information, vital signs,

clinical notes, patient questionnaires, inpatient billing, patient/outpatient services, workload and accounting.
DISPOSITION: Temporary. Cut off upon last episode of patient care or last entry to the patient record is annotated. Destroy 75 years after cutoff.
AUTHORITY: N1-330-11-001, item 1
PRIVACY ACT: EDHA 07

FILE NUMBER: 911-18
FILE TITLE: Chemical and Biological Warfare Exposure System (ChemBio) Master Files
FILE DESCRIPTION: ChemBio contains information on Veterans exposed to chemical agents. It is comprised of three legacy databases (ChemBio; Mustard-Lewisite and Project 112, Shipboard Hazard and Defense (SHAD)). It contains information on U.S. Military, and civilian personnel exposed to chemical agents during the Mustard-Lewisite, Project-112/SHAD, and other chemical/biological testing from 1940 to 1979. Records in the system include but is not limited to record information on: exposure incidents, physician examination notes, exposure substances, and test and treatment dates and locations. The data also includes individual veterans' personally identifiable information such as name, service number, address, SSN and DOB.
DISPOSITION: Permanent. Cut off when no further updates occur to the individual veteran's record. Initial transfer commenced in 2013 upon NARA approval of the schedule. Transfer added and/or updated records to NARA every 5 years.
AUTHORITY: DAA-0330-2013-0015-0001
PRIVACY ACT: 128VA008A

FILE NUMBER: 911-19
FILE TITLE: Clinical Information System (CIS) Master Files
FILE DESCRIPTION: Information system customized to support inpatient treatment at military medical facilities and hospitals. Information includes but is not limited to physical notes, physical history and physical assessments, discharge summaries, progress notes, physician orders, nursing notes, medications administered records, and patient vital signs. Information is entered into CIS through electronic work stations, other electronic systems, or electronic bedside instruments (i.e. physiological monitors, fetal monitors, ventilators, etc.)
DISPOSITION: Temporary. Cut off upon last episode of patient care or last entry to patient care is annotated. Destroy 6 years after cutoff.
AUTHORITY: N1-330-11-001, item 2
PRIVACY ACT: EDHA 07

FILE NUMBER: 911-20
FILE TITLE: Defense and Veterans Eye Injury Registry (DFEIR) Master File
FILE DESCRIPTION: Information system that provides the capability to analyze longitudinal outcomes, assess intervention strategies, enhance performance improvement, and develop a common user/provider interface across the DoD and VA to enhance data integrity, improve coding accuracy, and improve work flow processes for vision care. DVEIVR includes Active Duty United States Military Service Members' and veterans' personally identifiable information and protected health information including: name, race/ethnicity, cell telephone number, mailing/home address, marital status, emergency contact, other names used, birth date, date of death, cell and/or home telephone number, biometrics, medical information, social security number, Electronic Data Interchange Person Number (EDIPN), National

Provider Identifier (NPI), electronic data interchange person number, national provider identifier, gender, personal e-mail address, disability information, rank, military occupational specialty (MOS), and service. Also, included is clinical data regarding ocular and related diagnoses, medical and surgical interventions, other treatments, rehabilitation and restoration outcomes for each case of significant eye and vision injury incurred by an Active Duty Service Member or Veteran.
DISPOSITION: Temporary. Cut off upon last episode of patient care. Destroy 20 years after cutoff.
AUTHORITY: DAA-0330-2013-0008-0001
PRIVACY ACT: EDHA 24

FILE NUMBER: 911-21
FILE TITLE: Overseas Participant Information Management System, Women, Infants and Children Program (PIMSWIC) Consolidated and Local File (Hard Copy)
FILE DESCRIPTION: The consolidated and local files Include but are not limited to beneficiary personally Identifiable information and protected health information, program participant name and/or participant sponsor's name, date of birth, truncated Social Security Number (SSN), mailing address, telecommunications numbers (e g , mobile, fax, telephone), nutrition education notes, e-mail address, military status and supporting information, household Income, data assessing nutritional risks and medical data including (but not limited to) anthropometric data (height or stature and weight), biochemical data (hematocrit or hemoglobin), and dietary data (feeding and nutrition practices) In addition, the records Include the WIC Overseas Program beneficiary's medical history data including history of pregnancy, food allergies, medical conditions (I e , asthma, diabetes, lactose Intolerance, etc.) and related information.
DISPOSITION: Temporary. Cut off hard copy records upon termination of patient's eligibility or withdrawal of participant from WIC Overseas Program. Transfer to consolidated PIMSWIC Facility in San Antonio, TX 6 months after cutoff. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2013-0001-0001
PRIVACY ACT: EDHA 10

FILE NUMBER: 911-22
FILE TITLE: Defense Occupational and Environmental Health Readiness System – Hearing Conservation (DOEHRS-HC) Master File
FILE DESCRIPTION: DOEHRS-HC collects, maintains, compares and reports hearing readiness, deployment and hearing conservation program data for Department of Defense (DoD) Military and Civilian personnel. The master file includes but is not limited to the following information: personally identifiable information including social security number, date of birth, first name, middle name, last name, gender, worker type, hearing loss screening and surveillance data, and personal protective equipment used, and related information.
DISPOSITION: Temporary. Cut off annually. Destroy 30 years after the separation/retirement of the service member of termination/retirement civilian personnel.
AUTHORITY: DAA-0330-2013-0004-0001
PRIVACY ACT: EDHA 19

FILE NUMBER: 911-23
FILE TITLE: Joint Medical Asset Repository (JMAR) / Joint Medical Logistics Readiness Tool (JMLRT) Inventory Data

FILE DESCRIPTION: Inventory and due in data for supply, facility management, equipment and blood for JMAR /JMLRT, a web-based electronic data repository for consolidated medical logistics inventory and asset inventory information. The JMAR / JMLRT system captures and consolidates existing data from disparate legacy and replacement medical logistics sources to provide a single source for medical asset visibility. JMAR acts as the single authoritative source for acquiring, managing, and providing timely and accurate joint medical asset visibility information. It captures, integrates, and stores data in a central repository with Web-based access. Records in the system includes but is not limited to: medical inventory and due in records for supplies and equipment, medical equipment maintenance data, item receipt data, facility management data and blood inventory and shipment data. **NOTE:** Use FN 206-09.1 for Transactional data to include item receipts, issue history and equipment maintenance.
DISPOSITION: Temporary. Cut off annually in year when list created. Destroy 3 years after cutoff.
AUTHORITY: GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-24
FILE TITLE: Nutritional Management Information System (NMIS) Meal Tickets
FILE DESCRIPTION: Meal ticket records from the Nutrition Management Information System (NMIS) is the Military Health System (MHS) / electronic information system for clinical dietetic and food/production/service information. It contains data elements in the health care records that enable the Military Health System (MHS) personnel to provide preventive and therapeutic medical nutrition therapy (MNT) and medical food management to dietetic MHS beneficiaries and/or their dependents.
DISPOSITION: Temporary. Cut off and destroy after change of diet or medical discharge of the patient.
AUTHORITY: DAA-0330-2013-0010-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-25
FILE TITLE: Nutritional Management Information System (NMIS) Food Production Records
FILE DESCRIPTION: Food production records from the Nutrition Management Information System (NMIS) is the Military Health System (MHS) / electronic information system for clinical dietetic and food/production/service information. It contains data elements in the health care records that enable the Military Health System (MHS) personnel to provide preventive and therapeutic medical nutrition therapy (MNT) and medical food management to dietetic MHS beneficiaries and/or their dependents.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: DAA-0330-2013-0010-0003
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-26
FILE TITLE: Transportation Command Regulating Command and Control Evacuation System (TRAC²ES)
FILE DESCRIPTION: TRAC2ES is a DoD information system used to determine the appropriate medical treatment facility to which the reported patient will be transferred; to notify the reporting U.S. Government medical treatment facility of the transfer destination. Master file for TRAC²ES consist of information from the transferring medical facility which includes but is not limited to: patient identity, service affiliation, grade or status, sex, medical diagnosis, medical condition, necessary special procedures or requirements, required medical specialties administrative considerations, personal considerations, patient home address and/or duty station, and other information affecting the transfer on all active duty military personnel including the National Guard, Air National Guard, Reserves, DoD civilians and others.

DISPOSITION: Temporary. Cut off upon notification of reporting to medical treatment facility at the transfer destination. Destroy 75 years after cutoff.
AUTHORITY: DAA-0330-2014-0012-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 911-27
FILE TITLE: Theater Medical Data Store Master Plan
FILE DESCRIPTION: The Theater Medical Data Store (TMDS) provides web-based access to service member information collected at theater based medical treatment facilities (MTFs) using AHLTA-Theater, Shipboard Automated Medical System (SAMS), Global Expeditionary Medical System (GEMS), and Cache TC2. TMDS master file consists of records of medical treatment patients receive in theater battalion aid stations and from first responders on the battlefield. All TMDS medical records include patient demographic information including but not limited to: age, birth date, social security number (SSN), marital status, personal cell phone number, home telephone number, address, race, pay grade, personnel code, service identification number, mobilization status, unit identification number and unit phone number. In addition, TMDS maintains blood inventory records of MTFs OCONUS and in forward operating bases in the theater of operations.
DISPOSITION: Temporary. Cut off annually. Destroy patient related medical records transferred to the Department of Veteran Affairs annually when 50 years old.
AUTHORITY: DAA-0330-2014-0006-0001
PRIVACY ACT: TBD

FILE NUMBER: 911-28
FILE TITLE: Theater Blood Tab
FILE DESCRIPTION: The Theater Blood Tab provides visibility and a traceable record of transient patients' blood transfusions, blood inventory and blood donations according to the theater facility and location. Including but not limited to blood inventory records and medical transportation records.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2014-0006-0002
PRIVACY ACT: TBD

FILE NUMBER: 911-29
FILE TITLE: Defense Medical Human Resource System – Internet (DMHRSi)
FILE DESCRIPTION: DMHRSi is the primary reporting system available to support all medical staff in the day-to-day human resource management operations. It stores data for all medical staff, regardless of Service, and thereby provides an enterprise-wide view of all the medical resources in one system. This allows for integrated visibility and reporting. The DMHRSI master file includes but is not limited to information on Manpower Personnel, Education & Training, Readiness, Labor Cost Assignment, Project or Task. Data fields are Individual's name, date of birth, Social Security Number (SSN) and/or DoD Identification (ID) Number, National Provider Identifier (NPI), Common Access Card (CAC) expiration date, gender, place of birth, citizenship, home address, home telephone number, business email address, work address, work telephone number, race/ethnicity, marital status, medical training information including class names and class dates, military rank information, specialty, licensure, educational background, personnel security clearance data, medical readiness training and other health information required to determine an individual's fitness to perform their duties. The DMHRSi maintains the following MHS contractor and volunteer data:

(1) Manpower authorization documents and other information that provide necessary management reporting requirements;
(2) Personnel training data including personnel training requirements, training courses, classes, schedules, instructors, and individual training records;
(3) Personnel demographic and projected personnel gains and losses;
(4) Labor cost assignment data including personnel time card data, labor cost accounting data, DoD pay codes, and bi-weekly pay period summaries; and
(5) Personnel readiness status including physical training and readiness status.

DISPOSITION: Temporary. Cut off upon notification of separation or termination from MHS assignment and/or employment. Destroy 4 years after cutoff.
AUTHORITY: DAA-0330-2016-0014-0001
PRIVACY ACT: EDHA 11

FILE NUMBER: 911-30
FILE TITLE: Coagulation Clinic (CoagClinic) System – Master Files
FILE DESCRIPTION: The CoagClinic system maintains anticoagulation medical treatment statistical record data for following trends and conducting patient population studies, research and other activities. The system produces patient treatment reports; however, the official patient medical record (treatment) is transferred to and maintained in the AHLTA system. CoagClinic is deployed at 32 military health system hospitals and treatment facilities. CoagClinic master files include patient demographic information, such as:

- Name, SSN, gender, race, DOB, address, telephone number,
- Medical information,
- Family member program category,
- Sponsor SSN, and e-mail address,
- Anticoagulation treatment dosage by
    - Patient appointment date and days of the week,
    - Dosage, dosage frequency and route,
    - Treatment start and end dates,
    - International normalized ratio (INR) of prothrombin time of blood coagulation rates and reactions, and
    - Additional medications and medication information including name, dosage, dosage frequency and route, drug classification, start and stop dates, and in rates and reactions.

DISPOSITION: Temporary. Cut off upon system decommissioning. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2016-0012-0001
PRIVACY ACT: A0040-66b DASG

FILE NUMBER: 911-31
FILE TITLE: Blood Donor Management System (BDMS)
FILE DESCRIPTION: BDMS, a component of the Enterprise Blood Management System (EBMS), manages the blood donation aspect of the Armed Services Blood Program (ASBP), including blood donor registration, screening, blood products, and associated record keeping for military blood donors, dependents of military donors, and other civilian donors in the CONUS, OCONUS, and in Theater. BDMS contains patient information such as blood donor demographic information, blood donor deferral information and data related to donated blood unit such as lab test results, blood product manufacturing, blood product inventory and distribution.

DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2016-0001-0001
PRIVACY ACT: EDHA 25-DoD

FILE NUMBER: 911-32
FILE TITLE: Blood Management Blood Bank Transfusion Service (BMBB/TS)
FILE DESCRIPTION: BMBB/TS, a component of the Enterprise Blood Management System (EBMS), improves patient safety by using automation to record, track, and report on all aspects of blood banking and blood transfusion, secures global web-based solutions, provides enterprise-wide Military Health Services (MHS) blood products inventory management and reporting and, provides for automated cross-matching of blood and blood products. Master file includes but is not limited to patient information such as transfusion request, records on issuing of a blood product to patients, donor deferrals, and deferral information.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2016-0001-0003
PRIVACY ACT: EDHA 25 DoD

FILE NUMBER: 911-33
FILE TITLE: Neurocognitive Assessment Performance Report Data
FILE DESCRIPTION: Neurocognitive Assessment data of selected military service members, examining cognitive processes (used to determine if problems are getting better or worse after concussions, Traumatic Brain Injuries (TBIs), and mild Traumatic Brain Injuries (mTBIs)). Data includes:

- Demographic information (Social Security Numbers, date of birth, name, gender, address, military service unit, telephone numbers, etc.)
- Self-reported information on possible prior concussions
- Self-reported assessments of sleepiness and moods
- Cognitive performance measures

DISPOSITION: Temporary. Cut off after last patient is evaluated. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2013-0007-0001
PRIVACY ACT: TBD

FILE NUMBER: 911-34
FILE TITLE: Department of Defense Medical Examination Review Board System (DoDMERBS)
FILE DESCRIPTION: Central repository and tracking system for all initial physical examinations and supporting documents for most officer accessions in all branches of the Armed Services. The DoDMERBS system supports contract and DoD medical and para-professional personnel to store, track, and communicate on status and flow of physical examinations and medical waivers. Includes, but is not limited to:

- Name, SSN, rank, branch, and DOB
- Report of the Medical Examination
- Report of Medical History
- Report of Dental Examination, to include dental x-rays and any associated civilian forms
- Medical tests that have been accomplished such as labs, radiographs, EKGs, Spirometry, consult reports, etc.
- Personal correspondence between the DoDMERB and the applicant, and/or parents/guardian concerning the applicant's medical history or qualification status

DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2015-0008-0001
PRIVACY ACT: TBD

FILE NUMBER: 911-35
FILE TITLE: Defense Blood Standard System (DBSS)
FILE DESCRIPTION: Computerized system that electronically records and consolidates blood donation and transfusion information that can be entered through a standard PC using a bardcode scanner, pointing device or keyboard. Master file contains patient and donor information provided by Military Treatment Facilities' blood banks and donor centers. Includes, but is not limited to, patient, donor, testing, and blood product information.
DISPOSITION: Temporary. Cut off and destroy upon verification of data transfer and quality assurance.
AUTHORITY: DAA-0330-2016-0001-0002
PRIVACY ACT: EDHA 07

FILE NUMBER: 911-36
FILE TITLE: Spectacle Request and Transmission System (SRTSweb)
FILE DESCRIPTION: Web-based information system for the ordering and tracking of eyewear (including prescription lens inserts for gas masks, goggles, and military combat eye protection) for all authorized users, active, retired and reserve military personnel.
DISPOSITION: Temporary. Cut off all completed orders annually. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2017-0007-0001
PRIVACY ACT: Not applicable

FILE NUMBER: 911-37
FILE TITLE: Surgical Scheduling System (S3)
FILE DESCRIPTION: Web-based program that provides standardization of operating room (OR) scheduling and reporting processes, and allows the collection of enterprise-wide metrics on OR efficiency. Includes statistical analysis data maintained at each servicing location for research purposes. Data includes:

- Surgery lengths
- Number of completed surgical procedures (daily, weekly, monthly, annually)
- Types of surgical procedures
- Anaesthesia notes
- Nursing information
- Other data related to a patient's surgery

DISPOSITION: Temporary. Cut off all annually in the year surgery was completed. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2017-0008-0001
PRIVACY ACT: Not applicable

RECORDS CATEGORY: 912 – RESERVED

FILE NUMBER: 912-01 – Consolidated into 1901-01
FILE NUMBER: 912-02 – Consolidated into 1901-03
FILE NUMBER: 912-03 – Consolidated into 1901-04 and/or 1901-14, as applicable

FILE NUMBER: 912-03.1 – RESCINDED
FILE NUMBER: 912-04 – Consolidated into 1901-03
FILE NUMBER: 912-05 – Moved to 1901-05
FILE NUMBER: 912-06 – Consolidated into 1901-01
FILE NUMBER: 912-07 – Consolidated into 1901-04 and/or 1901-14, as applicable
FILE NUMBER: 912-07.1 – RESCINDED
FILE NUMBER: 912-08 – Consolidated into 1901-03
FILE NUMBER: 912-09 – Consolidated into 1901-06
FILE NUMBER: 912-10.1a – Moved to 1901-07
FILE NUMBER: 912-10.1b – Consolidated into 1901-06
FILE NUMBER: 912-10.2 – Consolidated into 1901-06
FILE NUMBER: 912-11 – Consolidated into 1901-08
FILE NUMBER: 912-12 – Consolidated into 1901-08
FILE NUMBER: 912-13 – Moved to 1901-09

RECORDS CATEGORY: 913 – RESERVED

FILE NUMBER: 913-01 – Consolidated into 1901-10
FILE NUMBER: 913-02 – Consolidated into 1901-10

RECORDS CATEGORY: 914 – RESERVED

FILE NUMBER: 914-01a – Moved to 1921-01
FILE NUMBER: 914-01b – Moved to 1921-02

RECORDS CATEGORY: 915 – RESERVED

FILE NUMBER: 915-01 – Moved to 1921-01
FILE NUMBER: 915-01a – RESCINDED
FILE NUMBER: 915-02 – Consolidated into 206-21
FILE NUMBER: 915-03 – Consolidated into 206-21

RECORDS CATEGORY: 916 – RESERVED

FILE NUMBER: 916-01a – RESCINDED
FILE NUMBER: 916-01b – RESCINDED
FILE NUMBER: 916-02 – Moved to 1905-04

RECORDS CATEGORY: 917 – RESERVED

FILE NUMBER: 917-01 – Moved to 1922-01
FILE NUMBER: 917-02 – Moved to 1922-02
FILE NUMBER: 917-02b – Consolidated into 202-03.2

FILE NUMBER: 917-03 – Moved to 1922-03

RECORDS CATEGORY: 918 – RESERVED

FILE NUMBER: 918-01 – Moved to 1901-11

RECORDS CATEGORY: 919 – RESERVED

FILE NUMBER: 919-01 – Moved to 1923-01
FILE NUMBER: 919-02 – Moved to 1923-02
FILE NUMBER: 919-03 – Moved to 1923-03
FILE NUMBER: 919-04 – Moved to 1923-04
FILE NUMBER: 919-05 – Moved to 1923-05
FILE NUMBER: 919-06 – Moved to 1923-06
FILE NUMBER: 919-07 – Moved to 1923-07
FILE NUMBER: 919-08 – Moved to 1923-08
FILE NUMBER: 919-09 – Moved to 1923-09
FILE NUMBER: 919-10 – Moved to 1923-10
FILE NUMBER: 919-11 – Moved to 1923-11
FILE NUMBER: 919-12 – Moved to 1923-12
FILE NUMBER: 919-13 – Moved to 1923-13

RECORDS CATEGORY: 920 – RESERVED

FILE NUMBER: 920-01 – Moved to 1924-01
FILE NUMBER: 920-02 – Moved to 1924-02
FILE NUMBER: 920-03 – Moved to 1924-03
FILE NUMBER: 920-04a – Moved to 1924-04
FILE NUMBER: 920-04b – Moved to 1924-05
FILE NUMBER: 920-05 – Moved to 1924-06
FILE NUMBER: 920-06 – Moved to 1924-07
FILE NUMBER: 920-07 – Moved to 1924-08
FILE NUMBER: 920-08a – Moved to 1924-09
FILE NUMBER: 920-08b – Moved to 1924-10
FILE NUMBER: 920-09a – Moved to 1924-11
FILE NUMBER: 920-09b – Moved to 1924-12
FILE NUMBER: 920-09c(1) – Moved to 1924-13
FILE NUMBER: 920-09c(2) – Moved to 1924-14
FILE NUMBER: 920-10 – Moved to 1924-15
FILE NUMBER: 920-11a – Moved to 1924-16
FILE NUMBER: 920-11b – Moved to 1924-17
FILE NUMBER: 920-12a – Moved to 1924-18
FILE NUMBER: 920-12b – Moved to 1924-19
FILE NUMBER: 920-13 – Moved to 1924-20
FILE NUMBER: 920-14a – Moved to 1924-21

FILE NUMBER: 920-14b – Moved to 1924-22
FILE NUMBER: 920-15 – Moved to 1924-23
FILE NUMBER: 920-16a – Moved to 1924-24
FILE NUMBER: 920-16b – Moved to 1924-25
FILE NUMBER: 920-17 – Moved to 1924-26
FILE NUMBER: 920-18 – Moved to 1924-27
FILE NUMBER: 920-19 – Moved to 1924-28

RECORDS CATEGORY: 921 – RESERVED

FILE NUMBER: 921-01a – Moved to 1917-01
FILE NUMBER: 921-01b – Moved to 1917-03
FILE NUMBER: 921-01c – Moved to 1917-04
FILE NUMBER: 921-01d – Moved to 1917-02
FILE NUMBER: 921-02a – Moved to 1917-05
FILE NUMBER: 921-02b – Moved to 1917-06

RECORDS CATEGORY: 922 – RESERVED

FILE NUMBER: 922-01 – Moved to 1918-01
FILE NUMBER: 922-02 – Moved to 1918-02
FILE NUMBER: 922-03 – Moved to 1918-03
FILE NUMBER: 922-04 – Moved to 1918-04

RECORDS CATEGORY: 923 – RESERVED

FILE NUMBER: 923-01a – Moved to 1925-01
FILE NUMBER: 923-01b – Moved to 1925-02
FILE NUMBER: 923-01c – Moved to 1925-03
FILE NUMBER: 923-02 – Consolidated into 101-01.1
FILE NUMBER: 923-03 – Consolidated into 101-01.1

RECORDS CATEGORY: 924 – RESERVED

FILE NUMBER: 924-01 – Moved to 1919-01
FILE NUMBER: 924-02a – Consolidated into 1919-02
FILE NUMBER: 924-02b – Consolidated into 1919-02
FILE NUMBER: 924-02c – Moved to 1919-03
FILE NUMBER: 924-03 – Consolidated into 1919-05
FILE NUMBER: 924-04 – Consolidated into 1919-05
FILE NUMBER: 924-05 – Consolidated into 1919-06
FILE NUMBER: 924-06 – Consolidated into 1919-07
FILE NUMBER: 924-07.A – RESCINDED

FILE NUMBER: 924-07.B – RESCINDED
FILE NUMBER: 924-07.C – RESCINDED
FILE NUMBER: 924-07.D – RESCINDED
FILE NUMBER: 924-07.F – RESCINDED
FILE NUMBER: 924-07.H – RESCINDED
FILE NUMBER: 924-07.9 – RESCINDED

RECORDS CATEGORY: 925 – RESERVED for DHA [Armed Forces Medical Examiner Files]

RECORDS CATEGORY: 926 – RESERVED for DHA [Anesthesia Records]

RECORDS CATEGORY: 927
CATEGORY TITLE: Consolidated Health Records Schedule
CATEGORY DESCRIPTION: Records pertaining to the integrated medical care provided by the Army, Navy, and Air Force to Combatant Commands in both peacetime and wartime, as well as Military Health System (MHS) beneficiaries. Includes records implementing shared services with common measurement of outcomes, and records enabling adoption of proven practices, helping reduce standardization, unwanted variation, and improving. Also includes oversight of joint shared medical services. **NOTE:** Use 911 for DHA records and 906 for Analysis of Administrative DHA files.

FILE NUMBER: 927-01
FILE TITLE: Armed Forces Military Service Treatment Record (STR)
FILE DESCRIPTION: Chronological record (electronic or paper) documenting the medical and/or dental care and treatment received primarily outside of a hospital (outpatient), but may contain a synopsis of any inpatient hospital care and/or mental health treatment related to the Armed Forces members' service. This Item also includes the STRs of members who have not successfully completed the initial entry training or the accession programs. Includes but is not limited to the following:

- Armed Forces Military Service Treatment Record (STR) for Medical / Dental Records (Outpatient)
- Healthcare Artifact and Imaging Management System (HAIMS): Federated architecture that provides access to artifacts and images (A&I) where needed, leverages standards for interoperability with existing and future systems, and is based on extensive real world understanding and experience supporting the MHS mission. HAIMS will provide awareness and access to A&I (e.g. photographs, x-rays, video, etc.) from the Electronic Health Record (EHR). Records in the system include patient medical records including A&I (e.g. photographs, radiographs, waveforms, audio files, x-rays, video, scanned documents, etc.), patient demographic information including unique patient identifier, electronic data interchange patient number (EDIPN-DEERS ID), external person identification, name, gender, DOB, ethnicity, race, patient category, insurance status, address, telecom, primary care manager ID, relationship to sponsor, sponsor unique patient identifier, sponsor EDIPN (DEERS ID) status rank/grade/department/service/organization/role, and specialty.

NOTE: This File Number DOES NOT APPLY to STRs which are currently located in Official Military Personnel Folders (OMPFs) transferred to the NPRC (St. Louis) prior to 1995; and VA XC Folders (deceased Veterans claims) located at Federal Records Centers (FRCs).

DISPOSITION: Temporary. Cut off after the date of separation of the member from the Armed Services. Destroy 100 years after cutoff.
NOTE: The following action will be taken depending on the media as applicable:
Paper STR Information:

- If the member does not initiate a VA claim upon date of separation, the Services shall transfer the paper STR information to Veterans Affairs Records Management Center (VA RMC) or by commercial vendor to VA Records Management Center.
- If the member initiates a VA claim, the Services shall transfer the paper STR information upon date of separation to a specific Veterans Affairs Regional Office (VARO) of jurisdiction.
- The VA shall transfer the paper STR information to the National Personnel Records Center (NPRC)/ Federal Records Centers (FRC) when VA no longer has a business need for the paper STR information.
- At the time of transfer of the paper STR information to the NPRCIFRC, the transferring agency, VA, DoD and the Military Services shall adhere to NARA standards and guidance in effect at the time.
- Transferred paper STR information may be recalled by the Military Services from the VA/NPRC/FRC to support a business need.

Scanned Paper:

- The DoD and the Military Services shall destroy the paper STR information only after completion of scanned electronic Imaging and upon verification by DoD and the Military Services that an Image is readily available for access by authorized users In a repository through a portal or any other mode of access.
- Such verification may occur during the conversion process or via a quality assurance check.

The scanned electronic STR information will be maintained as the record copy.
AUTHORITY: N1-330-10-003, item 1
PRIVACY ACT: TBD
FORMER FILE NUMBER: 1805-24

SERIES 1000 – ASD(LEGISLATIVE AFFAIRS)

SERIES TITLE: ASSISTANT SECRETARY OF DEFENSE (LEGISLATIVE AFFAIRS) (ASD(LA)), DEPARTMENT OF DEFENSE

SERIES DESCRIPTION: The records described in this series relate to DoD relations with Congress, the designation and appearance of witnesses, coordination of the DoD-supported congressional travel, processing of security requests for congressional consideration of the legislative program of the Department of Defense.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1000 Series reflect the mission of the Assistant Secretary of Defense (Legislative Affairs (ASD(LA)).

RECORDS CATEGORY: 1001 – RESERVED

RECORDS CATEGORY: 1002
CATEGORY TITLE: Legislative Program Files
CATEGORY DESCRIPTION: Records representing the legislative program of different organizations in the Department of Defense. They consist of legislative programs (in their particular areas), letters from and to congressional committees or individual members, monitoring of the programs, and coordination of legislative activities in consultation with the Office of Assistant Secretary of Defense for Legislative Affairs (OASD(LA)).

FILE NUMBER: 1002-01
FILE TITLE: Legislative Programs – DR&E/DARPA
FILE DESCRIPTION: Legislative programs pertaining to the Defense Research and Engineering (DR&E), Defense Advanced Research Projects Agency (DARPA), including letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).
DISPOSITION: Permanent. Cut off annually after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1002-02
FILE TITLE: Legislative Programs – Comptroller, Defense Civil Preparedness
FILE DESCRIPTION: Legislative programs pertaining to the Comptroller, including letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).
DISPOSITION: Permanent. Cut off annually after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1002-03
FILE TITLE: Legislative Programs – Installations and Logistics, Defense Supply, Defense Contract Audit, and Defense Mapping Agencies
FILE DESCRIPTION: Legislative programs pertaining to the Installations and Logistics, Defense Supply, Defense Contract Audit, and Defense Mapping Agencies, including letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).
DISPOSITION: Permanent. Cut off annually after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1002-04
FILE TITLE: Legislative Programs – International Security, Program Analysis and Evaluation, Defense Security Cooperation Agency
FILE DESCRIPTION: Legislative programs pertaining to the International Security, Program Analysis and Evaluation, and Defense Security Cooperation Agency, including letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).
DISPOSITION: Permanent. Cut off annually after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-04
PRIVACY ACT: Not Applicable

FILE NUMBER: 1002-05
FILE TITLE: Legislative Programs – Chairman of the Joint Chiefs of Staff, DIA, NSA, Intelligence, Public Affairs
FILE DESCRIPTION: Legislative programs pertaining to the Chairman of the Joint Chiefs of Staff, Defense Intelligence Agency (DIA), National Security Agency (NSA), Intelligence, and Public Affairs, including letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).
DISPOSITION: Permanent. Cut off annually after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-05
PRIVACY ACT: Not Applicable

FILE NUMBER: 1002-06
FILE TITLE: Legislative Programs – Manpower, Reserve, and Health Affairs
FILE DESCRIPTION: Legislative programs pertaining to Manpower, Reserve, and Health Affairs, including letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).
DISPOSITION: Permanent. Cut off annually after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-06

PRIVACY ACT: Not Applicable

FILE NUMBER: 1002-07
FILE TITLE: Legislative Programs – Atomic Energy, Defense Threat Reduction Agency, Defense Information Systems Agency
FILE DESCRIPTION: Legislative programs pertaining to Atomic Energy, Defense Threat Reduction Agency, Defense Information Systems Agency, including letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities in consultation with the OASD(LA).
DISPOSITION: Permanent. Cut off annually after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-07
PRIVACY ACT: Not Applicable

FILE NUMBER: 1002-08
FILE TITLE: Research and Administration – DoD-Supported Congressional Travel
FILE DESCRIPTION: Documents on the arrangements for the DoD-supported travel for members of Congress and congressional staffs. Requests from Congress for support, support evaluation for conformance with policy and appropriate referral to Military Departments for execution.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-08.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1002-08.1

FILE NUMBER: 1002-08.1 – Moved to 1002-08
FILE NUMBER: 1002-08.2 – Moved to 1002-09
FILE NUMBER: 1002-08.3.1 – Moved to 1002-10
FILE NUMBER: 1002-08.3.2 – Consolidated into 103-14
FILE NUMBER: 1002-08.3.3 – RESCINDED
FILE NUMBER: 1002-08.3.4 – Moved to 1002-11
FILE NUMBER: 1002-08.4 – Moved to 1002-12

FILE NUMBER: 1002-09
FILE TITLE: Research and Administration – Congressional Staff Security Clearances
FILE DESCRIPTION: Documents arranging security clearance of members of congressional staff.
DISPOSITION: Temporary. Cut off after staff member leaves his or her assignment. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-08.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1002-08.2

FILE NUMBER: 1002-10
FILE TITLE: Legislative Research Files – Proposed Legislation

FILE DESCRIPTION: Documents briefly describing history of proposed or impending legislature for edification of the DoD officials.
DISPOSITION: Permanent. Cut off after no longer current. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-08.3a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1002-08.3.1

FILE NUMBER: 1002-11
FILE TITLE: Legislative Research Files – Daily Summaries
FILE DESCRIPTION: Daily summaries of items of interest to the Secretary of Defense.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-08.3d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1002-08.3.4

FILE NUMBER: 1002-12
FILE TITLE: White House Staff Correspondence
FILE DESCRIPTION: Correspondence exchanged with White House staff on matters of legislative interest. Weekly reports to the White House on status of the DoD legislation.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-008, item 1002-08.5
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1002-08.4

SERIES 1100 – DoD CIO

SERIES TITLE: CHIEF INFORMATION OFFICER FOR THE DEPARTMENT OF DEFENSE (DOD CIO) FILES

SERIES DESCRIPTION: Records described in this series relate to the oversight of national security and defense business systems, management of information resources (including finding efficiencies in management), and all matters pertaining to DoD's Information Enterprise, including:

- Communications;
- Spectrum management;
- Network policy and standards;
- Information Systems;
- Cyber Security, positioning, navigation and timing policies; and
- Support of DoD Command and Control.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers in the 1100 Series reflect the mission of the Office of the Chief Information Officer for the Department of Defense (DoD CIO). Additional components who may use applicable file numbers in this series include the Office of Defense Net Assessment (ODNA), Office of the Under Secretary of Defense for Intelligence and Security (OUSD(I&S)), the Office of the Senior Intelligence Oversight Officer (SIOO) and the Office of the Under Secretary of Defense for Policy (OUSD(P)). **NOTE:** CIOs of other components may use 1105 file numbers, as applicable to their role as a CIO.

RECORDS CATEGORY: 1101
CATEGORY TITLE: Industrial and Information Security Policy
CATEGORY DESCRIPTION: Policy files pertaining to international security, industrial security clearance review, and information security.

FILE NUMBER: 1101-01
FILE TITLE: International Security – Policy and Guidelines
FILE DESCRIPTION: Security policy, directives, and guidelines related to NATO or other international defense treaty members.
DISPOSITION: Permanent. Cut off when superseded or canceled. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.1

FILE NUMBER: 1101-01.1 – Moved to 1101-01
FILE NUMBER: 1101-01.2 – Moved to 1101-02
FILE NUMBER: 1101-01.3 – Moved to 1101-09
FILE NUMBER: 1101-01.4a – Moved to 1101-10
FILE NUMBER: 1101-01.4b – Moved to 1101-11

FILE NUMBER: 1101-01.4c – Moved to 1101-12
FILE NUMBER: 1101-01.5 – Moved to 1101-13
FILE NUMBER: 1101-01.6 – Moved to 1101-14
FILE NUMBER: 1101-01.7 – Moved to 1101-15
FILE NUMBER: 1101-01.8 – Consolidated into 103-14
FILE NUMBER: 1101-01.9 – Consolidated into 102-05.1
FILE NUMBER: 1101-01.10 – Moved to 1101-16
FILE NUMBER: 1101-01.11 – Moved to 1101-17
FILE NUMBER: 1101-01.12 – Moved to 1101-18
FILE NUMBER: 1101-01.13 – Moved to 1101-19
FILE NUMBER: 1101-01.14 – Moved to 1101-20
FILE NUMBER: 1101-01.15a – Moved to 1101-21
FILE NUMBER: 1101-01.15b – RESCINDED
FILE NUMBER: 1101-01.16 – Moved to 1101-22
FILE NUMBER: 1101-01.17 – Moved to 1101-23

FILE NUMBER: 1101-02
FILE TITLE: International Security – NATO and US Central Registry International Security Directives
FILE DESCRIPTION: Directives pertaining to support for NATO or other international defense treaty classified couriers and staff supervision for the US Central Registry.
DISPOSITION: Permanent. Cut off when superseded or canceled. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.2

FILE NUMBER: 1101-02.1 – RESCINDED
FILE NUMBER: 1101-02.2 – RESCINDED
FILE NUMBER: 1101-02.3 – RESCINDED
FILE NUMBER: 1101-02.4 – RESCINDED
FILE NUMBER: 1101-02.5 – RESCINDED
FILE NUMBER: 1101-03.1 – Moved to 1101-03
FILE NUMBER: 1101-03.2 – Moved to 1101-04

FILE NUMBER: 1101-03
FILE TITLE: Security Plans and Programs – Directives and Guidance
FILE DESCRIPTION: Policy and procedures in the form of directives and guidance to the military and civilian security programs of the DoD Components including investigative and physical security matters.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-04a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-03.1

FILE NUMBER: 1101-04
FILE TITLE: Security Plans and Programs – Liaison Records

FILE DESCRIPTION: Liaison documents with other US Agencies coordinating security policy and procedures.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-04b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-03.2

FILE NUMBER: 1101-04.1 – Moved to 1101-05
FILE NUMBER: 1101-04.2 – Moved to 1101-06
FILE NUMBER: 1101-04.3a – Moved to 1101-08
FILE NUMBER: 1101-04.3b – RESCINDED

FILE NUMBER: 1101-05
FILE TITLE: Information Security – Policy and Standards
FILE DESCRIPTION: Policy, regulations, standards, and criteria for security classification, downgrading, and declassification and marking of information and material within the Department of Defense and defense industry, and for identification of national security information requiring protection through security protection.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-05a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-04.1

FILE NUMBER: 1101-06
FILE TITLE: Information Security – Program Administration
FILE DESCRIPTION: Documents, including policy guidance and interpretations, for the administration of the DoD Information Security Program.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-05b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-04.2

FILE NUMBER: 1101-07
FILE TITLE: Information Security – DoD Information Security Advisory Board
FILE DESCRIPTION: Documents consisting of agenda, minutes, charter and membership of the DoD Information Security Advisory Board.
DISPOSITION: Permanent. Cut off when no longer active. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-05c
PRIVACY ACT: Not Applicable

FILE NUMBER: 1101-08
FILE TITLE: Information Security – Interagency Classification Appeals Panel
FILE Description: Documents relating to DoD participation in the Interagency Classification Appeals Panel.
DISPOSITION: Permanent. Cut off when no longer active. Transfer to NARA 25 years after cutoff.

AUTHORITY: NC1-330-77-013, item 306-05d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-04.3a

FILE NUMBER: 1101-09
FILE TITLE: International Security – Allied Defense Forces Security
FILE DESCRIPTION: International General Security of Information and/or Industrial Security Procedures with allied defense forces regarding security policy, operations, and arrangements of a security nature.
DISPOSITION: Permanent. Cut off when superseded or canceled. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.3

FILE NUMBER: 1101-10
FILE TITLE: International Security – IPO Top Secret Compromise Cases
FILE DESCRIPTION: International Pact Organizations (IPO) (NATO, Central Treaty Organization, or Southeast Asia Treaty Organization) compromise of Top Secret or equivalent defense information cases by U.S. and non-U.S. holders.
DISPOSITION: Temporary. Cut off at close of case. Destroy 10 years after cutoff, with all associated case papers (including corrective action taken).
AUTHORITY: NC1-330-77-013, item 306-02d(1)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.4a

FILE NUMBER: 1101-11
FILE TITLE: International Security – IPO Secret Compromise Cases
FILE DESCRIPTION: International Pact Organizations (IPO) (NATO, Central Treaty Organization, or Southeast Asia Treaty Organization) compromise of Secret defense information cases by U.S. and non-U.S. holders.
DISPOSITION: Temporary. Cut off at close of case. Destroy 5 years after cutoff, with all associated case papers (including corrective action taken).
AUTHORITY: NC1-330-77-013, item 306-02d(2)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.4b

FILE NUMBER: 1101-12
FILE TITLE: International Security – All Other IPO Compromise Cases
FILE DESCRIPTION: International Pact Organizations (IPO) (NATO, Central Treaty Organization, or Southeast Asia Treaty Organization) compromise cases by U.S. and non-U.S. holders, that are not Top Secret or Secret.
DISPOSITION: Temporary. Cut off at close of case. Destroy 2 years after cut off.
AUTHORITY: NC1-330-77-013, item 306-02d(3)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.4c

FILE NUMBER: 1101-13
FILE TITLE: International Security – Inspection Reports for US Holders
FILE DESCRIPTION: Inspection reports by U.S. Central Registry of US holders of North Atlantic Treaty Organization (NATO), Central Treaty Organization (CENTO), and Southeast Asia Treaty Organization (SEATO) information.
DISPOSITION: Temporary. Cut off upon completion of inspection. Destroy 5 years after cut off.
AUTHORITY: NC1-330-77-013, item 306-02e
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.5

FILE NUMBER: 1101-14
FILE TITLE: International Security – Inspection Reports for Non-US Holders
FILE DESCRIPTION: Inspection reports by the North Atlantic Treaty Organization (NATO) Office of Security of non-US holders of NATO, Central Treaty Organization (CENTO), and Southeast Asia Treaty Organization (SEATO) information.
DISPOSITION: Temporary. Cut off upon completion of inspection. Destroy 2 years after cut off.
AUTHORITY: NC1-330-77-013, item 306-02f
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.6

FILE NUMBER: 1101-15
FILE TITLE: International Security – IPO Inventory Reports
FILE DESCRIPTION: Inventory reports of US holders of International Pact Organizations (IPO: NATO, CENTO, and SEATO) information.
DISPOSITION: Temporary. Cut off upon completion of inventory. Destroy 2 years after cut off.
AUTHORITY: NC1-330-77-13, item 306-02g
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.7

FILE NUMBER: 1101-16
FILE TITLE: International Security – Comments on IPO Security Policy
FILE DESCRIPTION: Comments and/or inputs to International Pact Organizations (IPO: NATO, CENTO, or SEATO) security policy directives, regulations, or guidelines on security policy.
DISPOSITION: Permanent. Cut off upon finalization of policy/guidelines document. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02j
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.10

FILE NUMBER: 1101-17
FILE TITLE: International Security – IPO Meeting Minutes
FILE DESCRIPTION: Minutes of International Pact Organizations (IPO: NATO, CENTO, or SEATO) Committees and/or groups.

DISPOSITION: Temporary. Cut off upon completion and/or final decision of all agenda items. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02k
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.11

FILE NUMBER: 1101-18
FILE TITLE: International Security – Comments/Inputs to Security Clauses/International Agreements
FILE DESCRIPTION: Security Policy (security clauses) comments and/or inputs to international agreements, memos of understanding (MOU), technical arrangements, etc. (another office of primary responsibility (OPR)).
DISPOSITION: Permanent. Cut off after termination of existing agreements with country. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02l
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.12

FILE NUMBER: 1101-19
FILE TITLE: International Security – Surveys of Foreign Countries
FILE DESCRIPTION: Security surveys and/or assessments of foreign countries.
DISPOSITION: Permanent. Cut off after termination of existing agreements with country. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02m
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.13

FILE NUMBER: 1101-20
FILE TITLE: National Domestic Preparedness Commission (NDPC) Comments/Inputs
FILE DESCRIPTION: Security Policy comments and/or inputs to National Domestic Preparedness Commission (NDPC) papers, including exceptions to policy, annual reviews, foreign military sales, meetings, or directives.
DISPOSITION: Permanent. Cut off after resolution and/or publication of final document. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02n
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.14

FILE NUMBER: 1101-21
FILE TITLE: International Security **–** Congressional Correspondence
FILE DESCRIPTION: Congressional correspondence resulting from inquiries, investigations, or other action by members of Congress that establishes or defines policies, plans, program objectives, or responsibilities.
DISPOSITION: Permanent. Cut off annually after case is closed. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-013, item 306-02o
PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 1101-01.15a

FILE NUMBER: 1101-22
FILE TITLE: International Security – Travel
FILE DESCRIPTION: Travel arrangements.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff 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.
AUTHORITY: NC1-330-77-013, item 306-02r
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.16

FILE NUMBER: 1101-23
FILE TITLE: International Security – Discovery of Electronic Surveillance Files
FILE DESCRIPTION: Case files on those individuals and/or organizations on which to base their reply to court-approved motions for discovery of electronic surveillance. Letters of request, directives to the DoD Components to conduct search, and responses are included.
DISPOSITION: Temporary. Cut off upon completion of project. Destroy 15 years after cutoff.
AUTHORITY: NC1-330-79-005, item 306-04k
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1101-01.17

RECORDS CATEGORY: 1102
CATEGORY TITLE: Command and Control
CATEGORY DESCRIPTION: Files pertaining to the National Military Command System (NMCS) communications and its interface with unified and specified commands.

FILE NUMBER: 1102-01
FILE TITLE: Concepts and Strategy
FILE DESCRIPTION: Documents that develop and coordinate command and control policies in implementing directives that

- Define the functional, organizational, operational relationship between all elements or the Worldwide Military Command and Control System (WWMCCS) and establish responsibilities for the management, development, acquisition, and operation of WWMCCS
- Develop and coordinate program budget policies and the creation of a management information system to monitor the WWMCCS
- Document coordination and liaison activities with non-DoD activities which have functions associated with the National Military Command System (NMCS), including the White House situation room, State Department operations center, CIA, OEP, FAA, and Coast Guard for which the purpose is to ensure appropriate military information is provided through these associated channels to enable the NMCS to serve the President and the Secretary of Defense.

DISPOSITION: Permanent. Cut off when superseded or obsolete, or for agreements (and associated correspondence), when the term of the agreement is complete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1102-01

PRIVACY ACT: Not Applicable

FILE NUMBER: 1102-02
FILE TITLE: WWMCCS Architecture
FILE DESCRIPTION: Worldwide Military Command and Control System (WWMCCS) architecture documents providing policy and guidelines, compatible interfaces between systems, and computerized data format standards. Networks configuration and systems designs.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1102-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1102-03
FILE TITLE: Combat Support
FILE DESCRIPTION: Plans for the allocation of development and acquisition resources between the various areas comprising Combat Support. Documents of the Research and Development Subgroups of the DoD Advisory Committee on Federal Aviation, which coordinates programs of interest to the FAA, Department of Defense and the Military Departments.
DISPOSITION: Permanent. Cut off upon completion of action. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-80-006, item 2
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1103
CATEGORY TITLE: Management
CATEGORY DESCRIPTION: Files pertaining to the management of Command and Control Information Technology resources.

FILE NUMBER: 1103-01
FILE TITLE: Development and Acquisition – Telecommunications
FILE DESCRIPTION: Documents developing telecommunications objectives, policies, plans and programs. These are in the form of National Communications System (NCS) instructions pertaining to the unified technical planning and operational guidance. Procedural arrangements and reports necessary to develop the NCS.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1103-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1103-01.1

FILE NUMBER: 1103-02
FILE TITLE: Development and Acquisition – 10 Year Plan
FILE DESCRIPTION: The development of a 10 year DoD plan to implement the National Communications System (NCS) plan, including the budgetary requirement to acquire equipment and operate the system.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1103-01b
PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 1103-01.2

FILE NUMBER: 1103-03
FILE TITLE: Development and Acquisition – Evaluation Criteria
FILE DESCRIPTION: The development of evaluation criteria to measure the effectiveness of the equipment (hardware), the programs which operate the equipment (software), and the system from the standpoint of reliability, survivability, and security.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1103-01c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1103-01.3

FILE NUMBER: 1103-04 – RESERVED

FILE NUMBER: 1103-05
FILE TITLE: Teleprocessing
FILE DESCRIPTION: Policy on the computer science aspect of teleprocessing. Data terminal standards and operational procedures. Modem or Data Set criteria and selection. Networking (the technique of optimizing service through the intelligent linking or remote stations by communications lines).
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1103-05.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1103-05.1

FILE NUMBER: 1103-05.2 – RESCINDED

RECORDS CATEGORY: 1104
CATEGORY TITLE: Technical Policy Operations
CATEGORY DESCRIPTION: Files pertaining to the operations pertaining to Technology Policy Programs.

FILE NUMBER: 1104-01
FILE TITLE: Policy and Operations – Overall Aspects of Telecommunications besides WWMCCS
FILE DESCRIPTION: Documents that establish DoD policy with respect to overall aspects of telecommunications besides WWMCCS. This includes such telecommunications matters as camp, post, base, and station telecommunications; fixed and/or transportable non-DCS telecommunications not organic to military forces, telecommunications security (COMSEC), radio navigation, and special cases.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1104-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1104-01.1

FILE NUMBER: 1104-02
FILE TITLE: Policy and Operations – Telecommunications Communications with External Organizations

FILE DESCRIPTION: Files documenting contact on telecommunications matters with organizations external to the Department of Defense such as the FCC. These documents include such matters as assignment of frequencies, interference, availability of commercial networks, policy and procedures for national communications and similar matters.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1104-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1104-01.2

FILE NUMBER: 1104-03
FILE TITLE: Plans and Operations – Reviews, Evaluations and Coordination
FILE DESCRIPTION: Reviews, evaluations, and coordination of DoD operations plans and programs in all areas or telecommunications.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-006, item 1104-01c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1104-01.3

RECORDS CATEGORY: 1105
CATEGORY TITLE: Chief Information Officer (CIO) Files
CATEGORY DESCRIPTION: Files of the DoD CIO that pertain to the administration of the DoD IT Program.
NOTE: CIO's of DoD Components other than the DoD CIO may use File Numbers in this Records Category that apply to their role as a CIO.

FILE NUMBER: 1105-01
FILE TITLE: Information Technology (IT) Program and Capital Investment Planning Records
FILE DESCRIPTION: Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:

- Strategic and tactical plans
- Records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications
- Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities
- Reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting
- Portfolio management records, including clearance and review
- Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions
- Business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets

DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.

NOTE: This item does not apply to CIO Policy records, which are covered by File Number 103-01.1 or 103-01.2, as applicable.
AUTHORITY: GRS 6.3, item 010 (DAA-GRS-2017-0009-0001)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1607-01, 1607-03, 1607-05

FILE NUMBER: 1105-02
FILE TITLE: Enterprise Architecture Records
FILE DESCRIPTION: Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives.
DISPOSITION: Temporary. Cut off when superseded by a new iteration of the enterprise architecture. Destroy 7 years after cutoff.
AUTHORITY: GRS 6.3, item 020 (DAA-GRS-2017-0009-0002)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1607-02

FILE NUMBER: 1105-03
FILE TITLE: Information Resource Management (IRM) Legal and Regulatory Compliance Reporting Records – Annual Reports by Agency CIO, Inspector General or Senior Agency Official for Privacy
FILE DESCRIPTION: Annual reports prepared by agency CIO, Inspector General, or Senior Agency Official for Privacy in compliance with IRM Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Security Information Management Act (FISMA)), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 40 USC 101. **NOTE:** See File Number 1105-04 for all other IRM compliance reports.
DISPOSITION: Temporary. Cut off after submission of report. Destroy 5 years after cutoff.
AUTHORITY: GRS 4.2, item 080 (DAA-GRS-2013-0007-0022)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1607-04

FILE NUMBER: 1105-04
FILE TITLE: Information Resource Management (IRM) Legal and Compliance Reporting Records – All Other Reports (than Annual Reports by Agency CIO, Inspector General or Senior Agency Official for Privacy)
FILE DESCRIPTION: All other agency IRM reports and internal reports by individual system owners to the Senior Agency Official for Privacy, other than those covered by FN 1105-03, prepared in compliance with Federal laws and regulation, such as the E-Government Act (Public Law 107-347), Title III (Federal Security Information Management Act (FISMA)), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 40 USC 101.
DISPOSITION: Temporary. Cut off after submission of report. Destroy 2 years after cutoff.
AUTHORITY: GRS 4.2, item 081 (DAA-GRS-2013-0007-0023)
PRIVACY ACT: Not applicable

FILE NUMBER: 1105-05
FILE TITLE: Defense Industrial Base (DIB) Cyber Security/Information Assurance System Database
FILE DESCRIPTION: Records used to assess vulnerabilities and threat to the elements of the defense and supporting non-defense information infrastructures that are essential to the operations of the Department. Purpose is for DoD Cyber Crime Center (DC3) personnel to analyze the information for cyber

threats and vulnerabilities when cyber incident reports are received, in order to develop response measures as well as improve U.S. Government and DIB understanding of advanced cyber threat activity. DoD may work with a DIB company or a more detailed, digital forensics analysis or damage assessment, which may include sharing of additional electronic media/files or information regarding the incident or the affected systems, networks, or information. Records includes, but not limited to:

- Company point of contact information (known as DIB Participant Information) such as
  - Name
  - Company name and mailing address
  - Work division/group, work email, and work telephone number
- Cyber Intrusion Damage Assessments, including Initial and Follow-up incident reports

DISPOSITION: Temporary. Cut off when the participating company withdraws from the program, closes or goes out of business. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2015-0005-0001
PRIVACY ACT: DCIO 01

FILE NUMBER: 1105-06
FILE TITLE: Cybersecurity Assessments
FILE DESCRIPTION: Initial, Follow-up incident reports and Cyber Intrusion Damage Assessments.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2015-0005-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 1105-07
FILE TITLE: Cyber Incident Response and Analysis
FILE DESCRIPTION: Reports consisting of assessments, analysis of incident report data information relevant to the potential or known compromise of DIS partner information systems including trend analysis and extrapolation.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2015-0005-0003
PRIVACY ACT: Not Applicable

SERIES 1200 – USD(ACQUISITION & SUSTAINMENT)

SERIES TITLE: UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND SUSTAINMENT FILES (USD(A&S))

SERIES DESCRIPTION: Records described in this series relate to the policy and support necessary for the effective and efficient operation of the acquisition and sustainment activities of the Department of Defense. Includes, but is not limited to the following:

- Acquisitions;
- Advanced technology;
- Logistics;
- Installation management;
- Military construction;
- Occupational health management;
- Uitlities and energy management;
- Business management modernization;
- Document services;
- Economic utilization; and
- Nuclear, chemical and biological defense programs.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1200 Series reflect the mission of OUSD(A&S) and components with similar missions, such as the Office of Local Defense Community Cooperation (formerly called Office of Economic Adjustment (OEA)), Defense Innovation Unit – Experimental (DIUX), and the Defense Advanced Research Project Agency (DARPA).

RECORDS CATEGORY: 1201
CATEGORY TITLE: General Procurement Files
CATEGORY DESCRIPTION: General files pertaining to procurement overview. **NOTE:** See 1202 for specific/operational files pertaining to procurement.

FILE NUMBER: 1201-01
FILE TITLE: Standards
FILE DESCRIPTION: Records on the development and establishment of standardized specifications, standards, and nomenclature of items of supply used in military or civilian production and supply matters. Includes development papers, coordination records and other related and associated record material.
DISPOSITION: Permanent. Cut off upon acceptance and promulgation of specifications, and/or standard item description. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1201-12a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1201-12a

FILE NUMBER: 1201-02

FILE TITLE: Standards – Inactive Project Files
FILE DESCRIPTION: Inactive project file records on the development and establishment of standardized specifications, standards, and nomenclature of items of supply used in military or civilian production and supply matters.
DISPOSITION: Temporary. Cut off upon acceptance and promulgation of specifications. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1201-12b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1201-12b

FILE NUMBER: 1201-03
FILE TITLE: Facility Records
FILE DESCRIPTION: Records on overall program planning on acquisition, care, maintenance, construction, allocation, transfer, and release of real property.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1201-14a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1201-14a

FILE NUMBERS: 1201-04 – 1201-08 – RESERVED
FILE NUMBER: 1201-09.1 – Consolidated into 208-01
FILE NUMBER: 1201-09.2a – Consolidated into 208-05
FILE NUMBER: 1201-09.2b – Consolidated into 208-05
FILE NUMBER: 1201-09.3 – Consolidated into 206-13
FILE NUMBER: 1201-09.4.1.1 – Consolidated into 206-09.1
FILE NUMBER: 1201-09.4.1.2 – Consolidated into 206-09.1
FILE NUMBER: 1201-09.4.2 – RESCINDED
FILE NUMBER: 1201-09.4.3 – Consolidated into 206-09.2
FILE NUMBER: 1201-09.5.1 – Consolidated into 204-01
FILE NUMBER: 1201-09.5.2 – Consolidated into 204-01
FILE NUMBER: 1201-09.6a – Consolidated into 206-09.1
FILE NUMBER: 1201-09.6b – Consolidated into 206-09.2
FILE NUMBER: 1201-09.6c – Consolidated into 206-09.1
FILE NUMBER: 1201-09.6d – Consolidated into 206-09.1
FILE NUMBER: 1201-10.1 – Consolidated into 206-09.1
FILE NUMBER: 1201-10.2 – Consolidated into 206-09.1
FILE NUMBER: 1201-10.3 – Consolidated into 208-06.3 and 208-06.4
FILE NUMBER: 1201-11.1 – Consolidated into 208-14.1
FILE NUMBER: 1201-11.2 – Consolidated into 208-14.2
FILE NUMBER: 1201-11.3.1 – Consolidated into 206-09.1
FILE NUMBER: 1201-11.3.2 – Consolidated into 206-09.1
FILE NUMBER: 1201-12c – RESCINDED
FILE NUMBER: 1201-13.1 – Consolidated into 208-05
FILE NUMBER: 1201-13.2 – Consolidated into 208-05

FILE NUMBER: 1201-13.3 – Consolidated into 208-05
FILE NUMBER: 1201-14b – RESCINDED
FILE NUMBER: 1201-15a – Consolidated into 204-01
FILE NUMBER: 1201-15b – Consolidated into 204-01
FILE NUMBER: 1201-15c – Consolidated into 204-01
FILE NUMBER: 1201-15d – Consolidated into 204-01
FILE NUMBER: 1201-15e – Consolidated into 204-01

RECORDS CATEGORY: 1202
CATEGORY TITLE: Procurement Files
CATEGORY DESCRIPTION: Specific/operational files pertaining to procurement.

FILE NUMBER: 1202-01
FILE TITLE: Procurement Policy
Records consisting of decisions, directives, instructions, guidelines, and supporting documentation on the initiation, development, and establishment of procurement policies, standards, criteria, or guidelines. Included are policy matters affecting new techniques and procedures, interpretations, or published regulations, weapons systems procurement, tailoring of contract types, structuring or unique clauses, consistent policy application, Government-wide policy and proposed innovations.
DISPOSITION: Permanent. Cut off when superseded, obsolete, or no longer needed for reference. Transfer to NARA 25 years after cutoff **NOTE:** Destroy reproduced copies when superseded or revised, unless part of a case file and reference copies of matters not published by the Department of Defense when no longer required for reference.
AUTHORITY: NC1-330-77-011, item 1202-01a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1202-02
FILE TITLE: Procurement Management
FILE DESCRIPTION: These files contain documents governing overall procurement management, administrative review, and improvement progress, development for input to personnel training and career development courses.
DISPOSITION: Temporary. Cut off and destroy upon supersession, inactivation of training program, or when all necessary action completed, as applicable.
AUTHORITY: NC1-330-77-011, item 1202-02
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1202-02a

FILE NUMBER: 1202-03.1
FILE TITLE: Procurement Analysis and Planning – Approved
FILE DESCRIPTION: Documents pertaining to possible improvements and modifications. These files consist of analyses and reports of existing policies, possible improvements and modifications, status or foreign procurement policies and procedures, and matters on the U.S./Canadian Productions and Development Sharing Program that have been approved.
DISPOSITION: Temporary. Cut off and destroy when incorporated into approved policy or procedure.

AUTHORITY: NC1-330-77-011, item 1202-03a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1202-03a

FILE NUMBER: 1202-03.2
FILE TITLE: Procurement Analysis and Planning – Disapproved
FILE DESCRIPTION: These files consist of analyses and reports of existing policies, possible improvements and modifications, status or foreign procurement policies and procedures, and matters on the U.S./Canadian Productions and Development Sharing Program which have been disapproved.
DISPOSITION: Temporary. Cut off annually in year when plan is disapproved. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1202-03b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1202-03b

FILE NUMBER: 1202-04.1
FILE TITLE: Small Business and Economic Utilization Policy
FILE DESCRIPTION: Policy files on small business, labor surplus areas, minority business enterprise, and a military procurement information office to facilitate access of information to the aforementioned activities.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1202-04a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1202-04a

FILE NUMBER: 1202-04.2
FILE TITLE: Small Business and Economic Utilization Case Files
FILE DESCRIPTION: Case Files on small business, labor surplus areas, minority business enterprise, and a military procurement information office to facilitate access of information to the aforementioned activities.
DISPOSITION: Permanent. Cut off on close of case. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1202-04b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1202-04b

FILE NUMBER: 1202-04c – RESCINDED per GRS Transmittal 29

FILE NUMBER: 1202-05.1
FILE TITLE: Contract Administration Services
FILE DESCRIPTION: Contract administration and monitoring records. Includes focal point correspondence, monitoring of component contract administration, liaison matters, and plan cognizance program files. These are the working files of the office directly responsible for contract administration and monitoring of the activities of the Component elements of the Department of Defense.
DISPOSITION: Temporary. Cut off annually. Destroy 15 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1202-05b

PRIVACY ACT: Not Applicable

FILE NUMBER: 1202-05.2
FILE TITLE: Contract Administration Services – Policies and Directives
FILE DESCRIPTION: Record copies of coordinating policies, and procedural directives, focal point correspondence, monitoring of component contract administrations, liaison matters and the plant cognizance program. These are the working files of the office directly responsible for contract administration and monitoring of the activities of the Component elements of the Department of Defense.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1202-05a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1202-06.1 – Use 1202-11, 1202-12, and 1202-13, as applicable
FILE NUMBER: 1202-06.2 – Use 1202-11, 1202-12, and 1202-13, as applicable
FILE NUMBER: 1202-06.3 – Use 1202-11, 1202-12, and 1202-13, as applicable
FILE NUMBER: 1202-06.4 – Use 1202-11, 1202-12, and 1202-13, as applicable

FILE NUMBER: 1202-07
FILE TITLE: Contract Support Services
FILE DESCRIPTION: These are files of special projects on contractual matters such as special studies, technical evaluations, and reviews or commercial and industrial contract activities.
DISPOSITION: Temporary. Cut off upon completion; destroy 15 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1202-07
PRIVACY ACT: Not Applicable

FILE NUMBER: 1202-08
FILE TITLE: Defense Property Accountability System (DPAS) Master File
FILE DESCRIPTION: Information system containing data about DoD real and personal property assets to ensure property accountability and financial requirement of the services (Army, Navy, and Marine Corps) and Defense agencies. System allows property accountability, management, and financial reporting. Users can generate general ledger transactions, compute depreciation, perform accountable records processing, report financial status, account for government furnished property, and report disposals. Information in this system is received, processed, and/or transferred electronically from systems representing military and civilian logistics, supply, base operations support, contract administration, business management, finance and accounting, asset tracking, equipment management, facilities, resources infrastructure and data collection. The following data is contained within DPAS:

- Authorizations
- Document registers
- Catalog information (received from other systems or user generated for non-NSN items)
- Hand receipt information (receipts, turn-in, transfers, and inventory tracking and status)
- Accounting (depreciation and general ledger data)
- Maintenance and utilization (preventive maintenance schedules and actions, work orders, warranty, loan and lease data)
- User history data.

DISPOSITION: Temporary. Cut off and destroy after the necessary information has been transferred to the subsequent master file and verified, or when no longer needed for legal, audit or operational purposes.
AUTHORITY: N1-330-07-002, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1202-09 – RESCINDED by GRS 23
FILE NUMBER: 1202-10 – Consolidated into 206-09.1

FILE NUMBER: 1202-11
FILE TITLE: Shared Transformation Information System (STARS) Master File
FILE DESCRIPTION: Information System designed to enable the development, implementation, publication, and communication of laws, policies, and needed changes in the Federal Acquisition Regulation (FAR) and DoD FAE Supplement (DFARS). System contains information related to rulemaking process, including:

- STARS, FAR and DFARS Case Files
- Document metadata information

DISPOSITION: Temporary. Cut off and destroy after the necessary information has been transferred to the records management application and verified, filed, or when no longer needed for operational purposes.
AUTHORITY: N1-330-06-002, item 1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1206-06.1, 1206-06.2, 1206-06.3, 1206-06.4

FILE NUMBER: 1202-12
FILE TITLE: Shared Transformation Information System (STARS) Case Files
FILE DESCRIPTION: Records generated by STARS relating to rulemaking process. Included are:

- Committee Reports
- Federal Register notices, proposed rules, interim rules, final rules, and related public comments
- Substantive drafts and approved revisions, coordination, and staffing changes to the regulations, reports, legal opinions, memoranda and correspondence
- Document metadata information
- System specifications, file specifications, codebooks, record layouts, user guides, output specifications, and other technical information required to use the system

DISPOSITION: Permanent. Cut off upon close of case and transfer closed case files to the systems record management application. Pre-accession annually to NARA, in accordance with the standards of 36 CFR 1228.270. Transfer legal custody to NARA 10 years after cutoff.
AUTHORITY: N1-330-06-002, item 2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1206-06.1, 1206-06.2, 1206-06.3, 1206-06.4

FILE NUMBER: 1202-13
FILE TITLE: Defense Federal Acquisition Regulations (DFARS) and FARS Case Files (Outputs)

FILE DESCRIPTION: Routine outputs generated by the STARS system, such as non-substantive chat scripts, video or images from chat rooms, and workflow tracking information used to control or record the status of correspondence, rules, reports, or other records.
DISPOSITION: Cut off when case file is transferred to the system's record management application. Destroy 2 years after cutoff.
AUTHORITY: N1-330-06-002, item 3
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1206-06.1, 1206-06.2, 1206-06.3, 1206-06.4

FILE NUMBER: 1202-14
FILE TITLE: Approved Applications for Admission to the Trusted Capital Digital Marketplace (TCDM)
FILE DESCRIPTION: Applications approved for inclusion into the TCDM, a federal information system established to connect sources of private capital (referred to as 'Capital Providers') with vetted domestic companies (referred to as 'Capability Providers') designed to meet DoD requirements to identify and protect technology sectors critical to the U.S. defense industrial base, domestic manufacturing and limiting foreign access to critical technology. The master file includes, but is not limited to, applications identifying:

- Company name
- Entity type
- Vendor capabilities
- Foreign influence information
- Business proprietary, tax, and financial information provided by Capital Providers or Capability Providers

DISPOSITION: Cut off upon annual acceptance into program. Destroy 20 years after cutoff.
AUTHORITY: DAA-0330-2021-0007-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 1202-15
FILE TITLE: Denied Applications for Admission to the Trusted Capital Digital Marketplace (TCDM)
FILE DESCRIPTION: Applications submitted by Capabililty Providers or Capitol Providers that are denied inclusion into the TCDM because they are deemed as not meeting criteria for participation, due to inability to meet criteria or remediate conflicts necessary for participation.
DISPOSITION: Cut off annually upon notification of denial or upon inactivity. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2021-0007-0002
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1203
CATEGORY TITLE: Installations and Housing Files
CATEGORY DESCRIPTION: These records involving the responsibilities of this office to budget for, construct or acquire, administer, maintain, and dispose of installations and housing as appropriate. Plans, policies, and program administration are involved DoD-wide.

FILE NUMBER: 1203-01
FILE TITLE: Facilities Planning and Programming

FILE DESCRIPTION: Documents on policy criteria review, analysis, program administration of such matters as housing programs (family and bachelor), home owner assistance, real property, military construction and housing budgeting, and legislature.
DISPOSITION: Temporary. Cut off after supersession by later review. Destroy 5 years after cutoff. **NOTE:** Use 103-01 for policy records pertaining to this topic.
AUTHORITY: NC1-330-77-011, item 1203-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1203-02
FILE TITLE: Construction Standards and Design
FILE DESCRIPTION: These files contain documents concerning physical standards and design criteria for DoD facilities, architectural engineering activities, cost standards, environmental pollution control, utility plants, and Base Master Planning matters.
DISPOSITION: Temporary. Cut off upon supersession. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1203-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1203-03.1
FILE TITLE: Construction Operations Files – Congressional Correspondence
FILE DESCRIPTION: Congressional correspondence on base development, construction acquisition systems. Here also can be found congressional correspondence on construction.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1203-03a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1203-03.2
FILE TITLE: Construction Operations Files – Surveillance or Acquisition
Documents on surveillance or acquisition as it relates to base development, and/or construction acquisition systems.
DISPOSITION: Temporary. Cut off after last entry. Destroy 7 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1203-03b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1203-04
FILE TITLE: Facilities Management Files
FILE DESCRIPTION: Administrative procedures, directives, correspondence, studies required to manage real property facilities, natural resources, and Public Domain Lands.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1203-04
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1204
CATEGORY TITLE: Supply, Maintenance and Services Files
CATEGORY DESCRIPTION: These records involving supply management.

FILE NUMBER: 1204-01
FILE TITLE: Supply Management Policy
FILE DESCRIPTION: Records consisting of decisions, Directives, instructions, guidelines and supporting documentation on the initiation, development, and establishment of supply policies of the Department of Defense. Included are policy matters affecting provisioning; its cataloging, distribution, utilization, and disposal; systems effectiveness, foreign aid, and resources for supply system operations. Automated Logistic Systems functions and related files as controlled by this office.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1204-02
FILE TITLE: Transportation and Warehousing Policy Files
FILE DESCRIPTION: Records consisting of decisions, Directives, Instructions, guidelines, and supporting documentation on the initiation, development, and establishment or transportation and warehousing policy. Included are policy matters concerning traffic management, containerization, material handling, international transportation, highways for National Defense, postal transportation, single manager supervision, administrative-use vehicles, storage and warehousing, preservation, and packaging. Correspondence, memos for record, and other communications are filed with applicable policy matters.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1204-03
FILE TITLE: Maintenance Policy Files
FILE DESCRIPTION: Records consisting of decisions, directives, instructions, guidelines, and supporting documentation on the initiating, development, and establishment of maintenance policies of the Department of Defense. This pertains to documents establishing technical concepts, criteria and latest technology, equipment performance, and readiness and support planning.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1204-04.1
FILE TITLE: Subsistence Management – Policy
FILE DESCRIPTION: These files have to do with the establishment of policy matters on basic daily food allowances for the Armed Forces, food service and related systems, food equipment, facilities, procurement, and distribution. Fees on training and career development program for food handlers, and for the monitoring of food service accounting and reporting for the Armed Services.
DISPOSITION: Permanent. Cut off when canceled or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-04a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1204-04a

FILE NUMBER: 1204-04.2
FILE TITLE: Subsistence Management – Food Planning Board
FILE DESCRIPTION: Food Planning Board minutes. This Board is sponsored to assist in the discharge of those duties related to the establishment of policy matters on basic daily food allowances for the Armed Forces, food service and related systems, food equipment, facilities, procurement, and distribution.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-04b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1204-04b

FILE NUMBER: 1204-04.3
FILE TITLE: Subsistence Management – Training
FILE DESCRIPTION: These files have to do with fees on training and career development program for food handlers.
DISPOSITION: Temporary. Cut off annually; destroy 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-04c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1204-04b

FILE NUMBER: 1204-04.4
FILE TITLE: Subsistence Management – Food Service Accounting Reports
FILE DESCRIPTION: These reports pertain to the monitoring of food service accounting and reporting for the Armed Services.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA when 25 years old.
AUTHORITY: NC1-330-77-011, item 1204-04d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1204-04c

FILE NUMBER: 1204-05
FILE TITLE: Petroleum Matters – Policy
FILE DESCRIPTION: Documents on the DoD petroleum policy guidance, systems, and procedures. Inspections reports on surveillance of industry in meeting standards and ability to satisfy defense needs. It also contains documents on products and petroleum facilities.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-05a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1204-05a

FILE NUMBER: 1204-06
FILE TITLE: Petroleum Matters – Oil Policy Committee Working Group
FILE DESCRIPTION: Files of the Oil Policy Committee Working Group. This committee assists in the formulation of policy and management systems.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1204-05b

PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1204-05b

FILE NUMBER: 1204-07
FILE TITLE: Petroleum Matters – Inspection Reports
FILE DESCRIPTION: Inspections reports on surveillance of industry in meeting standards and ability to satisfy defense needs. It also contains documents on products and petroleum facilities.
DISPOSITION: Temporary. Cut off and destroy 3 years after superseded by a subsequent report, or when 5 years old, whichever is later.
AUTHORITY: NC1-330-77-011, item 1204-05c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1204-05c

RECORDS CATEGORY: 1205
CATEGORY TITLE: Production Engineering and Materiel Acquisition
CATEGORY DESCRIPTION: Those records involving engineering and material acquisition.

FILE NUMBER: 1205-01
FILE TITLE: Technical Director Files
FILE DESCRIPTION: Defense Acquisition Board (DAB) proceedings, minutes, etc. This board reviews and makes recommendations on all large system acquisitions for the Department of Defense. Papers that monitor various acquisition programs of the Department of Defense, reports, projections costs, test facilities, etc. Documents on applications engineering and manufacturing technology necessary to perform this mission.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1205-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1205-02
FILE TITLE: Ships, Weapons, Electronics, and Associated Systems Files
FILE DESCRIPTION: These files contain all the documents necessary to manage subject matter acquisitions or foreign military sales. They include development concepts, program budget decisions, and necessary fiscal and logistics guidance, as well as budget planning figures and approved budget data. Progress towards meeting the planned milestones of the DAB is also monitored and progress recorded in these files. Case files of special interest to the Department of Defense may be included.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 50 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1205-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1205-03
FILE TITLE: Aircraft and Missiles Files
FILE DESCRIPTION: These files contain all the documents necessary to manage subject matter acquisitions or foreign military sales. They include development concepts, program budget decisions, and necessary fiscal and logistics guidance. Budget planning milestones of the DAB are also monitored and progress

recorded in these files. Inspection reports, studies, and other documents such as technical articles measuring industrial preparedness related to aircraft and missiles are found in these offices. Case files or special interest to the Department of Defense may be included. Documents establishing priorities and allocations are also included under this File Number.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 50 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1205-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1205-04.1
FILE TITLE: Industrial Preparedness and Munitions Production Files – Central Files
FILE DESCRIPTION: Central files of documents on industrial preparedness and munitions production.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1205-04a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1205-04.2
FILE TITLE: Industrial Preparedness and Munitions Production Files – All Other Documents
FILE DESCRIPTION: All other files of documents on industrial preparedness and munitions production. Includes inspections or other reports of the ability of industry to respond to defense needs under different postures. Documents describing new manufacturing technology, budget cycle input on related acquisitions, corrective actions necessary, and status thereof.
DISPOSITION: Temporary. Cut off annually. Destroy 20 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1205-04b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1205-05
FILE TITLE: Product and Production Engineering Files
FILE DESCRIPTION: Documents on quality and reliability, value, and cost engineering. These papers consist of studies, suggestions, standards, programs, and directives to assure reliability, a threshold of quality and value engineering techniques to minimize costs without loss of quality. Also included are papers on technical data resources, standardization programs, aimed at reducing the variety of product, and product part non-interchangeability.
DISPOSITION: Temporary. Cut off annually, or when technology or standards are overcome by improvements, whichever is earlier. Destroy 15 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1205-05
PRIVACY ACT: Not Applicable

FILE NUMBER: 1205-06
FILE TITLE: Management Evaluation and Material Control
FILE DESCRIPTION: Studies, directives, program management papers, and correspondence on management evaluation and material control. Included are the DoD Management Improvement Program, Logistics Performance Measurement and Evaluation System, the Integrated Engineering System Industrial

Priorities and Allocations, impact determination (such as may be caused by labor strife or fuel shortage) and related papers.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1205-06
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1206
CATEGORY TITLE: Special Assistant's Files
CATEGORY DESCRIPTION: Files originating from or received by Special Assistants within OUSD(A&S) or OUSD(R&E).

FILE NUMBER: 1206-01
FILE TITLE: Plans and Programs Files
FILE DESCRIPTION: Studies, plans, correspondence, and Directives necessary to perform objectives of this office. Preparation of strategic studies and plans; budget input, program planning, resource management, and studies of financial aspects of DoD programs issued by or impacting upon the installations and logistics missions.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1206-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1206-02
FILE TITLE: International Programs
FILE DESCRIPTION: Documents in the nature of studies, reports, agreements, and directives necessary for the management of international programs. Directives managing the Military Assistance Program (MAP), cooperative logistic support arrangements with treaty members, international co-production arrangements, NATO Armaments Production and Logistics Programs, International Logistics Systems, and Material Allocations - U.S. versus International Requirements. These files also contain Civil Emergency Planning documents involving logistic plans for this contingency.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 50 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1206-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1206-03 – Consolidated into 103-01.1 or 103-01.2, as applicable

RECORDS CATEGORY: 1207
CATEGORY TITLE: Administrative Matters
CATEGORY DESCRIPTION: Records related to Installation and Logistics administration.

FILE NUMBER: 1207-01 – RESCINDED

FILE NUMBER 1207-02.1
FILE TITLE: Industrial Management and Logistics Audit Reports

FILE DESCRIPTION: Audit reports required to manage the aspects of Installations and Logistics (I&L) functions. Includes:

- Inspections and audit reports both internally administered or conducted by GAO
- Management systems, directive procedures and reports
- Follow-up correspondence to audit reports, check-off procedures, exchanges with the GAO and similar material.

DISPOSITION: Temporary. Cut off after file is closed and all proposed action is completed. Destroy 10 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1207-02b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1207-02.2
FILE TITLE: Industrial Management and Logistics Audit Reports Policy
FILE DESCRIPTION: Directives, studies and policy pertaining to Industrial Management and Logistics Functions administered by OUSD(AT&L).
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1207-02a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1207-03
FILE TITLE: Logistics System Office
FILE DESCRIPTION: These files contain documents necessary to coordinate logistic function in the Department of Defense; to formulate DoD Logistics Plan with input from Components; to sponsor the Logistics Systems Policy Committee, including its minutes and working papers; and to initiate a research program and technical system support. The files consist of reports, studies, correspondence and the like to accomplish these tasks. **NOTE:** Use 103-01 for policy documents related to this topic.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 30 years after cutoff
AUTHORITY: NC1-330-77-011, item 1207-03a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1207-03a

FILE NUMBER: 1207-04
FILE TITLE: Logistics System Policy Committee
FILE DESCRIPTION: These files contain documents necessary to coordinate logistic function in the Department of Defense; to formulate DoD Logistics Plan with input from Components; to sponsor the Logistics Systems Policy Committee, including its minutes and working papers; and to initiate a research program and technical system support. The files consist of reports, studies, correspondence and the like to accomplish these tasks. **NOTE:** Use 103-01 for policy documents related to this topic.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1207-03b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1207-03b

RECORDS CATEGORY: 1208

CATEGORY TITLE: Office of Local Defense Community Cooperation (formerly called Office of Economic Adjustment (OEA)) Files
CATEGORY DESCRIPTION: Files pertaining to the mission of the Office of Local Defense Community Cooperation.

FILE NUMBER: 1208-01
FILE TITLE: Economic Impact Minimization Files
FILE DESCRIPTION: Studies, reports, correspondence, and evaluations of the economic impact of proposed or suggested base closures or reduction programs which are the subject of congressional or widespread public interest.
DISPOSITION: Permanent. Cut off annually and transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1208-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1208-01a, 1806-13

FILE NUMBER: 1208-02
FILE TITLE: Economic Impact Minimization Files – Other Files
FILE DESCRIPTION: Other files, such as special problems studies and possible changes in procurement programs.
DISPOSITION: Temporary. Cut off annually; destroy 20 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1208-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1208-01b

RECORDS CATEGORY: 1209
CATEGORY TITLE: Energy, Environment and Safety
CATEGORY DESCRIPTION: Records of the EE&S office, which coordinates and directs the efforts of the various subordinate offices herein described. Includes, but is not limited to, coordination for the Department of Defense and with the Council for EPA on matters related to the environmental programs of the Department of Defense; as well as coordination with the Highway Traffic Safety Administration, National Transportation Safety Board (NTSB), and FAA on matters related to the occupational health and safety programs of the Department of Defense. Most of these matters originated with national laws that are implemented by Federal regulations promulgated by the above Agencies.

FILE NUMBER: 1209-01
FILE TITLE: Environmental Quality Policy
FILE DESCRIPTION: Policy issuances pertaining to the examination of every DoD action which has environmental ramifications to include analyses of the impact and consideration of courses of action.

Examples are base closures, realignments, exercises, operations, construction projects, and land use planning.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-01.1

FILE NUMBER: 1209-01.2 – Moved to 1209-07
FILE NUMBER: 1209-01.3 – Consolidated into 1209-02
FILE NUMBER: 1209-01.3.1 – Consolidated into 1209-02
FILE NUMBER: 1209-01.3.2 – Consolidated into 1209-03
FILE NUMBER: 1209-01.4 – Consolidated into 1209-03
FILE NUMBER: 1209-01.5 – Consolidated into 103-14
FILE NUMBER: 1209-01.6 – Moved to 1209-06

FILE NUMBER: 1209-02
FILE TITLE: Environmental Quality Environmental Impacts
FILE DESCRIPTION: Environmental Impact Assessments (EIA) and Environmental Impact Statements (EIS)
DISPOSITION: Temporary. Cut off after completion of the action/matter assessed. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-77-011, items 1209-01c and 1209-01c(1)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1209-01.3, 1209-01.3.1

FILE NUMBER: 1209-02.1 – Moved to 1209-08
FILE NUMBER: 1209-02.2 – Moved to 1209-09
FILE NUMBER: 1209-02.3 – Moved to 1209-10
FILE NUMBER: 1209-02.4 – RESCINDED

FILE NUMBER: 1209-03
FILE TITLE: Environmental Quality Environmental Impact Assessments
FILE DESCRIPTION: Draft and/or final environmental assessment documents, including negative declarations
DISPOSITION: Temporary. Cut off after completion of the action. Destroy 7 years after cutoff.
AUTHORITY: NC1-330-77-011, items 1209-01c2 and 1209-01d
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-01.3.2, 1209-01.4

FILE NUMBER: 1209-03.1 – Consolidated into 1209-11
FILE NUMBER: 1209-03.2 – Moved to 1209-12
FILE NUMBER: 1209-03.3 – Consolidated into 1209-11
FILE NUMBER: 1209-03.4 – Consolidated into 1209-11
FILE NUMBER: 1209-03.5 – Consolidated into 1209-13

FILE NUMBER: 1209-03.6 – Consolidated into 1209-13

FILE NUMBER: 1209-04
FILE TITLE: Solid Waste Management
FILE DESCRIPTION: The DoD program to comply with the Solid Waste Disposal Act of 1970; policy in relation to the Act, the implementation of guidelines and the estimation of costs. This includes source separation programs, the storage and collection of waste such as metal and paper, the resource recovery facilities, thermal processing of waste, and the beverage container policy.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-04
PRIVACY ACT: Not Applicable

FILE NUMBER: 1209-05
FILE TITLE: Categorical Programs
FILE DESCRIPTION: The development of DoD guidelines and policy directives to comply with Federal regulations issued pursuant to the Radiation Health and Safety Act of 1968, the Noise Control Act of 1972, and the Federal Insecticide, Fungicide, Rodenticide Act of 1972.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-05
PRIVACY ACT: Not Applicable

FILE NUMBER: 1209-06
FILE TITLE: Environmental Quality Annual Reports
FILE DESCRIPTION: Annual environmental report of DoD to OMB, and reviews incident thereto.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-01f
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-01.6

FILE NUMBER: 1209-07
FILE TITLE: Environmental Quality Procedures / Methodologies
FILE DESCRIPTION: Procedures and methodology documents examining every DoD action that may have environmental ramifications to include analyses of the impact and consideration of courses of action. Examples are base closures, realignments, exercises, operations, construction projects, and land use planning.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: NC1-330-77-011, item 1209-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-01.2

FILE NUMBER: 1209-07.1 – Moved to 1209-17
FILE NUMBER: 1209-07.2 – Moved to 1209-18
FILE NUMBER: 1209-07.3 – Moved to 1209-19

FILE NUMBER: 1209-07.4.1 – RESCINDED
FILE NUMBER: 1209-07.4.2 – RESCINDED

FILE NUMBER: 1209-08
FILE TITLE: Air Programs – Policy
FILE DESCRIPTION: issuances, directives pertaining to DoD programs developed or policy direction implementing air pollution abatement.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-02.1

FILE NUMBER: 1209-09
FILE TITLE: Air Programs – Emitters
FILE DESCRIPTION: Identification of emitters and/or sources pertaining to air pollution abatement; the identity of all emitters and noncompliance major and minor sources, monitoring the service efforts to bring into compliance. The identification of activities requiring Air Pollution Episode Plans and the assurance that necessary coordination has taken place with local and State officials. Some examples are programs to control open burning of munitions, ships smoke and tube blowing, coal conversion and jet engine test cells.
DISPOSITION: Temporary. Cut off after compliance attained. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-02.2

FILE NUMBER: 1209-10
FILE TITLE: Air Programs – State and Local Coordination
FILE DESCRIPTION: Coordination with State and Local officials on Air Pollution abatement programs.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-02c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-02.3

FILE NUMBER: 1209-11
FILE TITLE: Water Pollution Abatement
FILE DESCRIPTION: Programs developing and policy direction implementing Federal regulations pertaining to the Water Pollution Control Act (WPCA), the Coastal Zone Management Act (CAMA), and or Section 101 of the Safe Drinking Water Act (SDWA). Includes:

- Policy, issuance documents implementing the program
- Spill Prevention Control and Countermeasures plans.
- Spill contingency plans

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-03a, 1209-03c, 1209-03d
PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 1209-03.1. 1209-03.3, 1209-03.4

FILE NUMBER: 1209-12
FILE TITLE: Water Pollution Abatement – DoD Comments
FILE DESCRIPTION: DoD comments on proposed Federal regulations on programs developed and policy direction implementing Federal regulations pertaining to the Water Pollution Control Act (WPCA), the Coastal Zone Management Act (CZMA), and/or Section 101 of the Safe Drinking Water Act (SDWA).
DISPOSITION: Temporary. Cut off when final regulation is promulgated. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-03b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-03.2

FILE NUMBER: 1209-13
FILE TITLE: Water Pollution Abatement – NPDES
FILE DESCRIPTION: Compliance status on National Pollutant Discharges Elimination System (NPDES). Includes status reports on compliance, schedules and programs for compliance with Federal laws and regulations.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-03e
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1209-03.5, 1209-03.6

FILE NUMBER: 1209-14
FILE TITLE: Safety and Occupational Health Policy and Guidelines
FILE DESCRIPTION: Policy and guidelines for DoD implementation of Occupational Safety and Health Act (OSHA) of 1970, Executive Order 12196 and appropriate Federal regulations.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-06a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-06.1

FILE NUMBER: 1209-15
FILE TITLE: Safety and Occupational Health – Coordination and Comments
FILE DESCRIPTION: Coordination with and comments to OSHA, NTSB, FAA on proposed standards and regulations, as well as periodic statistical reports.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-011, item 1209-06b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-06.1

FILE NUMBER: 1209-16
FILE TITLE: Safety and Occupational Health – Guidelines
FILE DESCRIPTION: Inspection, abatement, reporting, and budget guidelines for DoD activities.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

AUTHORITY: NC1-330-77-011, item 1209-06c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-06.1

FILE NUMBER: 1209-17
FILE TITLE: Energy Policy
FILE DOCUMENT: Documents on preparing, coordinating, issuing, and interpreting policy, directives, regulatory instructions, and comparable records on the energy program in the Department of Defense.
DISPOSITION: Permanent. Cut off when no longer needed for reference. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-79-004, item 1209-07.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-07.1

FILE NUMBER: 1209-18
FILE TITLE: NATO Energy Files - Conservation
FILE DESCRIPTION: Studies reports, analyses made to measure energy conservation, and the effectiveness or current practices or proposed plans.
DISPOSITION: Temporary. Cut off annually. Destroy 15 years after cutoff.
AUTHORITY: NC1-330-79-004, item 1209-07.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-07.2

FILE NUMBER: 1209-19
FILE TITLE: NATO Energy Files - NATO Tariffs and Budget
FILE DESCRIPTION: Documents which monitor the NATO Tariffs and NATO Budget. This consists of copies of charges paid for pipeline storage and transportation, as well as payments for repairs and maintenance, and copies of the contributions of each NATO nation towards these expenses.
DISPOSITION: Temporary. Cut off each fiscal year. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-79-004, item 1209-07.3a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-07.3.1

FILE NUMBER: 1209-20
FILE TITLE: NATO Energy Files – CEPS Policy
FILE DESCRIPTION: Documents that recommend policy on the Central Europe Pipeline System (CEPS) operations.
DISPOSITION: Permanent. Cut off when no longer needed for reference. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-79-004, item 1209-07.3b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1209-07.3.2

SERIES 1300 – USD(RESEARCH & ENGINEERING)

SERIES TITLE: UNDER SECRETARY OF DEFENSE FOR RESEARCH AND ENGINEERING (USD(R&E))

SERIES DESCRIPTION: Records described in this series relate to the research, development, and technology prototyping activities across DoD. Includes, but is not limited to, the development and oversight of

- DoD technology strategy;
- Research and engineering matters;
- Capabilities of current war fighting systems;
- Development of breakthrough technological capabilities (providing scientific and engineering options to address future strategies and issues); and
- Scientific and technical matters

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1300 Series reflect the missions of the Office of the Under Secretary of Defense for Research and Engineering (OUSD(R&E)), the Defense Advanced Research Projects Agency (DARPA), Director of Defense Research and Engineering (DDR&E), Defense Innovation Unit – Experimental (DIUX), the Defense Science Board (DSB), Strategic Capabilities Office (SCO) and Test Resource Management Center (TRMC).

RECORDS CATEGORY: 1301
CATEGORY TITLE: Defense Research and Engineering
CATEGORY DESCRIPTION: Research and engineering (R&E) files, pertaining to scientific and technical matters; basic and applied research; developments, tests and evaluations of weapons systems, including design and engineering for suitability, producibility, reliability, maintainability, and materials conservation; and environmental services.

FILE NUMBERS: 1301-01 – 1301-07 – RESERVED

FILE NUMBER: 1301-08
FILE TITLE: Program Files
FILE DESCRIPTION: Documents that describe in a narrative way the objectives of the program, the requirements, characteristics, time schedules including milestones, financial plans, proposals and contracts, the monitoring of the program and related papers necessary to manage the program. These are generally case files of major importance.
DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-08
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-09
FILE TITLE: Project Case Files

FILE DESCRIPTION: These are generally maintained at the laboratory or comparable level, reflecting a complete history of each project from development, design, and testing, to completion. They include (when created by Agency personnel or received from contractors):

- Research services with addendums;
- Project cards;
- Technical characteristics;
- Test and trial and photographs considered to be essential to document designs, modifications, and engineering developments;
- Technical and progress reports;
- Notice or completion or cancellation, reference to the location of prototype models, films or other items too bulky for inclusion in these files; and
- Course of action taken on a project.

These files are generally retained by the Military Services who administer the laboratories such as the Naval Ordnance Laboratory.
DISPOSITION: Permanent. Cut off upon completion of project. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-09
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-10
FILE TITLE: Administration of Projects
FILE DESCRIPTION: Lists, card indexes, or other media reflecting in an abstract comprehensive manner individual projects administered by the OSD.
DISPOSITION: Permanent. Cut off upon completion of project. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-10
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-11.1
FILE TITLE: Research and Development Laboratory Notebooks – Duplicate and/or Fragmentary Data
FILE DESCRIPTION: Laboratory notebooks containing technical and scientific data accumulated from the conduct of research and development that is determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file. These are mostly found in laboratories under the administration of the Head of a DoD Component.
DISPOSITION: Temporary. Cut off upon completion or termination of related project or projects. Destroy 6 months after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-12a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-11.2
FILE TITLE: Research and Development Laboratory Notebooks – Significant/Original Data
FILE DESCRIPTION: Laboratory notebooks containing technical and scientific data accumulated from the conduct of research and development whose data has not been duplicated elsewhere and that would add significantly to the project file.

DISPOSITION: Permanent. Cut off upon completion or termination of related project or projects. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-12b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-12
FILE TITLE: Technical Reports
FILE DESCRIPTION: Technical report files consisting of an official file copy of each technical report, or unpublished manuscript or a report, prepared in connection with a project.
DISPOSITION: Permanent. Cut off upon completion or termination of related project or projects. Transfer the final official report to NARA 40 years after cutoff. **NOTE:** Other material associated with the report can be destroyed 3 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-13
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-13
FILE TITLE: Drawing and Specification Files
FILE DESCRIPTION: Drawing and specification files consisting of an official file copy of each drawing and specification showing final testing and technical characteristics of items developed. Most of these records are in the custody of the Head of a DoD Component.
DISPOSITION: Permanent. Cut off upon program completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-14
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-14 – Consolidated under 101-01.1

FILE NUMBER: 1301-15
FILE TITLE: Project Control Files
FILE DESCRIPTION: Project control files consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel, not to be determined by sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.
DISPOSITION: Temporary. Cut off and destroy upon completion or cancellation of projects or earlier, as they serve their purpose.
AUTHORITY: NC1-330-77-015, item 1301-16
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-16.1
FILE TITLE: Summary Progress Reports – Reporting Office Copies
FILE DESCRIPTION: Copies of reports retained by reporting offices of summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.

DISPOSITION: Temporary. Cut off after completion or cancellation or related projects. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-17a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-16.2
FILE TITLE: Summary Progress Reports – Feeder Reports
FILE DESCRIPTION: Feeder reports of summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom used for compilation or consolidated reports.
DISPOSITION: Temporary. Cut off and destroy upon submission of consolidated reports.
AUTHORITY: NC1-330-77-015, item 1301-17b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-16.3
FILE TITLE: Summary Progress Reports – Consolidated Reports
FILE DESCRIPTION: Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.
DISPOSITION: Permanent. Cut off upon submission of consolidated report. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1301-17c
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-17.1
FILE TITLE: Unsolicited Proposals – Accepted
FILE DESCRIPTION: Accepted suggestions or inventions of a significant nature, which could later result in litigation. Consists of correspondence records from individuals proposing the use of their inventions or suggestions to improve the Defense Department, and case projects including, if warranted, feasibility studies and investigations.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-81-006, item 1301-17.1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-17.2
FILE TITLE: Unsolicited Proposals – Rejected Significant
FILE DESCRIPTION: Rejected suggestions or inventions of a significant nature, which could later result in litigation. Consists of correspondence records from individuals proposing the use of their inventions or suggestions to improve the Defense Department, and case projects including, if warranted, feasibility studies and investigations.
DISPOSITION: Temporary. Cut off after last action. Destroy 30 years after cutoff.
AUTHORITY: NC1-330-81-006, item 1301-17.2
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-17.3
FILE TITLE: Unsolicited Proposals – Rejected Insignificant
FILE DESCRIPTION: Rejected suggestions or inventions of an insignificant nature. Consists of correspondence records from individuals proposing the use of their inventions or suggestions to improve the Defense Department, and case projects including, if warranted, feasibility studies and investigations.
DISPOSITION: Temporary. Cut off after last action. Destroy 7 years after cutoff.
AUTHORITY: NC1-330-81-006, item 1301-17.3
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-18
FILE TITLE: Strategic Arms Limitation Talks (SALT) Support
FILE DESCRIPTION: Scientific and engineering support documents directed towards current strategic policy issues associated with discussion alternatives in SALT and, in addition, scientific and engineering support documents directed towards current strategic policy issues associated with the Comprehensive Test Ban Treaty (CTBT) and Mutual and Balanced Force Reductions (MBFR) with other countries/nations.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1307-04
PRIVACY ACT: Not Applicable

FILE NUMBER: 1301-19 – Consolidated into 212-01 (senior officials) or 102-16 (all others)
FILE NUMBER: 1301-20 – Consolidated into 102-18.1 or 102-18.2
FILE NUMBER: 1301-21 – Consolidated into 103-13

RECORDS CATEGORY: 1302
CATEGORY TITLE: Special Boards and Committees
CATEGORY DESCRIPTION: Records of research and engineering (R&E) Boards, Commissions, and Committees.

FILE NUMBER: 1302-01
FILE TITLE: Defense Science Board
FILE DESCRIPTION: Advises the Secretary of Defense through the Director, Defense Research and Engineering (DDR&E) on scientific and technical matters of interest to the Department of Defense. Studies directed towards scientific and technical aspects or specific strategies, tactics, and policies as they may affect the U.S. national defense posture.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1302-01
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1302-02.1

FILE NUMBER: 1302-02
FILE TITLE: Net Technical Assessments – Military Capabilities
FILE DESCRIPTION: Documents consisting of assessments of current and projected U.S. and foreign military capabilities and evaluating the differences. Documents that develop or provide for the

development of specific net assessment of current and projected U.S. and foreign major weapons systems.
DISPOSITION: Permanent. Cut off when superseded by more current analysis. Transfer to NARA 50 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1302-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1302-02.2

FILE NUMBER: 1302-03
FILE TITLE: Net Technical Assessments – Military Needs and Programs
FILE DESCRIPTION: Evaluation reports on the subject of military needs and programs based on existing or potential threats revealed by intelligence analysis.
DISPOSITION: Permanent. Cut off after superseded by more current analysis. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1302-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1302-02.2

FILE NUMBER: 1302-04
FILE TITLE: Net Technical Assessments – Intelligence Reports
FILE DESCRIPTION: Documents that examine intelligence reports and identify voids that require further analysis in the area or foreign military assessment.
DISPOSITION: Permanent. Cut off after situation has been remedied. Transfer to NARA 50 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1302-02c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1302-02.3

RECORDS CATEGORY: 1303
CATEGORY TITLE: Test Evaluations Files
CATEGORY DESCRIPTION: These files relate to research and engineering (R&E) Test and Evaluation Plans, Projects and Programs.

FILE NUMBER: 1303-01
FILE TITLE: Strategic and Support System Test and Evaluation
FILE DESCRIPTION: Reviews of test and evaluation (T&E) plans submitted by the Armed Services and assessment of results. Documents that monitor tests and evaluations conducted by the Services for the Defense Acquisition Board (DAB) programs. Reports to the Deputy Secretary of Defense at critical milestones of the T&E cycle. Documents on the tests and evaluation of foreign systems for possible DoD use.
DISPOSITION: Permanent. Cut off upon completion (submittal to DAB). Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1303-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1303-02.1
FILE TITLE: Test Facility National and Major Service Ranges Operations
Documents providing policy direction and planning guidance concerning the operations and assignment of test programs of the national and major service ranges, including weapons ranges, White Sands Missile Range, Proving Grounds, Air Test Centers, etc.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1303-02a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1303-02.2
FILE TITLE: Test Facilities Adequacy and Compliance Reviews
FILE DESCRIPTION: Reviews examining the adequacy of the ranges to meet requirements and Directives that ensure the avoidance of duplication. Reports examining the compliance and reviewing the adequacy.
DISPOSITION: Temporary. Cut off after superseded by a more current review or directive. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1303-02b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1303-02.3
FILE TITLE: Major Range and Test Facility Committee Records
FILE DESCRIPTION: Record documents of the Major Range and Test Facility Committees. Memberships, charters, agendas, reports, and minutes or meetings.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1303-02c
PRIVACY ACT: Not Applicable

FILE NUMBER: 1303-03
FILE TITLE: Tactical Air and Land Warfare Systems Test and Evaluations
FILE DESCRIPTION: Documents which review Tactical Systems test and evaluation plans, monitor their progress and assess the results. Documents that initiate and coordinate joint Test and Evaluation programs. Reports at critical milestones.
DISPOSITION: Permanent. Cut off upon program completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1303-03
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1304
CATEGORY TITLE: Program Control and Administration
CATEGORY DESCRIPTION: Records relating to research and engineering (R&E) program control and administration.

FILE NUMBER: 1304-01
FILE TITLE: Programming and Financial Activities

FILE DESCRIPTION: Documents on all programming and financial activities connected with the research, development, testing, and evaluation (RDT&E) program including reprogramming requests, the release of deferred funds, and requests from the Emergency Fund.
DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1304-01a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-02
FILE TITLE: Index of Responsibility Files
FILE DESCRIPTION: Program Index of responsibility and programming system records.
DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1304-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-03
FILE TITLE: Computer Support Agreements
FILE DESCRIPTION: Arrangements for computer support for Defense Research and Engineering activities. These are in the nature of agreements to use DoD facilities on a shared basis.
DISPOSITION: Temporary. Cut off upon termination of agreement. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-77-015, item 1304-01c
PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-04
FILE TITLE: Across-the-Board Program Control Files
FILE DESCRIPTION: Documents on across-the-board technical support programs, general purpose military construction projects, R&D manpower, and formal reviews of all programs.
DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1304-01d
PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-05
FILE TITLE: Program Control Management
FILE DESCRIPTION: Management reports and technical information.
DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1304-01e
PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-06
FILE TITLE: Program Control Legislation
FILE DESCRIPTION: New legislation originated within Defense Research and Engineering (DR&E).
DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1304-01f
PRIVACY ACT: Not Applicable

FILE NUMBER: 1304-07
FILE TITLE: General Accountability Office (GAO) Reports on Program Control
FILE DESCRIPTION: Focal point for GAO reports.
DISPOSITION: Permanent. Cut off after program completion. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1304-01g
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1305
CATEGORY TITLE: Acquisition Policy
CATEGORY DESCRIPTION: Records relating to research and engineering (R&E) acquisition policy.

FILE NUMBER: 1305-01
FILE TITLE: Planning
FILE DESCRIPTION: Documents that advise on the determination and development of required plans and policy for the effective and efficient management of the R&D requirements generating process, area coordinating papers, development concept papers, and systems engineering. Policies and staff supervision for operation of the Defense Systems Management College.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1305-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1305-02
FILE TITLE: Systems Acquisition
FILE DESCRIPTION: Documents developing positions for review by the Defense Acquisitions Board (DAB). Documents coordinating the work of the various offices in Defense Research and Engineering (DR&E) in the preparation of justification for a system acquisition. Briefs and defenses of systems acquisitions.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1305-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1305-03
FILE TITLE: Engineering Policy
FILE DESCRIPTION: Documents establishing engineering policy and standards, particularly in regards to performance criteria, reliability, maintainability, and survivability.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1305-03a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1305-04
FILE TITLE: Engineering – Major Program Review
FILE DESCRIPTION: Documents that review major programs for compliance with sound engineering practices.
DISPOSITION: Temporary. Cut off after program completion. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1305-03b

PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1306
CATEGORY TITLE: Research and Advanced Technology
CATEGORY DESCRIPTION: Records pertaining to research and engineering (R&E) involving advanced technology activities.

FILE NUMBER: 1306-01
FILE TITLE: Electronics and Physical Sciences
FILE DESCRIPTION: Reviews, analyses, and evaluations of DoD technology programs in electronics, associated solid state physics, electronic development, and computer and communications applications. Documents that monitor the related plans, policies, and procedures of the Military Departments to ensure effective implementation. Technical reviews of projects in the physical sciences. Assessments and policies concerned with DoD-sponsored research carried out by industry or educational industry or educational institutions. Reviews and evaluations of the DoD Research Program.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1306-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1306-02
FILE TITLE: Environmental and Life Sciences
FILE DESCRIPTION: Reviews, analyses, and evaluations of DoD programs in the area of medical and life sciences, environmental sciences, social and behavioral sciences, chemical warfare, and biological defense. Documents that monitor the plans, policies, and procedures of the Military Departments to ensure implementation. Reviews and evaluations of the DoD in-house laboratories.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1306-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1306-03
FILE TITLE: Engineering Technology
FILE DESCRIPTION: Reviews, analyses, and evaluations of technical content and responsiveness in engineering requirements. DoD technology programs in area of airframes and aerodynamics, aircraft, rocket and missile propulsion, materials and structure, guided weapons ordnance and land and sea vehicles. Documents that monitor the managerial plans, policies, and procedures of the Military Departments to ensure effective implementation of correct engineering technology.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1306-03
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1307
CATEGORY TITLE: Strategic and Space Systems
CATEGORY DESCRIPTION: Records relating to research and engineering (R&E) of strategic and space systems.

FILE NUMBER: 1307-01
FILE TITLE: Defensive Systems Files
FILE DESCRIPTION: Reviews and evaluations of military programs and proposals for R&D that would provide for strategic defense against attack; aircraft and antimissile systems, air-defense ground environment systems, communications and display required for effective control, and related developments. Space-based systems, including surveillance, tracking, mission assessment; active defense measures and related developments. Recommendations for appropriate action and funding of all such programs. Studies and plans to meet the future needs of defense.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1307-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1307-02
FILE TITLE: Offensive and Space Systems
FILE DESCRIPTION: Reviews and evaluations of military programs and proposals for R&D for strategic attack to include military space systems used for their control. Plans and recommendations for appropriate action and funding for such programs.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1307-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1307-03
FILE TITLE: Advanced Systems
FILE DESCRIPTION: Reviews and evaluations of military programs and proposals for space and advanced systems such as radiation weapons, tactical warning, air-breathing vehicles, and orbit to orbit. Studies and analyses of potential future problems in maintaining effective forces. Planning and budgeting documents for assigned programs.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1307-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1307-04
FILE TITLE: Cruise Missile Systems
FILE DESCRIPTION: Files on cruise missile systems, including

- Reviews and evaluations of military programs and proposals for cruise missiles and associated platforms including air, sea, and ground-launched conventional and nuclear armed cruise missiles and aircraft, ships, submarines and ground systems to support their launch.
- Studies and analyses of potential future problems in maintaining effective forces.
- Planning and budgeting documents for assigned programs.

DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-80-005, item 2
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1308
CATEGORY TITLE: Tactical Warfare Programs
CATEGORY DESCRIPTION: Research and engineering (R&E) records pertaining to tactical warfare programs.

FILE NUMBER: 1308-01
FILE TITLE: Air Warfare Files
FILE DESCRIPTION: Plans for the allocation of development resources between air warfare, deep-strike, counter-air, defense suppression, and tactical reconnaissance. Documents that manage the coordination, and that propose a development budget. Reviews of development and prototype production activities conducted under the authority of the Area Coordination Papers.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1308-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1308-02
FILE TITLE: Land Warfare Files
FILE DESCRIPTION: Plans for the allocations of development resources between the various areas comprising land warfare: close combat, fire support, field army air defense, and battlefield surveillance. Documents managing the preparation and coordination of major development activities in land warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific land warfare developments.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1308-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1308-03
FILE TITLE: Naval Warfare (Formerly known as Ocean Control)
FILE DESCRIPTION: Plans for the allocation of development resources between the various areas comprising naval warfare: Fleet offensive operations, antisubmarine warfare, and ocean surveillance. Documents managing the preparation and coordination of major development activities in naval warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific naval warfare developments.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1308-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1308-04
FILE TITLE: Armament and/or Munitions Requirements and Development (ARMAD) Files
FILE DESCRIPTION: Documents relating to the development of harmonized requirements that fulfill more than one Service's munitions and associated subsystem needs, and the achievement of interchangeability with munitions in use or planned use by NATO Allies. Included are: Recommendations for resolving joint Service standardization problems; development of guidelines for standardization of requirements in munitions and associated equipment; recommendations concerning munitions development, production,

or modification; identification of munitions areas where additional development would improve standardization probability, operational effectiveness, and compatibility; and evaluation of programs for munitions likely to be in existence in the future, analysis of problem areas and opportunities to converge requirements and make appropriate recommendations for joint-use.
DISPOSITION: Permanent. Cut off upon completion. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-80-005, item 3
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1309
CATEGORY TITLE: International Programs
CATEGORY DESCRIPTION: Research and engineering (R&E) records pertaining to international programs.

FILE NUMBER: 1309-01
FILE TITLE: Export Licenses
FILE DESCRIPTION: Case records documenting the DoD position on export licenses proposed by the Department of Commerce for foreign trade, or by the Department of State, if a foreign government is involved. They involve the sale or trade of U.S. technology and/or products of a technical nature that may be defense-related. The record copies of these licenses are retained by Commerce or State, as appropriate.
DISPOSITION: Temporary. Cut off upon completion of case. Destroy 10 years after cutoff.
AUTHORITY: N1-330-80-002, item 1b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1309-02
FILE TITLE: Foreign Scientist Case Files – Historical Value
FILE DESCRIPTION: Case files on foreign scientists of historical value accumulated in connection with DoD programs under which foreign scientific personnel were encouraged to emigrate to the United States. Files include completed applications, correspondence with potential employers, records accumulated in connection with security clearance investigations, travel orders, household goods shipment records, and other materials.
DISPOSITION: Permanent. Cut off upon completion of case file. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-79-007, item 1a
PRIVACY ACT: Not Applicable

FILE NUMBE: 1309-03
FILE TITLE: Foreign Scientist Case Files – Non-Historical Value
All other record case files on foreign scientists of historical value accumulated in connection with DoD programs under which foreign scientific personnel were encouraged to emigrate to the United States. Files include completed applications, correspondence with potential employers, records accumulated in connection with security clearance investigations, travel orders, household goods shipment records, and other materials.
DISPOSITION: Temporary. Cut off upon completion of case file. Destroy 15 years after cutoff.
AUTHORITY: NC1-330-79-007, item 1b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1309-04
FILE TITLE: International Programs
FILE DESCRIPTION: Documents providing guidance and technical direction to international R&D efforts through exploration and establishment of cooperative research, development, and production programs with U.S. Allies for weapons systems to increase commonality, improve effectiveness, reduce duplications and redundancy, and realize cost savings.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-015, item 1309
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1309

RECORDS CATEGORY: 1310
CATEGORY TITLE: Science, Mathematics and Research for Transformanon (SMART) Scholarship for Service Program Records
CATEGORY DESCRIPTION: Records of the SMART Program, which was established by DoD under the National Defense Education Program (NDEP) as an opportunity for students pursuing an undergraduate or graduate degree in Science, Technology, Engineering, and Mathematics disciplines to receive a full scholarship and be gainfully employed upon completion of the degree. The main goal of the program is to to increase the number of civilian scientists and engineers working at DoD laboratories. This program is supported by the Director Defense Research & Engineering (DDR&E), whose mission is to ensure that the warfighter has superior and affordable technology to support their missions and provide war winning capabilities

FILE NUMBER: 1310-01
FILE TITLE: SMART Information Management System (SIMS) Master File – Participant Information
FILE DESCRIPTION: Documentation pertaining to the participants of the SMART program. Collected information includes:

- Participant personal data (i.e., date of birth (DOB), gender, race, etc.)
- Grading and Testing history (i.e., Grade Point Average (GPA), Graduate Record Examination (GRE) scores, transcripts, education work plans, etc.)
- Participant university/college information (i.e., School name, address, phone numbers, etc.)
- Participant Program-specific data (i.e., degree, discipline, number of scholarship funded years, projected graduation date, selecting branch/organization, and inactive reason, etc.)
- Participant Position data (i.e., copy of SF 50)
- Participant financial data (i.e., projected/actual cash award, tuition, book allowances, travel costs, and internship costs
- DoD facility data (i.e., name, address, phone number, POC information, and similar information)

DISPOSITION: Temporary. Cut off after completion of service or upon repayment of funds. Destroy 6 years and 3 months after cutoff.
AUTHORITY: N1-330-09-003, item 1a
PRIVACY ACT: DUSDA 14

FILE NUMBER: 1310-02

FILE TITLE: SMART Information Management System (SIMS) Master File – Individuals NOT Chosen for Participation
FILE DESCRIPTION: Documentation pertaining to the individuals who applied but were not chosen as participants of the SMART program. Collected information may include:

- Applicant personal data (i.e., date of birth (DOB), gender, race, etc.)
- Applicant Grading and Testing history (i.e., Grade Point Average (GPA), Graduate Record Examination (GRE) scores, transcripts, education work plans, etc.)
- Applicant university/college information (i.e., School name, address, phone numbers, etc.)
- Applicant program-specific data (i.e., degree, discipline, number of scholarship funded years, projected graduation date, selecting branch/organization, and inactive reason, etc.)
- Applicant position data (i.e., copy of SF 50)
- Applicant financial data (i.e., projected/actual cash award, tuition, book allowances, travel costs, and internship costs
- DoD facility data (i.e., name, address, phone number, POC information, and similar information)

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: N1-330-09-003, item 1b
PRIVACY ACT: DUSDA 14

FILE NUMBER: 1310-03
FILE TITLE: SMART Information Management System (SIMS) Master File – DoD Research and Engineering Facility Data
FILE DESCRIPTION: Documentation pertaining to the DoD research and engineering facilities involved in the SMART program.
DISPOSITION: Temporary. Cut off and destroy upon termination of affiliation.
AUTHORITY: N1-330-09-003, item 1c
PRIVACY ACT: Not Applicable

SERIES 1400 – CAPE

SERIES TITLE: DIRECTOR, COST ASSESSMENT AND PROGRAM EVALUATION (CAPE)

SERIES DESCRIPTION: The records described in this series relate to the analysis on resource allocation and cost estimation of DoD plans, programs and budgets. Includes, but is not limited to, the following:

- Analyses and evaluations of plans, programs, and budgets in relation to U.S. defense objectives, projected threats, allied contributions, estimated costs, and resource contraints;
- Development and evaluations of alternative program proposals to rectify deficiencies;
- Initiation of actions to ensure the Department's programs adhere to the Secretary's policies and promote achievement of national security objectives;
- Review, analyse, and evaluation of programs for executing approved policies; and
- Examination of costs to ensure the costs of DoD programs are presented accurately and completely.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1400 Series reflect the mission of the office of the Director, Cost Assessment and Program Evaluation (CAPE).

RECORDS CATEGORY: 1401 – RESERVED

RECORDS CATEGORY: 1402
CATEGORY TITLE: Strategic and Space Programs Files
CATEGORY DESCRIPTION: Files pertaining to the development of strategies underlying the procurement, limitation, operations, and possible use of strategic and theatre nuclear forces. Includes reviews of strategic retaliatory, and defense forces, nuclear weapons requirements and strategic arms control measures, including the preparation of summaries of alternative programs in terms of effectiveness, feasibility and cost. Analyses and evaluations of the cost and operational effectiveness of alternative programs for strategic strike (i.e., strategic nuclear and conventional offensive forces); strategic defense; theater ballistic missile defense, space systems (including satellites, launch vehicles, and ground support); strategic C3I systems; defense-wide C3 systems; chemical and biological defense; chemical stockpile destruction, science and technology; arms control compliance and verification; and nuclear nonproliferation. Includes reviews and develops alternatives to Service, Defense Agency, and OSD proposals in these areas.

FILE NUMBER: 1402-01
FILE TITLE: Strategic Planning and Arms Limitation
FILE DESCRIPTION: Support for the Strategic Arms Limitation Talks (SALT). Broad policy studies on arms control issues, and detailed analyses of present and future US/USSR strategic capabilities. Studies of impact of alternative limits on strategic forces and balance. Studies on SALT related issues.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1402-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1402-02
FILE TITLE: Strategic Forces
FILE DESCRIPTION: Analysis of U.S. strategic force postures and requirements, including Continental Air Defense, ballistic missile defense, civil defense, space defense, strategic command and control, warning and surveillance and US bomber survivability. Studies and evaluations of alternative programs for decision on strategic defensive and command control and surveillance forces including characteristics, effectiveness, cost and alternatives to meet strategic objectives.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1402-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1402-03
FILE TITLE: Special Weapons and Support
FILE DESCRIPTION: Analysis of nuclear, biological and chemical weapons systems, quantitative requirements and technical development including AEC costs. Input to contingency plans. Alternate policies.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1402-01
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1403
CATEGORY TITLE: Resource Analysis Files
CATEGORY DESCRIPTION: Records documenting the execution of CAPE's responsibilities for the Defense Resources Board (DRB) Program Review and other similar reviews. They contain cost analyses in support of the planning, programming and busget sytem (PPBS) and the Defense Acquisition Board (DAB), as well as studies and analyses of defense resource and economic issues.

FILE NUMBER: 1403-01
FILE TITLE: Program Cost Analysis
FILE DESCRIPTION: Analyses and estimates in the form of reports of the costs of planned and prepared defense programs, force structures and weapons systems. Cost estimates associated with the annual preparation of the Secretary of Defense's Fiscal Guidance. Cost analysis of acquisition programs to be considered by the Defense Systems Acquisition Review Council. Plans and development of cost estimating techniques.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1403-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-02
FILE TITLE: Manpower Resources
FILE DESCRIPTION: Analysis of policy and planning guidance to identify and evaluate DoD peacetime and wartime military and civilian manpower requirements. Reviews and analyses of manpower requirements

in terms of functions, skills, costs, and training capacity. Reviews of budget implications and alternative manpower programs.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1403-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-03
FILE TITLE: Logistics – Resource Allocation
FILE DESCRIPTION: Logistics planning and analysis documents including analyses and guidance to help allocate resources efficiently.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1403-03a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-04
FILE TITLE: Logistics – Defense Material Support Planning
FILE DESCRIPTION: Logistics planning and analysis documents including:

- Development of annual Secretary of Defense Material Support Planning Guidance necessary for immediate and long range logistical planning; and
- Resources of ammunition procurement programs and budgets.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1403-03b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-05
FILE TITLE: Logistics – Alternate Logistics Programs
FILE DESCRIPTION: Development of evaluation methodologies which estimate amount of resources necessary and evaluation of alternate logistic programs.
DISPOSITION: Temporary. Cut off when superseded by improved techniques. Destroy 3 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1403-03c
PRIVACY ACT: Not Applicable

FILE NUMBER: 1403-06
FILE TITLE: Economic Studies
FILE DESCRIPTION: Evaluation reports and studies of the economic implications of DoD programs and special problems. For example, the large scale procurement or cancellation of aircraft or ships on industry and effect on defense potential. Reports and studies prepared to evaluate the impact of national economic conditions on defense planning.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-003, item 1403-04
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1404
CATEGORY TITLE: Regional Programs
CATEGORY DESCRIPTION: Reviews and analyses of the character and size of U.S. and allied military postures and interests worldwide, threats to those interests, and the capabilities (including deployment capability and balance of forces) of the U.S. and potential allies to meet those threats. Evaluations of alternative U.S. and allied military postures; projections of the cost and manpower requirements of the approved and alternative defense programs beyond the program years; evaluations of the cost and effectiveness of major automated information systems (AIS) that support Department operations. Records also include extensive databases and analytical methods/models used in analyses and records of CAPA&E's AIS and contract research programs.

FILE NUMBER: 1404-01
FILE TITLE: Asia Files
FILE DESCRIPTION: Reviews and analyses of US and Allied military posture, strategy, and force requirements in Asia. Analysis of military/economic/political considerations in Asia/Pacific to provide understanding of the factors and a basis for planning strategy, and force requirements. Evaluations of issues and summaries of alternative strategy, postures, and force requirements to achieve US military objectives. These are maintained on a country, regional or theater-level basis. Also documents CAPE's function as the focal point for special operations, anti-drug, mobilization and crisis management planning and programming in Asia.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA within 40 years of creation.
AUTHORITY: NC1-330-77-003, item 1404-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1404-02 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 1404-03 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 1404-04
FILE TITLE: NATO Files
FILE DESCRIPTION: Reviews and analyses of US and Allied military posture, strategy, and force requirements in NATO and Europe. Analysis of military/economic/political considerations in NATO and Europe to provide understanding of the factors and a basis for planning strategy, and force requirements. These are maintained on a country, regional or theater-level basis. Also documents CAPE's function as the focal point for special operations, anti-drug, mobilization and crisis management planning and programming in NATO and Europe.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA within 40 years of creation.
AUTHORITY: NC1-330-77-003, item 1404-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1404-05
FILE TITLE: Special Studies

FILE DESCRIPTION: Reviews and analyses of U.S. forces and Allied effectiveness. Special studies, evaluations and analysis similar in nature to 1404-01 (Asia Files) and 1404-04 (NATO and Europe Files) as related to regions other than Asia and NATO and the effectiveness and balance of all general purpose forces in various regions.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA within 40 years of creation.
AUTHORITY: NC1-330-77-003, item 1404-03
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1405
CATEGORY TITLE: General Purpose Programs Files
CATEGORY DESCRIPTION: These files contain documents pertaining to CAPE's role in directing the analysis and evaluation of the force levels and mixes of U.S. general purpose air, land, and naval forces, including their affordability, effectiveness, capabilities, and readiness. Also contain summaries of alternative forces and acquisition programs for review by the Secretary and Deputy Secretary of Defense in making critical decisions on the allocation of Defense resources.

FILE NUMBER: 1405-01
FILE TITLE: Land Forces
FILE DESCRIPTION: Reviews and analyses of DoD Army and Marine Corps Active and Reserve land forces, combat and support, weapons systems requirements, and alternative mixes and levels of land force structures.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.
AUTHORITY: NC1-330-77-003, item 1405-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1405-02
FILE TITLE: Naval Forces
FILE DESCRIPTION: Reviews and analyses of naval forces including Anti-Submarine Warfare, anti-air warfare, amphibious, fire support, cruise missiles, naval ASW and AAW weapons, mine countermeasures, combat logistics/replenishment, surface combatants, attack submarines, undersea surveillance, fleet escort and shipbuilding programs.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.
AUTHORITY: NC1-330-77-003, item 1405-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1405-03
FILE TITLE: Tactical Air
FILE DESCRIPTION: Reviews and analyses of tactical air forces (Active and Reserve), including land- and sea-based aircraft for air-ground support operations, air-to-air combat, interdiction, reconnaissance, and other support missions. Reviews and analyses of theater and fleet air defense. forces.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.
AUTHORITY: NC1-330-77-003, item 1405-04
PRIVACY ACT: Not Applicable

FILE NUMBER: 1405-04 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 1405-05
FILE TITLE: Mobility Forces
FILE DESCRIPTION: Reviews and analyses of mobility programs including airlift and sealift forces, equipment prepositioning programs, emergency use of civil transportation resources, indirect support aircraft forces, and mobility support forces.
DISPOSITION: Permanent. Cut off upon supersession. Transfer to NARA within 40 years of creation.
AUTHORITY: NC1-330-77-003, item 1405-02
PRIVACY ACT: Not Applicable

SERIES 1500 – ASD(NUCLEAR, CHEMICAL & BIOLOGICAL)

SERIES TITLE ASSISTANT SECRETARY OF DEFENSE FOR NUCLEAR, CHEMICAL & BIOLOGICAL (ASD(NCB)) DEFENSE PROGRAM FILES

SERIES DESCRIPTION: Records described in this series relate to DoD efforts in preparing for, deterring, and mitigating current and future weapons of mass destruction (WMD) threats. Includes, but is not limited to, the functions of ASD(NCB):

- Development of policies, advice and recommendations on chemical, biological, radiological and nuclear (CBRN) weapons;
- CBRN medical and non-medical defense
- Safety, surety, security and safe destruction of chemical weapon stockpiles;
- CBRN arms control activities; and
- Related plans and programs.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1500 Series reflect the mission of the Assistant to the Secretary of Defense for Nuclear, Chemical and Biological Defense (ASD(NCB)).

RECORDS CATEGORY: 1501 – RESERVED

RECORDS CATEGORY: 1502
CATEGORY TITLE: Assistant Secretary of Defense for Nuclear, Chemical & Biological Defense (ASD(NCB)) Immediate Office
CATEGORY DESCRIPTION: Files pertaining to the Immediate Office of the Assistant to the Secretary of Defense for Nuclear, Chemical & Biological Defense and/or Nuclear Weapons Council Standing Committee.

FILE NUMBER: 1502-01
FILE TITLE: Immediate Office Files
FILE DESCRIPTION: DoD atomic energy policy on such matters as military information disclosure, movement of atomic devices, disclosures to foreign governments, accidents, and safety. Advice to the Secretary of Defense, studies, analyses, evaluations, and appraisal of the DoD Nuclear Weapons Development Guidance annual report. Exchange of atomic energy information and advice to the Senate and House Armed Services Committees.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 50 years after cutoff.
AUTHORITY: NC1-330-76-003, item 1502-01
PRIVACY ACT: Not Applicable

FILE NUMBER: 1502-02
FILE TITLE: Military Liaison Committee (through 1986) and Nuclear Weapons Council (NWC) and Nuclear Weapons Council Standing Committee (NWCSC) (1986-present)
FILE DESCRIPTION: Committee charter, membership, and minutes of meetings. Correspondence with the Department of Energy (DoE) and the Department of Defense on atomic energy matters concerning the military. Studies, evaluations, advice to the Department of Defense related to military applications of atomic weapons or energy.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 50 years after cutoff.
AUTHORITY: NC1-330-76-003, item 1502-02
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1503
CATEGORY TITLE: Chemical Defense
CATEGORY DESCRIPTION: Files pertaining to the Office of the Deputy Assistant Secretary of Defense for NCB (Chemical Matters).

FILE NUMBER: 1503-01 – RESERVED

FILE NUMBER: 1503-02
FILE TITLE: Chemical Warfare Files
FILE DESCRIPTION: Policies and guidance governing DoD planning and program development on all chemical matters, suggestions, for change, preparation, and interpretations.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 30 years after cutoff.
AUTHORITY: N1-330-87-002, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1503-03 RESERVED

FILE NUMBER: 1503-04
FILE TITLE: Studies, Tests, Projects Files
FILE DESCRIPTION: Copies of documents relating to the design, development, and testing of systems and concepts, technical reports, research papers, project documents, technical and scientific data, manuscripts and analyses.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA in 5-year blocks 25 years after cutoff.
AUTHORITY: N1-330-87-002, item 2
PRIVACY ACT: Not Applicable

FILE NUMBER: 1503-05 RESERVED

FILE NUMBER: 1503-06
FILE TITLE: Legislative Affairs Files
FILE DESCRIPTION: Documents on the legislative programs in the area of chemical matters; letters to and from congressional committees or individual members, monitoring of individual programs, coordinating congressional requirements.

DISPOSITION: Permanent. Cut off annually. Transfer to NARA in 5-year blocks 25 years after cutoff.
AUTHORITY: N1-330-87-002, item 3
PRIVACY ACT: Not Applicable

FILE NUMBER: 1503-07
FILE TITLE: National Affairs Files
FILE DESCRIPTION: Documents on the exchange of information and advice on chemical matters with other United States Government (USG) Agencies or activities, related correspondence, and copies of agreements.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA in 5-year blocks 25 years after cutoff.
AUTHORITY: N1-330-87-002, item 4
PRIVACY ACT: Not Applicable

FILE NUMBER: 1503-08
FILE TITLE: International Affairs Files
FILE DESCRIPTION: Documents on the exchange of information and advice on chemical matters with foreign allies, related correspondence, and copies of agreements.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA in 5-year blocks 25 years after cutoff.
AUTHORITY: N1-330-87-002, item 5
PRIVACY ACT: Not Applicable

SERIES 1600 – GENERAL IT MANAGEMENT

SERIES TITLE: GENERAL INFORMATION TECHNOLOGY MANAGEMENT RECORDS

SERIES DESCRIPTION: Records described in this series relate to the creation and management of electronic records, by computer operators, programmers, analysts, systems administrators, information technology (IT) offices (operation and management), and all personnel with access to a computer, to include contractors. Disposition authority is provided for certain master files, including some tables that are components of database management systems, and certain files created from master files for specific purposes. In addition, this series covers certain disposable electronic records produced by end users in office automation applications. This series provides authority to apply disposition instructions found elsewhere in this records schedule to electronic files and dispose of hard copy documents when converted to electronic media, if specified requirements have been met (See AI 15 and 36 CFR 1234 for additional guidance).

NOTE: This series does not apply to master files and other related records produced by electronic information systems (EIS) that HAVE NOT been evaluated by WHS, Records, Privacy and Declassification Division; contact RPDD to determine if scheduling of such records is required.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1600 Series may be used by any directorate, division, branch, task force, field office or component under the purview of the OSD Records Administrator.

RECORDS CATEGORY: 1601
CATEGORY TITLE: General
CATEGORY DESCRIPTION: General or overview file numbers pertaining to electronic records.

FILE NUMBER: 1601-01
FILE TITLE: System Development Records
FILE DESCRIPTION: These records related to development of Information Technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:

- Project plans
- Feasibility studies
- Cost analyses
- Requirements documents
- Compliance documents including:
  - Privacy Threshold Analyses (PTAs)
  - Privacy Impact Assessments (PIAs)
  - Security Plan
  - Information Protection Plan
- Change control records
- Project Schedule

- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test/Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Exclusion: This item does not apply to system data or content.
NOTE: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.
DISPOSITION: Temporary. Cut off after system is superseded by a new iteration, or is terminated, defunded, or when no longer needed for administrative, legal, audit, or other operational purposes. Destroy 5 years after cutoff.
AUTHORITY: GRS 3.1, item 011 (DAA-GRS- 2013-0005- 0007)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1601-01.1

FILE NUMBER: 1601-01.1 – Consolidated into 1601-01, 1606-02 or 1606-11, as applicable
FILE NUMBER: 1601-01.2 – Consolidated into 1606-02
FILE NUMBER: 1601-01.3 – Consolidated into 1601-02

FILE NUMBER: 1601-02
FILE TITLE: System Access Records - Systems not requiring Special Accountability for Access
FILE DESCRIPTION: User identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users. These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- User profiles
- Log-in files
- Password files
- Audit trail files and extracts
- System usage files
- Cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.
Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.
DISPOSITION: Temporary. Cut off and destroy when business use ceases. **NOTE:** See 1601-06 for System Access Records Requiring Special Accountability
AUTHORITY: GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1601-01.3, 1606-06.2

FILE NUMBER: 1601-02.1 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-02.2 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-02.3 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-02.4 – Consolidated into 103-14
FILE NUMBER: 1601-02.5 – Consolidated into 1606-02
FILE NUMBER: 1601-02.6 – Consolidated into 1606-02
FILE NUMBER: 1601-02.7 – Consolidated into 1606-02

FILE NUMBER: 1601-03
FILE TITLE: Backups of Master Files and Databases – Files Identical to Permanent Records
FILE DESCRIPTION: Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased where the file is identical to permanent records scheduled for transfer to NARA.
DISPOSITION: Temporary. Cut off and destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by NARA.
AUTHORITY: GRS 3.2, item 050 (DAA-GRS-2013-0006-0007)
PRIVACY ACT: K890.14-DoD

FILE NUMBER: 1601-03.1 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-03.2 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-03.3 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-03.4 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-03.5 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-04 – RESCINDED (per GRS Transmittal 23)
FILE NUMBER: 1601-05 – Consolidated into 103-14
FILE NUMBER: 1601-06 – Consolidated into 103-14
FILE NUMBER: 1601-07 – Consolidated into 103-14
FILE NUMBER: 1601-08 – Consolidated into 103-14

FILE NUMBER: 1601-09
FILE TITLE: Backups of Master Files and Databases – Identical to Temporary Records
FILE DESCRIPTION: Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased where the file is identical to temporary records authorized for disposal in a NARA-approved records schedule.
DISPOSITION: Temporary. Cut off and destroy immediately after the identical temporary records have been deleted, or when replaced by a subsequent backup file.
AUTHORITY: GRS 3.2, item 051 (DAA-GRS-2013-0006-0008)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1601-10 – Consolidated into 203-05

FILE NUMBER: 1601-11
FILE TITLE: Special Purpose Computer Programs and Applications

FILE DESCRIPTION: Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal by this records disposition schedule or by a NARA-approved records schedule.
Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.
Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.
NOTE: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.
DISPOSITION: Temporary. Cut off and destroy when related master file or database has been deleted.
AUTHORITY: GRS 3.1, item 012 (DAA-GRS-2013-0005-0008)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1601-12.1 – Moved to 1601-12
FILE NUMBER: 1601-12.2 – Moved to 1601-13

FILE NUMBER: 1601-12
FILE TITLE: Data Administration and Documentation - Temporary Systems
FILE DESCRIPTION: Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or this schedule or any types of data administration records not listed as permanent in File Number 1601-12.2. Includes

- Data/database dictionary records
- Data system specifications
- File specifications
- Code books
- Record layouts
- Metadata
- User guides
- Output specifications.

Also includes the following records for all electronic records whether scheduled as temporary or permanent:

- Software operating manuals
- Data standards
- Table and dependency descriptions
- Taxonomies
- Schemas
- Registries
- Source code
- Physical data model
- Logical data model

DISPOSITION: Temporary. Cut off after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. Destroy 5 years after cutoff.
AUTHORITY: GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1601-12.1

FILE NUMBER: 1601-13
FILE TITLE: Data Administration and Documentation - Permanent Systems
FILE DESCRIPTION: Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or this schedule must be transferred to NARA to allow for continued access to the records. Includes

- Data/database dictionary records
- Data systems specifications
- File specifications
- Code books
- Record layouts
- Metadata
- User guides
- Output specifications.

NOTE 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.
NOTE 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by NARA.
DISPOSITION: Permanent. Cut off and transfer to NARA with the permanent electronic records to which the documentation relates.
AUTHORITY: GRS 3.1, item 050 (DAA-GRS-2013-0005-0002)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1601-12.2

FILE NUMBER: 1601-13.1 – Consolidated into 103-14
FILE NUMBER: 1601-13.2 – Consolidated into 103-14
FILE NUMBER: 1601-13.3 – Consolidated into 1606-02
FILE NUMBER: 1601-14 – Consolidated into 103-14
FILE NUMBER: 1601-15 – Consolidated into 103-14
FILE NUMBER: 1601-16 – Consolidated into 103-14

FILE NUMBER: 1601-17
FILE TITLE: Non-recordkeeping copies of electronic records
FILE DESCRIPTION: Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes:

- Documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent

- Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to an recordkeeping system or otherwise preserved
- Electronic spreadsheets
- Digital video or audio files
- Digital maps or architectural drawings
- Copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

NOTE 1: Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records.

NOTE 2: For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.

DISPOSITION: Temporary. Cut off and destroy immediately after copying to a recordkeeping system or otherwise preserving.

AUTHORITY: GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER(s): 1602, 1603, 1604-01, 1604-02, 1703-01

RECORDS CATEGORY: 1602 – RESERVED

FILE NUMBER: 1602 – Consolidated into 1601-17

RECORDS CATEGORY: 1603 – RESERVED

FILE NUMBER: 1603 – Consolidated into 1601-17

RECORDS CATEGORY: 1604 – RESERVED

FILE NUMBER: 1604-01 – Consolidated into 1601-17

FILE NUMBER: 1604-02 – Consolidated into 1601-17

RECORDS CATEGORY: 1605 – RESERVED

FILE NUMBER: 1605-01 – Consolidated into 101-01.1

FILE NUMBER: 1605-02 – Consolidated into 101-01.1

RECORDS CATEGORY: 1606
CATEGORY TITLE: Information Technology Operations and Management Records
CATEGORY DESCRIPTION: Provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. IT includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. **NOTE:** System data or information content must be scheduled separately to NARA; contact RPDD to coordinate in such a situation.

FILE NUMBER: 1606-01
FILE TITLE: Information Technology Oversight and Compliance Records
FILE DESCRIPTION: Information technology (IT) oversight and compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes such records as:

- Recurring and special reports
- Responses to findings and recommendations
- Reports of follow-up activities
- Statistical performance data
- Metrics
- Inventory of web activity
- Web use statistics
- Comments/feedback from web site or application users
- Internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act
- System availability reports
- Target IT architecture reports
- Systems development lifecycle handbooks
- Computer network assessments and follow-up documentation
- Vulnerability assessment reports
- Assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- Contractor evaluation reports
- Quality assurance reviews and reports
- Market analyses and performance surveys
- Benefit-cost analyses
- Make vs. buy analysis
- Reports on implementation of plans
- Compliance reviews
- Data measuring or estimating impact and compliance

NOTE: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.
AUTHORITY: GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1606-01.1, 1606-01.2

FILE NUMBER: 1606-01.1 – Consolidated into 1606-01
FILE NUMBER: 1606-01.2 – Consolidated into 1606-01

FILE NUMBER: 1606-02
FILE TITLE: Information Technology (IT) Operations and Maintenance Records
FILE DESCRIPTION: IT operations and maintenance records relate to the activities associated with the operation and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

- Files identifying IT facilities and sites
- Files concerning implementation of IT facility and site management
- Equipment support services provided to specific sites:
    - Reviews
    - Site visit reports
    - Trouble reports
    - Equipment service histories
    - Reports of follow-up actions
    - Related correspondence
- Inventories of IT assets, network circuits, and building or circuitry diagrams
- Equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices
- Requests for service
- Work orders
- Service histories
- Workload schedules
- Run reports
- Schedules of maintenance and support activities
- Problem reports and related decision documents relating to the software infrastructure of the network or system
- Reports on operations
    - Measures of benchmarks
    - Performance indicators
    - Critical success factors
    - Error and exception reporting
    - Self-assessments
    - Performance monitoring
    - Management reports
- Website administration
    - Frames
    - Templates
    - Style sheets
    - Site maps
    - Codes that determine site architecture
    - Change requests
    - Site posting logs
    - Clearance records

  - Requests for correction of incorrect links or content posted
  - Requests for removal of duplicate information
  - User logs
  - Search engine logs
  - Audit logs
- Records to allocate charges and track payment for software and services

NOTE 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.
NOTE 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.
DISPOSITION: Temporary. Cut off after the project/activity/transaction is completed or superseded. Destroy 5 years after cutoff.
AUTHORITY: GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1601-01.1, 1601-01.2, 1601-02.5, 1601-02.6, 1601-02.7, 1601-13.3, 1606-02.1, 1606-03.1, 1606-03.2.2, 1606-08.1, 1606-08.2, 1606-08.3, 1606-09.1, 1606-09.2, 1606-09.3

FILE NUMBER: 1606-03
FILE TITLE: Configuration and Change Management Records
FILE DESCRIPTION: Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as:

- Data and detailed reports on implementation of systems, applications and modification
- Application sizing, resource and demand management records
- Documents identifying, requesting and analyzing possible changes, authorizing changes, and documenting implementation of changes
- Documents of software distribution (including COTS software license management files) and release or version management files

NOTE 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.
NOTE 2: Documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than this GRS disposition authority.
NOTE 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.
DISPOSITION: Temporary. Cut off after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes. Destroy 5 years after cutoff.
AUTHORITY: GRS 3.1, item 030 (DAA-GRS-2013-0005-0005
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1606-03.2.1

FILE NUMBER: 1606-03.1 – Consolidated into 1606-02
FILE NUMBER: 1606-03.2.1 – Moved to 1606-03
FILE NUMBER: 1606-03.2.2 – Consolidated into 1606-02

FILE NUMBER: 1606-04.1
FILE TITLE: System Backups and Tape Library Records - Incremental Backup Files

FILE DESCRIPTION: Incremental backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data. **NOTE:** See FN 1601-05 for backups of master files and databases.
DISPOSITION: Temporary. Cut off and destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.
AUTHORITY: GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1606-04.2
FILE TITLE: System Backups and Tape Library Records – Full Backup Files
FILE DESCRIPTION: Full backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data. **NOTE:** See FN 1601-05 for backups of master files and databases.
DISPOSITION: Temporary. Cut off and destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.
AUTHORITY: GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1606-05
FILE TITLE: Systems and Data Security Records
FILE DESCRIPTION: Records related to maintaining the security of Information Technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. Also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes such records as:

- System Security Plans
- Disaster Recovery Plans
- Continuity of Operations Plans
- Published computer technical manuals and guides
- Examples and references used to produce guidelines covering security issues related to specific systems and equipment
- Records on disaster exercises and resulting evaluations
- Network vulnerability assessments
- Risk surveys
- Service test plans
- Test files and data

DISPOSITION: Temporary. Cut off after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system. Destroy 1 year after cutoff.
AUTHORITY: GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1606-05.1, 1606-05.2

FILE NUMBER: 1606-05.1 – Consolidate into 1606-05
FILE NUMBER: 1606-05.2 – Consolidate into 1606-05

FILE NUMBER: 1606-06
FILE TITLE: System Access Records for Systems Requiring Special Accountability for Access

FILE DESCRIPTION: User identification records associated with systems which are highly sensitive and potentially vulnerable. These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- User profiles
- Log-in files
- Password files
- Audit trail files and extracts
- System usage files
- Cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.
Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.
NOTE: See 1601-02 for System Access Records Not Requiring Special Accountability
DISPOSITION: Temporary. Cut off after password is altered or user account is terminated. Destroy 6 years after cutoff.
AUTHORITY: GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)
PRIVACY ACT: K890.14-DoD
FORMER FILE NUMBER: 1606-06.1

FILE NUMBER: 1606-06.1 – Moved to 1606-06
FILE NUMBER: 1606-06.2 – Consolidated into 1601-02

FILE NUMBER: 1606-07
FILE TITLE: Computer Security Incident Handling, Reporting and Follow-Up Records
FILE DESCRIPTION: Records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. Includes records such as:

- Reporting forms
- Reporting tools
- Narrative reports
- Background documentation

NOTE: Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records and be scheduled separately with NARA; contact RPDD to coordinate in such a situation.
DISPOSITION: Temporary. Cut off after all necessary follow-up actions have been completed. Destroy 3 years after cutoff.
AUTHORITY: GRS 3.2, item 020 DAA-GRS-2013-0006-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1606-08
FILE TITLE: Technology Management Administrative Records
FILE DESCRIPTION: Records on day-to-day, routine information technology management (excluding record of the Chief Information Officer, which are located in Records Category 1607). Records include:

- Correspondence
- Subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making
- Data calls
- Operational and managerial guidance to organizational segments of the Agency

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: GRS 3.1, item 001 (DAA-GRS-2016-0013-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1606-08.1 – Consolidated into 1606-02
FILE NUMBER: 1606-08.2 – Consolidated into 1606-02
FILE NUMBER: 1606-08.3 – Consolidated into 1606-02
FILE NUMBER: 1606-09.1 – Consolidated into 1606-02
FILE NUMBER: 1606-09.2 – Consolidated into 1606-02
FILE NUMBER: 1606-09.3 – Consolidated into 1606-02

FILE NUMBER: 1606-10
FILE TITLE: Technical and Administrative Help Desk Operational Records
FILE DESCRIPTION: Records related to technical and administrative help desk operations. Includes:

- Records of incoming requests (and responses) made by phone, email, web portal, etc.
- Trouble tickets and tracking logs
- Quick Guides and "Frequently Asked Questions" (FAQs)
- Evaluations and feedback about help desk services
- Analysis and reports generated from customer management data
- Customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports

DISPOSITION: Temporary. Cut off after record is resolved or when no longer needed, whichever is appropriate. Destroy 1 year after cutoff.
AUTHORITY: GRS 5.8, item 010 (DAA-GRS-2017-0001-0001)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1606-10.1, 1606-10.2

FILE NUMBER: 1606-10.1 – Consolidated into 1606-10
FILE NUMBER: 1606-10.2 – Consolidated into 1606-10

FILE NUMBER: 1606-11
FILE TITLE: Infrastructure Project Records
FILE DESCRIPTION: Information Technology (IT) Infrastructure, systems, and service project records that document the basic systems and services used to supply the agency and its staff access to computers and data telecommunications. Includes requirements for and implementation of functions such as

- Maintaining network servers, desktop computers, and other hardware
- Installing and upgrading network operating systems and shared applications
- Providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting.

Includes such records as:

- Installation and testing records
- Installation reviews and briefings
- Quality assurance and security review
- Requirements specifications
- Technology refresh plans
- Operational support plans
- Test plans
- Models, diagrams, schematics, and technical documentation

Exclusion: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.
NOTE: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records (File Number 1601-01.1).
DISPOSITION: Temporary. Cut off after project is terminated. Destroy 5 years after cutoff.
AUTHORITY: GRS 3.1, item 010 (DAA-GRS-2013-0005-0006
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1601-01.1, 1606-11.1, 1606-11.2, 1606-11.3

FILE NUMBER: 1606-11.1 – Consolidated into 1606-11
FILE NUMBER: 1606-11.2 – Consolidated into 1606-11
FILE NUMBER: 1606-11.3 – Consolidated into 1606-11

FILE NUMBER: 1606-12
FILE TITLE: Public Key Infrastructure (PKI) Administrative Records – Federal Bridge Certification Authority (FBCA) Certification Authority
FILE DESCRIPTION: PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures,

investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.
DISPOSITION: Temporary. Cutoff annually. Destroy 7 years and 6 months, 10 years and 6 months, or 20 years and 6 months after cutoff, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.
AUTHORITY: GRS 3.2, item 060 (N1-GRS-07-3, item 13a(1))
PRIVACY ACT: Not Applicable

FILE NUMBER: 1606-13
FILE TITLE: Public Key Infrastructure (PKI) Administrative Records – Non-Federal Bridge Certification Authority (Non-FBCA) Certification Authority
FILE DESCRIPTION: PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.
DISPOSITION: Temporary. Cut off annually. Destroy 7 years 6 months to 20 years 6 months after cutoff, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.

AUTHORITY: GRS 3.2, item 061 (N1-GRS-07-3, item 13a(2))
PRIVACY ACT: Not Applicable

FILE NUMBER: 1606-14
FILE TITLE: Public Key Infrastructure (PKI) Transaction-Specific Records
FILE DESCRIPTION: Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to- transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.
DISPOSITION: Temporary. Cut off annually. Destroy 7 years 6 months to 20 years 6 months after cutoff, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody.
AUTHORITY: GRS 3.2, item 062 (N1-GRS-07-3, item 13b)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1606-15
FILE TITLE: Computer Matching Program Notices and Agreements
FILE DESCRIPTION: Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.
DISPOSITION: Temporary. Cut off and destroy upon supersession by a revised notice of agreement OR two years after matching program ceases operation.
AUTHORITY: GRS 4.2, item 170 (DAA-GRS-2016-0003-0005)
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1607 – Moved to Records Category 1105

FILE NUMBER: 1607-01 – Consolidated to 1105-01
FILE NUMBER: 1607-02 – Moved to 1105-02
FILE NUMBER: 1607-03 – Consolidated into 1105-01
FILE NUMBER: 1607-04 – Moved to 1105-03
FILE NUMBER: 1607-05 – Consolidated into 1105-01
FILE NUMBER: 1607-06 – RESCINDED per GRS Transmittal 27

SERIES 1700 – UNITED STATES COURT OF APPEALS FOR THE ARMED FORCES

SERIES TITLE: UNITED STATES COURT OF APPEALS FOR THE ARMED FORCES (USCAAF)

SERIES DESCRIPTION: Records described in this series relate to court-martial material of trials originating in the Military Departments reviewed in the U.S. Court of Military Appeals, consisting of the pre-trial, trial, and post-trial procedures, actions by the convening authorities, and decisions of the Court of Military Review. Original record of trial is returned to the originating Service after final action.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1700 Series reflect the mission of the United States Court of Appeals for the Armed Forces (USCAAF).

RECORDS CATEGORY: 1701
CATEGORY TITLE: Appellate and Original Documents and Pleadings
CATEGORY DESCRIPTION: Certificates for review, petitions for review, petitions for extraordinary relief, orders, briefs, miscellaneous motions, and the final actions.

FILE NUMBER: 1701-01
FILE TITLE: Appeals Not Granted
FILE DESCRIPTION: Appeals withdrawn or resulting in denial or dismissal.
DISPOSITION: Temporary. Cut off in calendar year appeal was withdrawn, dismissed, or denied. Destroy 50 years after cutoff.
AUTHORITY: NC1-330-79-011, item 1701.1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1701-02
FILE TITLE: Appeals Granted
FILE DESCRIPTION: Certificates and appeals granted.
DISPOSITION: Temporary. Cut off in calendar year appeal is granted. Destroy 50 years after cutoff.
AUTHORITY: NC1-330-79-011, item 1701.2
PRIVACY ACT: Not Applicable

FILE NUMBER: 1701-03
FILE TITLE: Petitions for Extraordinary Relief
FILE DESCRIPTION: Files pertaining to petitions of extraordinary relief.
DISPOSITION: Temporary. Cut off in calendar year petition closed. Destroy 75 years after cutoff.
AUTHORITY: NC1-330-79-011, item 1701.3
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1702
CATEGORY TITLE: Judges' Sheets
CATEGORY DESCRIPTION: Internal working documents for each Judge.

FILE NUMBER: 1702-01
FILE TITLE: Judges' Sheets
FILE DESCRIPTION: Consists of central staff memoranda of law, vote sheets, and similar internal working documents.
DISPOSITION: Temporary. Cut off annually. Destroy 50 years after cutoff.
AUTHORITY: NC1-330-79-011, item 1702
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1702

RECORDS CATEGORY: 1703
CATEGORY TITLE: Judges' Reference Papers
CATEGORY DESCRIPTION: Reference papers for each Judge.

FILE NUMBER: 1703-01 – Consolidated into 1601-17

FILE NUMBER: 1703-02
FILE TITLE: Judges' Reference Papers
FILE DESCRIPTION: Memoranda, not maintained elsewhere, relating to the disposition of appellate cases that are: circulated within individual chambers; or when signed by a judge, circulated among and between chambers. Draft opinions, votes, and other comments circulated within the entire court which are not included in the judges' voting sheets.
DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 25 years after cutoff.
AUTHORITY: N1-330-01-001, item 1
PRIVACY ACT: Not Applicable

SERIES 1800 – USD(PERSONNEL & READINESS)

SERIES TITLE: UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (OUSD(P&R))

SERIES DESCRIPTION: Records described in this series pertain to the functional files on personnel and readiness with specific responsibilities for developing DoD personnel policies and legislative proposals. **NOTE:** This series does not include the custody or control of personnel records of individuals assigned to the OSD.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1800 Series reflect the mission of the Office of the Under Secretary of Defense for Personnel and Readiness (OUSD(P&R)) and the DoD agencies / components under its purview, including the Defense Human Resources Activity (DHRA).

RECORDS CATEGORY: 1801 – RESERVED

FILE NUMBERS: 1801-01 through 1801.10 – RESERVED
FILE NUMBER: 1801-11 – Consolidated into 103-15

RECORDS CATEGORY: 1802
CATEGORY TITLE: Civilian Personnel Policy and/or Equal Opportunity
CATEGORY DESCRIPTION: Records pertaining to Civilian or Equal Opportunity policies/operations.

FILE NUMBER: 1802-01.1 – RESCINDED

FILE NUMBER: 1802-01.2
FILE TITLE: Personnel Management – Civilian Personnel Policy
FILE DESCRIPTION: Civilian personnel management prescribing broad policy as approved for personnel functions under the authority of the Office of the Under Secretary of Defense for Personnel (OUSD(P&R)).
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-01.3
FILE TITLE: Personnel Management – Overseas Civilian Employment
FILE DESCRIPTION: Policy documents on overseas civilian employment, length of tour, placement, employment of aliens, reviews of program administration and consolidation for changes to meet local conditions.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-01c
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-01.4
FILE TITLE: Personnel Management – Safety and Accident Protection
FILE DESCRIPTION: Policy and guidance with DoD on safety and accident protection matters pursuant to Public Law 91-596 and Executive Order 11612 on Occupational Safety and Health Programs.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-01d
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-02.1 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 1802-02.2a – Moved to 202-37
FILE NUMBER: 1802-02.2b – Moved to 202-37
FILE NUMBER: 1802-02.3 – Moved to 1802-02

FILE NUMBER: 1802-02.1
FILE TITLE: Labor Management Relations Files – Policy
FILE DESCRIPTION: General statements of policy or guidance regarding labor relations.
DISPOSITION: Permanent. Cut off when obsolete or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-84-01, item 606-02.1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1802-02.3

FILE NUMBER: 1802-02.2
FILE TITLE: Labor Management Relations Files – Collective Bargaining Agreements
FILE DESCRIPTION: Documents concerning the review of collective bargaining agreements between labor organizations and DoD components which are reviewed at the DoD level.
DISPOSITION: Temporary. Cut off after expiration of the contract. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-84-01, item 606-02.2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1802-02.3

FILE NUMBER: 1802-02.3
FILE TITLE: Labor Management Relations Files – Granting National Consultation Rights
FILE DESCRIPTION: Documents concerning the granting of National Consultation Rights to Labor Organizations.
DISPOSITION: Permanent. Cut off upon termination of national consultation rights. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-84-01, item 606-02.3
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1802-02.3

FILE NUMBER: 1802-02.4
FILE TITLE: Labor Management Relations Files – Negotiability Case Files

FILE DESCRIPTION: Case files on petitions for review of negotiability issues.
DISPOSITION: Temporary. Cut off after final resolution of the case. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-84-01, item 606-02.4
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1802-02.3

FILE NUMBER: 1802-02.5
FILE TITLE: Labor Management Relations Files – Exceptions
FILE DESCRIPTION: Case files on exceptions to arbitrator's awards.
DISPOSITION: Temporary. Cut off after final resolution of the case. Destroy 2 years after cutoff.
AUTHORITY: NC1-330-84-01, item 606-02.5
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1802-02.3

FILE NUMBER: 1802-02.6
FILE TITLE: Labor Management Relations Files – Unfair Labor Practices
FILE DESCRIPTION: Unfair Labor Practice case files where offices within OSD are named parties.
DISPOSITION: Temporary. Cut off after final resolution of the case. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-84-01, item 606-02.6
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1802-02.3

FILE NUMBER: 1802-02.7
FILE TITLE: Labor Management Relations Files – Representation Petitions
FILE DESCRIPTION: Representation petition case files where a union seeks exclusive recognition at the DoD level.
DISPOSITION: Temporary. Cut off after final resolution of the case. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-84-01, item 606-02.7
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1802-02.3

FILE NUMBER: 1802-03.1
FILE TITLE: Compensation and Position Management
FILE DESCRIPTION: Documents that allot spaces for top-level scientific, professional and executive personnel and standards that ensure effective use of such spaces. Documents approving salaries, wages, fringe benefits, and such pay policies as appropriate for DoD employees. Includes directives.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-03a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-03.2
FILE TITLE: Compensation and Position Management - Statistics
FILE DESCRIPTION: Statistics which are used to monitor the Compensation and Position Management Program (pertaining to Documents that allot spaces for top-level scientific, professional and executive

personnel and standards that ensure effective use of such spaces. Documents approving salaries, wages, fringe benefits, and such pay policies as appropriate for DoD employees).
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-03b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-04.1
FILE TITLE: Staffing Policies and Programs
FILE DESCRIPTION: Policy documents that provide guidance and policy on approval of plans and announcements as they pertain to the placement, transfer, or separation as a result of base closures, consolidations, and/or reductions. Includes:

- Administrative papers of the DoD programs for stability of civilian employment and associated automated placement programs.
- Broad policy and educational institutions
- Directives promulgating policy on merit promotion, re-employment rights, and overseas return placement.

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-04a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-04.2
FILE TITLE: Staffing Policies and Programs Case Files
FILE DESCRIPTION: Case File documents on individual base closures, consolidations, and/or reductions that provide guidance and approval of plans and announcements as they pertain to the placement, transfer, or separation as a result of base closures, consolidations, and/or reductions. Includes administrative papers of the specific DoD programs for stability of civilian employment and associated automated placement programs.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-04b

FILE NUMBER: 1802-05
FILE TITLE: Employee Training and Career Development
FILE DESCRIPTION: Documents establishing policies and standards governing the administration of civilian employee training programs and career development.
DISPOSITION: Permanent. Cut off when cancelled, superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-05
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-06
FILE TITLE: Technical Staff - DoD Wage Fixing Authority
FILE DESCRIPTION: Documents which examine and monitor national civilian salaries, and conditions of employment which pertain to DoD wage fixing functions.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-010, item 606-06
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-07
FILE TITLE: Technical Staff-DoD Non-appropriated Funds
FILE DESCRIPTION: Documents that approve salaries, wages, premium pay, allowances and differentials, and such other pay policies as appropriate for Department of Defense employees paid from non-appropriated funds.
DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 606-07
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-08.1
FILE TITLE: Equal Opportunity – Civilian
FILE DESCRIPTION: Policy on equal opportunity and affirmative action programs. Annual reports from the Services on attainment of affirmative action goals. Policy on compliance requirements, and sanctions if necessary to promote employment and minority business enterprise program. Employment of minorities and women; policies and directives. Liaison correspondence with other Government Agencies and with the Labor Department on training programs.
DISPOSITION: Permanent. Cut off policy when superseded or obsolete; cut off annual reports annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 604-01a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-08.2
FILE TITLE: Equal Opportunity – Civilian: Liaison Correspondence
FILE DESCRIPTION: Liaison correspondence on equal opportunity and affirmative action training programs with other Government Agencies and with the Labor Department.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: NC1-330-77-010, item 604-01b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-09
FILE TITLE: Equal Opportunity – Military
FILE DESCRIPTION: Policy on equal opportunity in the Military Service, compliance monitoring of Services' programs, and reports on the subject. Also policy on off-base housing nondiscrimination, semiannual reports from the Services on number of facilities surveyed, numbers of complaints, etc., and policy on nondiscrimination of federally assisted programs such as with educational institutes - Defense Equal Opportunity Management Institute, establishing and managing the program; charter, correspondence, membership, minutes of the Defense Human Relations Education Board, and statistics on program progress representing percentages of minorities and women by rank or grade and analysis of the data to measure program progress.
DISPOSITION: Permanent. Cut off policy when obsolete or superseded. Cut off statistics and analyses annually. Transfer to NARA 40 years after cutoff.

AUTHORITY: NC1-330-77-010, item 604-02
PRIVACY ACT: Not Applicable

FILE NUMBER: 1802-10
FILE TITLE: Pipeline Program Case Files
FILE DESCRIPTION: Records pertaining to the Pipeline Program, a DoD-wide program designed to return employees currently out on worker's compensation back to work in new positions with new or current agencies that align with their work-related injuries and illnesses. Case files include, but are not limited to:

- Agreements (between employee and DoD Component)
- Information datasheets that include basic information on the employee, i.e.,
    - Current pay
    - Proposed pay
    - Personally Identifiable Information (PII) on employee, insurance and alternate work schedules

DISPOSITION: Temporary. Cut off in the year in which repayment or discharge of debt occurs. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2015-0004-0001
PRIVACY ACT: DOL/GOVT-1

FILE NUMBER: 1802-11
FILE TITLE: Department of Labor (DOL) Unemployment Compensation Invoices
FILE DESCRIPTION: Records documenting unemployment compensation paid by DOL to the States for former DoD employees employed by the Department of Navy (DON) and Departments of Army and Air Force (including National Guard) and the 4th Estate (OSD, Joint Staff and Defense Agencies and Field Activities). Records include, but are not limited to, electronic copies and hard copy billing statements issued by DOL quarterly to DoD containing a break out of compensation paid to the States by DOL.
DISPOSITION: Temporary. Cut off annually (upon reconciliation of charges). Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2015-0004-0002
PRIVACY ACT: DOL/GOVT-1

FILE NUMBER: 1802-12
FILE TITLE: State Detailed Unemployment Compensation Invoices
FILE DESCRIPTION: Records documenting unemployment compensation paid by DOL to the States for former DoD employees employed by the Department of Navy (DON) and Departments of Army and Air Force (including National Guard) and the 4th Estate (OSD, Joint Staff and Defense Agencies and Field Activities). Records (hardcopy and electronic) include but are not limited to detailed list of compensation made to individuals identified as former federal employees; containing Personally identifiable Information (PII) associated with individuals such as full name, address, SSN, dates of employment and compensation paid benefit amounts and number of weeks benefits can be paid.
DISPOSITION: Temporary. Cut off annually, on expiration of eligibility. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2015-0004-0003
PRIVACY ACT: DOL/GOVT-1

FILE NUMBER: 1802-13
FILE TITLE: Unidentified Unemployment Compensation Claims
FILE DESCRIPTION: Compensation claims submitted by the States to DoD for unemployment compensation paid by the States and Territories (including Puerto Rico and the US Virgin Islands) that were misidentified as former federal employees. Records include Pll associated with individuals such as full name, address, SSN, dates of employment, DoD Component/Agency and compensation paid, dates of employment and compensation paid benefit amounts and number of weeks benefits can be paid.
DISPOSITION: Temporary. Cut off in the year in which repayment or discharge of debt occurs. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2015-0004-0004
PRIVACY ACT: DOL/GOVT-1

RECORDS CATEGORY: 1803
CATEGORY TITLE: Military Manpower and Personnel Policy
CATEGORY DESCRIPTION: Records pertaining to military manpower, strength reports, or other personnel policies for the military employees.

FILE NUMBER: 1803-01
FILE TITLE: Compensation Administration
FILE DESCRIPTION: Policy determinations with respect to regulations promulgated by the Per Diem, Travel and Transportation Allowance Committee and the Military Pay and Allowance Committee on basic pay benefits, special and incentive pays, basic allowance for housing and basic allowance for subsistence, travel and transportation allowances. Includes Charters, Compensation studies, recommendations, programs, Joint Federal Travel Regulations (JFTR) trip reports, and minutes of compensation-related committees.
DISPOSITION: Permanent. Cut off policy papers when superseded or obsolete; cut off committee files when no longer needed for operations or when committee is abolished. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1803-01.1

FILE NUMBER: 1803-01.1 – Moved to 1803-01
FILE NUMBER: 1803-01.2 – Consolidated into 212-04
FILE NUMBER: 1803-02 – Consolidated into 103-06.1

FILE NUMBER: 1803-03
FILE TITLE: Officer and Enlisted Management Systems
FILE DESCRIPTION: Files pertaining to the management of Officer and Enlisted personnel. Includes:

- Policy matters on military personnel management systems including grade and rank distribution.
- Analyses of monthly reports, proposed legislation on distribution, Service justifications for distribution of thumb rules. Establishment of grade ratio in certain occupational areas. Procedures in processing all temporary promotion lists.
- Validation of Flag and general officer positions (Officers O7 and above).

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-06
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1803-03.1, 1803-03.2, 1803-03.3

FILE NUMBER: 1803-03.1 – Consolidated into 1803-03
FILE NUMBER: 1803-03.2 – Consolidated into 1803-03
FILE NUMBER: 1803-03.3 – Consolidated into 1803-03
FILE NUMBER: 1803-03.4 – Consolidated into 202-01

FILE NUMBER: 1803-04
FILE TITLE: Personal Commercial Affairs
FILE DESCRIPTION: Policy on life and motor vehicle insurance. Studies that lead to policy directives, consideration of possible legislative changes, etc. Policies on operation of credit unions such as the Pentagon Federal Credit Union. Documents on consumer protection activities and assistance to the Military Services.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-07
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-05
FILE TITLE: Personnel Activities and Facilities
FILE DESCRIPTION: Policies that determine the establishment, continuation and operation of commissary stores; where authorized, surcharges, etc. Policy and coordination with the House Armed Services Committee governing the operation and directives of military exchanges. Policies on the operation of open messes (clubs) and special service activities such as athletic facilities.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-08
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-06.1
FILE TITLE: Personnel Administration – Policy
FILE DESCRIPTION: Policy matters related to

- Awards and decorations such as Joint Service Commendation Medal, Vietnam Service and others of a joint nature
- Medals of Honor Awards
- Foreign awards, trophies and similar devices of recognition
- Morale and recreation as well as utilization of military personnel in such activities
- Duty tour lengths of military and dependents, CONUS and for each area overseas or specific agencies or activities such as attaché duty
- Uniform standard leave/liberty pass, advance, excess convalescent retirement leaves and for special leaves such as after hazardous duty, long holidays, etc.
- Prescribing a uniform report of casualties and assistance to next of kin programs
- Administration of Fleet and Army Post Office

- POW/MIA activities

DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-09a
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-06.2
FILE TITLE: Personnel Administration – Medals of Honor
FILE DESCRIPTION: Case files pertaining to processing of Medal of Honor Awards. **NOTE**: Use 1803-06.1 for policy matters related to Medals of Honor awards.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 30 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-09b
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-06.3
FILE TITLE: Personnel Administration – Correspondence with Citizen Groups
FILE DESCRIPTION: Morale and recreation documents, coordination with the USO, and liaison with interested citizen groups. **NOTE**: Use 1803-06.1 for policy matters pertaining to morale and recreation.
DISPOSITION: Temporary. Cut off annually; destroy 30 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-09c
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-06.4
FILE TITLE: Personnel Administration – POW/MIA
FILE DESCRIPTION: This file consists of Documents on Prisoner of War (POW) and/or Missing in Action (MIA) activities and reports to Congress on this subject. **NOTE**: Use 1803-06.1 for policy matters pertaining to POWs/MIAs.
DISPOSITION: Permanent. Cut off upon close of case. Transfer to NARA 40 years after cutoff
AUTHORITY: NC1-330-77-010, item 607-09d
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-07
FILE TITLE: Armed Forces Chaplain's Board Files
FILE DESCRIPTION: Contains policy documents, charter, general correspondence, directives, advisory group membership and meeting minutes, board minutes, coordination with civilian churches on chaplain matters, and other such matters of mutual interest.
DISPOSITION: Permanent. Cut off policy files when superseded or obsolete. Cut off Committee files annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 605
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-08
FILE TITLE: Compensation Studies

FILE DESCRIPTION: Annual and quadrennial review of military compensation and such other studies and analyses as may be required. Documents which administer and evaluate Enlistment Bonus Programs. Documents which examine and designate places for entitlement to special pay for enlisted personnel outside CONUS. Administration of policy, evaluation of variable reenlistment bonuses and proficiency pay programs. Determinations of the percentage increase in the annual average of the Consumer Price Index.
DISPOSITION: Permanent. Cut off upon completion of review. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-03
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-09
FILE TITLE: National Guard and Reserves Statement of Support Records
FILE DESCRIPTION: Files pertaining to the Employer Support of the Guard and Reserve Program, pledges employers make to support and act as advocates for employee participation in the military. Any employer or corporation is eligible to pledge and sign a personalized Statement of Support to denote their support of employee participation in the National Guard or Military Reserves, and employers are presented with a certificate to mount and display prominently within the company for all their employees and visitors to acknowledge. File includes a list of supportive employers, employer contact and organization information, as well as the number of Guard or Reserve employees in their organization.
DISPOSITION: Temporary. Cut off at the end of the calendar year in which activity has been completed. Destroy 15 years after cutoff.
AUTHORITY: DAA-0330-2016-0016-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 1803-10
FILE TITLE: Retirement and Survivor Benefits
FILE DESCRIPTION: Policy reviews provided for standardization and uniformity in implementing laws pertaining to retirement and survivor entitlement (including former spouse matters) and interactions with social security and payments from the Department of Veterans Affairs. Also, policy directives, studies and recommended alterations to current programs, and initiations of proposed legislation.
DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-10
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1803-01.3

RECORDS CATEGORY: 1804
CATEGORY TITLE: Manpower, Research and Utilization
CATEGORY DESCRIPTION: Records pertaining to military manpower, Service-wide retention, and mobilization material.

FILE NUMBER: 1804-01a – Moved to 1804-01
FILE NUMBER: 1804-01b – Moved to 1804-02
FILE NUMBER: 1804-01c – Moved to 1804-03

FILE NUMBER: 1804-01
FILE TITLE: Procurement Policies and Procedures
FILE DESCRIPTION: Policies pertaining to personnel procurement, including

- Policies pertaining to service-wide recruitment and retention programs
- Policies establishing Armed Forces Examining and Entrance stations
- Procedures on placement of Selective Service Calls, Induction Quotas and other information
- Policy regarding mobilization of the standby reserve
- Regulations on deferments and Selective Service Systems

DISPOSITION: Permanent. Cut off when cancelled or superseded. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 609-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1804-01a

FILE NUMBER: 1804-02
FILE TITLE: Procurement Individual Rejection Reports
FILE DESCRIPTION: Individual rejection reports on Service-wide and retention programs; Military Entrance Processing Stations (MEPS); reports on rejections after reporting; procedures on placement of Selective Service calls, induction quotas and other information. Also includes material pertaining to the mobilization of the Standby Reserve; regulations on deferments and material on the Selective Service System (SSS). **NOTE:** Use 1804-01 for policy documents pertaining to this subject.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: NC1-330-77-010, item 609-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1804-01b

FILE NUMBER: 1804-03
FILE TITLE: Procurement Consolidated Rejection Reports
FILE DESCRIPTION: Consolidated rejection reports on Service-wide and retention programs; Military Entrance Processing Stations (MEPS); reports on rejections after reporting; procedures on placement of Selective Service calls, induction quotas and other information. Also includes material regarding mobilization of the Standby Reserve; regulations on deferments and the Selective Service System (SSS).
NOTE: Use 1804-01 for policy documents pertaining to this subject
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 609-01c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1804-01c

RECORDS CATEGORY: 1805
CATEGORY TITLE: Automated Data Processing Files (Personnel and Readiness)
CATEGORY DESCRIPTION: Digital and/or electronic Personnel and Readiness Systems and the files supporting these systems.

FILE NUMBER: 1805-01
FILE TITLE: Annual Inventory of Commercial or Industrial Activities
FILE DESCRIPTION: This is an electronic file and/or hard copy output pertaining to the cost of such services performed in the Department of Defense and the amount contracted for from non-DoD activities.
DISPOSITION: Temporary. Cut off and destroy when no longer needed for reference.
AUTHORITY: GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1805-02
FILE TITLE: Reserve Components Master History File
FILE DESCRIPTION: Master file recording the strength, force profile, gains and losses of US National Guard and Reserve Forces as well as individual statistics such as education level, used to produce hard copy monthly output, "Official Guard and Reserve Manpower Strength and Statistics."
DISPOSITION: Permanent. Cut off reports annually. Transfer to NARA 25 years after cutoff. **NOTE:** Destroy microfiche and other copies of the monthly reports when no longer required for reference; Destroy master data when no longer required for statistical studies (after next individual update).
AUTHORITY: NC1-330-78-003, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1805-03
FILE TITLE: Retirees Personnel Master File and Survivor Beneficiaries Master File
FILE DESCRIPTION: This is a data bank of all retired personnel input on IT tape from each Military Service finance center. The master file is recreated annually, the name and social security numbers stripped and the data used for actuary studies in the OSD.
DISPOSITION: Temporary. Cut off annually. Destroy 4 years after cutoff.
AUTHORITY: GRS 2.5, item 010 (DAA-GRS-2014-0004-0001)
PRIVACY ACT: DMDC 01

FILE NUMBER: 1805-04
FILE TITLE: Defense Enrollment/Eligibility Reporting System (DEERS)
FILE DESCRIPTION: DEERS is a centralized personnel data system used to provide timely and accurate information on those persons eligible for prescribed medical, dental, life insurance, GI bill benefits and entitlements, and to prevent and detect fraud and abuse in the distribution of such benefits and entitlements. Records are maintained two years online after termination of eligibility. Includes DoD active duty and retired officers and enlisted personnel, members of reserve and guard components, and all civilian employees and retirees. Included are: DEERS master file, codebooks, record layouts, and other technical information required to use the database.
DISPOSITION: Permanent. Cut off (take a snapshot) at end of FY and transfer to NARA in accordance with 36 CFR 1228.270 and 36 CFR 1234.
AUTHORITY: N1-330-03-001, item 9b
PRIVACY ACT: DMDC 02

FILE NUMBER: 1805-05
FILE TITLE: Defense Outreach Referral System (DORS)
FILE DESCRIPTION: Information used to provide prospective employers with a centralized system for locating potential employees. DORS database contains records of current and former Defense military

and civilian personnel and their spouses; U.S. Coast Guard personnel and their spouses; and participating Federal departments' and/or agencies' civilian employees and their spouses who have applied to take part in this job placement program.
DISPOSITION: Temporary. Cut off annually. Delete 5 years after cutoff or when no longer needed for operational purposes, whichever is later.
AUTHORITY: N1-330-03-001, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1805-06
FILE TITLE: Joint Duty Assignment Management Information System (JDAMIS)
FILE DESCRIPTION: Information used to monitor Joint Duty Assignment positions and personnel, and to report to Congress. Database which contains records of all active duty officers who are serving or have served in billets designated as joint duty assignment positions; are attending or have completed joint professional military education schools; are joint specialty officers or nominees.
DISPOSITION: Temporary. Cut off annually. Delete 5 years after cutoff or when no longer needed for operational purposes, whichever is later.
AUTHORITY: N1-330-03-001, item 3
PRIVACY ACT: DMDC 05

FILE NUMBER: 1805-07
FILE TITLE: Federal Credit Agency Debt Collection Database
FILE DESCRIPTION: Information used to assist and implement debt collection efforts by Federal creditor agencies. Database contains records of individuals identified by Federal creditor agencies as delinquent in repayment of debts owed to the U.S. Government. Includes DoD active duty and retired officers and enlisted personnel, members of reserve and guard components, and all civilian employees and retirees.
DISPOSITION: Temporary. Cut off after each match cycle. Destroy 6 months after cutoff.
AUTHORITY: N1-330-03-001, item 5
PRIVACY ACT: DMDC 01

FILE NUMBER: 1805-08
FILE TITLE: Reenlistment Eligible (RECRUIT) Files
FILE DESCRIPTION: Information used to assist recruiters in re-enlisting prior service personnel. Database contains records of former enlisted personnel of the military services who separated from active duty since 1971.
DISPOSITION: Temporary. Cut off and destroy when superseded or when no longer needed for operational purposes, whichever is later.
AUTHORITY: N1-330-03-001, item 7
PRIVACY ACT: TBD

FILE NUMBER: 1805-09
FILE TITLE: Survey and Census Database
FILE DESCRIPTION: Records of census forms completed by military members, civilians, and all persons eligible for DoD benefits. Information in this database are used for policy planning purposes, manpower and benefits research, and other manpower research activities, included are: Survey and Census database master file, codebooks, record layouts, and other technical information required to use the database.

DISPOSITION: Permanent. Cutoff on completion of the report for the DoD office requiring the creation of the report. Transfer master file and system documentation to NARA at cutoff in accordance with the standards of 36 CFR 1228.270 and 36 CFR 1234.
AUTHORITY: N1-330-03-001, item 8a(2)
PRIVACY ACT: DMDC 08

FILE NUMBER: 1805-10
FILE TITLE: Non-Combatant Evacuation and Repatriation Database
FILE DESCRIPTION: Records on all non-combatant evacuees including service members and dependents, DoD and non-DoD employees and dependents, U.S. residents abroad, foreign nationals and corporate employees and dependents. It is used to account for individuals who have been evacuated from emergency situation in foreign countries. Records are maintained online for 1 year. Included are: Non-Combatant Evacuation and Repatriation database master file, codebooks, record layouts, and other technical information required to use the database.
DISPOSITION: Permanent. Cutoff (take a snapshot) upon major event (evacuation). Transfer snapshot (master file and system documentation) to NARA in accordance with 36 CFR 12.35.
AUTHORITY: N1-330-03-001, item 2b
PRIVACY ACT: DMDC 08

FILE NUMBER: 1805-11
FILE TITLE: Defense Manpower Data Center Database
FILE DESCRIPTION: Information used to provide a centralized system within the DoD to assess manpower trends, support personnel functions, perform longitudinal statistical analyses, conduct scientific studies or medical follow-up programs and other related studies/analyses. Database contains information on all personnel/employment/pay records of DoD military and civilian employees, all Federal Civil Service employees, and some civilian agencies. Included are: Defense Manpower Data Center database master file, codebooks, record layouts, and other technical information required to use the database.
DISPOSITION: Permanent. Cutoff (take a snapshot) at end of the FY and transfer master file and system documentation to NARA in accordance with 36 CFR 1228.270 and 36 CFR 1234.
AUTHORITY: N1-330-03-001, item 4b(2)
PRIVACY ACT: DMDC 01

FILE NUMBER: 1805-12 – RESCINDED (DIBRS Federal Information System has been Decommissioned)

FILE NUMBER: 1805-13
FILE TITLE: Defense Civilian Personnel Data System (DCPDS)
FILE DESCRIPTION: The system contains position and control information; position description identifiers; personnel data and projected suspense information for personnel actions; DoD job experience, education, and training; pay data; performance plans, appraisals, closeouts and ratings; professional certificate data; license data; awards information; separation and retirement data; security clearance level data; adverse and disciplinary action data.
DISPOSITION: Temporary. Cut off upon inactivation of personnel. Destroy 25 years after cutoff.
AUTHORITY: N1-330-10-002, item 1
PRIVACY ACT: DPR 34

FILE NUMBER: 1805-14
FILE TITLE: Armed Services Military Accession Testing (ASMAT)

FILE DESCRIPTION: System containing data of the Armed Services Vocational Aptitude Battery (ASVAB), a test administered to individuals to establish eligibility for enlistment, verify enlistment and placement scores, verify retest eligibility, and provide aptitude test scores as an element of career guidance. To include those who subsequently enlisted and those who did not. Master file consists of individual's name, Social Security Number, address, telephone, date of birth, sex, ethnic group identification, educational grade, rank, booklet number of ASVAB test, test date, individual's plans after graduation, individual item responses to ASVAB tests, and test scores.
DISPOSITION: Temporary. Cut off annually. De-identify test results of high school students 6 months after cutoff; de-identify test results for all others 10 years after cutoff. Destroy all test results 50 years after cutoff.
AUTHORITY: N1-330-11-005, item 1
PRIVACY ACT: DMDC 15

FILE NUMBER: 1805-15
FILE TITLE: Assignment Eligibility Screening System
FILE DESCRIPTION: Database designed to screen DoD personnel for:

1) Assignment eligibility to Sexual Assault Coordinators (SARC) and Sexual Assault Prevention and Response (SAPR) Victim Advocates positions;
2) To conduct follow-on inquiries and/or investigate the continued suitability of DoD personnel assigned to these positions. Records may also be used as a management tool for statistical analysis, tracking, reporting, evaluation of program effectiveness and conducting research; and
3) To obtain written consent to conduct/obtain relevant record checks through the DoD Assignment Eligibility Screening consent form.

The master files include but are not limited to responses from Department of Defense Assignment Eligibility Screening Form such as name, former names, and aliases; date and place of birth; social security number; DoD identification number, gender; current address; the states where the individual has lived, worked, and attended school to cover the past ten years, including the present; and criminal history. Dates and types of past background investigations, to include investigations for national security, employment suitability and logical and physical access purposes; adjudicative outcomes resulting from these investigations to include whether prior investigations were adjudicated based on exceptions, deviations, or waivers, denials, revocations, employment suitability debarments, administrative actions, and other adverse actions based on adjudication of investigations; electronic DoD consent form.
DISPOSITION: Temporary. Cut off upon notification of termination/cancellation of assignment. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2016-0011-0001
PRIVACY ACT: Not Applicable

FILE NUMBER: 1805-16
FILE TITLE: Military OneSource (MOS) My Training Hub Learning Management System (LMS) Master Files
FILE DESCRIPTION: DoD-funded program providing information, referral, nonmedical counseling, website, specialty consultations, educational materials, and many other services. Military OneSource services are provided through the call center and website without regard to activation status. My Training Hub Learning Management System is an a-learning platform that enables the management and delivery of learning content and resources to users. The focus is to deliver online courses or training to select audiences, while managing and keeping track of their progress and performance across all types of training activities. Master file includes but is not limited to demographic information from user profile,

course activity information (enrolled, in-progress, and complete), and user system activity such as login and enrollment, course catalog, my profile page, login page, and my training page which provides a record of an individual's specific course activity
DISPOSITION: Temporary. Cut off annually upon close of training. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2016-0006-0001
PRIVACY ACT: DPR 45-DoD

FILE NUMBER: 1805-17
FILE TITLE: Victim Related-Inquiry Tracking Files System
FILE DESCRIPTION: System tracks victim-related inquiries received by the Sexual Assault Prevention and Response Office via e-mail, SAPRO.mil, the DoD Safe Helpline, phone, or mail. Once received, inquiries are referred to the appropriate agency POC and/or to the DoD IG for any complaints concerning the Military Criminal investigative Organization in order to address the issue(s) raised and facilitate a resolution. Master File includes but is not limited to Inquirer's name and contact information (telephone, e-mail address, home address); relationship to the victim; how the inquiry was received (written, email, telephone, SAPRO website, Safe Helpline); type of inquiry; category of inquiry; victim's information (first and last name, service affiliation, current status (active, reserve, retired, discharge, other)); date of incident; year assault was reported.
DISPOSITION: Temporary. Cut off resolved cases at the end of the calendar year. Destroy 25 years after cutoff.
AUTHORITY: DAA-0330-2016-0005-0001
PRIVACY ACT: DHRA 18-DoD

FILE NUMBER: 1805-18
FILE TITLE: Safe Helpline Reportal Database
FILE DESCRIPTION: Master files of the Safe Helpline Reportal System, which serves to enhance victim care and increase victim reporting. System case files supports policy development and statistical analysis, provides usage information and is used to answer congressional inquiries into the DoD Sexual Assault Prevention Program. This information will be captured in the case files used to develop new DoD Wide policies and procedures for the DoD Sexual Assault Prevention Program. Includes, but is not limited to:

- First and Last Name
- Work mail address
- User name of individuals requiring access
- Usage data and statistics on Safe Helpline services.

DISPOSITION: Temporary. Cut off after three consecutive fiscal years of inactivity. Destroy 25 years after cutoff.
AUTHORITY: DAA-0330-2016-0003-0001
PRIVACY ACT: DHRA 18-DoD

FILE NUMBER: 1805-19
FILE TITLE: Safe Helpline Follow-up Support System
FILE DESCRIPTION: Master files of the Safe Helpline Follow-up Support System, which assists staff to engage with visitors beyond initial contact to verify the visitor was able to access needed resources and to ensure a connection was made with the referrals provided by Safe Helpline staff during the initial online or phone session. Information that is collected during a call or online discussion is collated and analyzed, stripped of unnecessary information, and used for indications of program success by DoD SAPRO for research purposes. Includes, but is not limited to:

- Name
- User's duty status (Active duty, Dependent, Transitioning Service Member, DoD Civilian, DoD Contractor, etc.)
- User's preferred phone number(s)
- Resources and referrals provided to the user

DISPOSITION: Temporary. Cut off in the fiscal year in which close-out of communication occurs. Destroy 25 years after cutoff.
AUTHORITY: DAA-0330-2016-0004-0001
PRIVACY ACT: DHRA 18-DoD

FILE NUMBER: 1805-20
FILE TITLE: Defense Competency Assessment Tool (DCAT)
FILE DESCRIPTION: DCAT tracks and manages employee and supervisory competency assessments, provides a gap analysis of current competencies against target level proficiency, and provides gap analysis reports which are used to direct the corrective strategy. Information from DCAT is used to identify current and future competency gaps and requirements of the DoD civilian workforce based on near and long-term organizational goals and to support analytical reporting to Congress. Includes, but is not limited to, DOD ID number (EDIPI), Region ID, Position ID, Email Address, Last Name, First Name, Middle Name, Agency Code, Agency Group, Occupational Series Clear Text, Occupational Series, Organization, Address Line 1, Address Line 2, Address Line 3, Country, Educational Level Civ, Current Pay Plan, Pay Grade, Pay Status, Supervisor Status and responses to employee's and supervisor's assessment.
DISPOSITION: Temporary. Cut off upon completion. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2015-0011-0001
PRIVACY ACT: DMDC 22

FILE NUMBER: 1805-21
FILE TITLE: Investigations and Resolutions Case Management System (IRCMS)
FILE DESCRIPTION: Master files from IRCMS, the Department of Defense's enterprise-wide, web-based tracking application that manages and tracks EEO complaints submitted for investigation. Includes, but is not limited to complainant's:

- Full name, Date of birth, Race, Religion, National origin, and Gender
- Disability information
- Employment information
- Security clearance and educational information (as it relates to the nature of the EEO complaint)
- Prior EEO activity
- Contact Information: Home address and telephone number; work telephone number
- Information about the alleged discrimination basis(es) and requested relief

DISPOSITION: Temporary. Cut off when completed case is returned to the EEO Office of Origin. Destroy 90 days after cutoff.
AUTHORITY: DAA-0330-2015-0010-0001
PRIVACY ACT: DMDC 23-DoD

FILE NUMBER: 1805-22
FILE TITLE: Investigations and Resolutions Case Management System (IRCMS) Metadata Files
FILE DESCRIPTION: Metadata files from the IRCMS System, including but not limited to:

- Delay Request Information
- Request Date

- Cause for Delay
- Delay Day Reason
- Delay Days Type
- Number of Delay Days Requested
- Justification
- Supervisor Approval / Supervisor Decision
- Number of Delay Days Approved
- Supervisor Remarks
- Supervisor
- Record Timestamp
- Created By
- Created Date Updated By
- Updated Date

DISPOSITION: Temporary. Cut off when completed case is returned to the EEO Office of Origin. Destroy 15 years after cutoff.
AUTHORITY: DAA-0330-2015-0010-0002
PRIVACY ACT: DMDC 23-DoD

FILE NUMBER: 1805-23
FILE TITLE: Defense Sexual Assault Incident Database (DSAID)
FILE DESCRIPTION: Centralized, case-level database for the collection of record data regarding incidents of sexual assaults involving a member of the Armed Forces. DSAID contains information on the victim, alleged perpetrator, incident, and case outcomes In connection with the assault.

- Unrestricted Report information contains victim and alleged perpetrator information, Including, but not limited to, the following:
  - Last name, first name, and middle name
  - Type of identification information used (i.e., social security number, passport, U.S. Permanent Residence Card, foreign Identification, etc.)
  - Identification number (for type of Identification referenced above)
  - Birth date
  - Age at the time of incident
  - Gender, race, and ethnicity
  - Victim and alleged perpetrator type (i.e., military, DoD Civilian or contractor)
  - For victims only, information will also include the victim case number (a system generated unique control number)
- Restricted Report records contain information pertaining to the alleged sexual assault that has been de-identified (i.e., contains no personally identifiable information of the victim or the alleged perpetrator)

DISPOSITION: Temporary. Cut off at the end of each Fiscal Year. Destroy 50 years after cutoff.
AUTHORITY: DAA-0330-2013-0005-0001
PRIVACY ACT: DHRA 06-DoD

FILE NUMBER: 1805-24 – Moved to 927-01

FILE NUMBER: 1805-25
FILE TITLE: Department of Defense Suicide Event Report (DoDSER) Master File

FILE DESCRIPTION: Master file for DoDSER includes but are not limited to type of suicide event (non-fatal suicide events), event details, location of event, residence at time of event, circumstance of death, psychological, social history, behavioral, economic, education/training history, name, Social Security Number (SSN), date of birth, gender, race/ethnic group, marital status, rank/pay grade, military service, military status, job title, service duty specialty code, duty environment/status, Unit Identification Code (UIC), permanent duty station, the major command of the permanent duty station, temporary duty station (if applicable), residence address, deployment history, use of military helping services, information regarding the individual's past military experience, medical history, medical facility, unit or military treatment facility where suicide was attempted, behavioral health provider information and form completer information.
DISPOSITION: Temporary. Cut off annually upon separation or retirement of service member. Destroy 75 years after cutoff.
AUTHORITY: DAA-0330-2013-0006-0001
PRIVACY ACT: EDHA 20

FILE NUMBER: 1805-26
FILE TITLE: Department of Defense Suicide Event Report (DoDSER) System Annual Reports
FILE DESCRIPTION: The annual reports of the Department of Defense (DoD) Suicide Event Report (DoDSER) program summarize yearly fatal and nonfatal suicide events reported and submitted by the Services. They are prepared through collaboration by the National Center for Telehealth & Technology (T2) and the Services' suicide prevention program offices. The reports consists of aggregated DoDSER data for the overall DoD and individually for the Air Force, Army, Marine Corps, and Navy. The annual reports include, but are not limited to, the number of Service Members who died by suicide in a given year, the number of suicide attempts, demographic data and other individual characteristics, comparisons with trends of the general US population, and dispositional, personal, contextual, clinical health, historical, developmental, and deployment factors involved in suicides and suicide attempts. These reports provide summary statistics for each year along with detailed tables presented for DoDSER items. **NOTE:** Personally identifiable information is always redacted from the annual reports.
DISPOSITION: Permanent. Cut off annually after report is published. Transfer to NARA 3 years after cutoff.
AUTHORITY: DAA-0330-2013-0006-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 1805-27
FILE TITLE: Interoperability Layer Services (IOLS)
FILE DESCRIPTION: Series of databases used to 1) evaluate an individual's eligibility for access to Department of Defense (DoD) facilities or installations and 2) implement security standards controlling entry to DoD installations and facilities. Contains:

- Identity and credentials of non-DoD persons
- DoD IDs
- Local Population Electronic Data Interchange Person Identifier (LPEDIPI) information
- Certificate tokens
- Security Alerts, which are not only sent to the Physical Access Control Systems (PACS) servers, but also saved in IOLS for reporting to PACS servers **NOTE:** Security Alerts can only be modified by the originating source

DISPOSITION: Temporary. Cut off after no access from all PACS or after all PACS have submitted a de-registration request for individual. Destroy 5 years after cutoff.

AUTHORITY: DAA-0330-2013-0009-0001
PRIVACY ACT: DMDC 16-DoD

FILE NUMBER: 1805-28
FILE TITLE: Recovery Coordination Program Support Solution (RCP-SS)
FILE DESCRIPTION: Online tool that automates the Comprehensive Recovery Plan (CRP), work flow and reporting for ' Recovery Care Coordinators (RCCs). It provides secure, web-based access to all the care management, comprehensive needs assessment, and comprehensive recovery plan tools of the Recovery Coordination Program. RCP-SS supports the recovery coordination of injured service members. Its purpose is to improve the timeliness, efficacy, ·and transparency of the care, management, and transition of recovering Service Members or family members receiving support. The Support · Solution also streamlines data collection to improve Recovery Coordination Program oversight and resource management to ensure the program is sufficiently staffed and the needs of wounded, ill and injured Service members are being met effectively and efficiently. Records include, but not limited to:

- Name, rank/ grade, Military Occupational Specialty (MOS), Social Security Number (SSN) and truncated SSN,
- Department of Defense Identification Number (DODID)/ Electronic Data Interchange personal Identifier (EDIPI),
- Date of birth, current address, home telephone number,
- Service separation information including
    - Permanent Duty Retirement List(PDRL)
    - Temporary Duty Retirement List (TDRL)
    - Medical separation, limited injury and illness-specific medical information
- Other personnel management data, specifically
    - Awards
    - Time in service
    - Education information
    - End active obligated service date
    - Demobilization date
    - Separation date
    - Retirement date
    - Temporary disability retirement list date
    - Permanent disability retirement
    - Spouse, dependents and/or primary caregiver name, address, and telephone number (home, cell and/or work).

DISPOSITION: Temporary. Cut off annually, after the separation/retirement of the service member or termination/retirement of the civilian servant. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2015-0003-0001
PRIVACY ACT: DPR 40-DoD

FILE NUMBER: 1805-29
FILE TITLE: Continuous Information Management Engine (CIME)
FILE DESCRIPTION: Information system used to ensure DoD and Federal, State and Local law enforcement offices are considered in determinations made by the DoD when granting physical access to DoD facilities and installations. CIME database contains:

- Individual data on personnel, including:

  - Identity data (name, SSN, DoB) which is required in order to match against DoD copies of federal databases
  - DoD IDs and Local Population Electronic Data Interchange Person Identifier (LPEDIPis)
  - Copies of the federal databases which are required in order to efficiently obtain security alerts on individuals trying to gain access to DoD facilities and installations
  - Security alerts (alert type, alert source, case number, alert dates) **NOTE:** Security alerts can only be modified by the originating source; CIME pushes these alerts to the Interoperability Layer Service (IoLS) for physical access determinations by the Physical Access Control Systems (PACS) and DoD registration centers
- Security alerts types:
  - Service's Criminal Justice (CJ) I Law Enforcement Alerts – including Suspended, Be on the Lookout (BOLOs), and Debarments
  - National Crime Information Center (NCIC) Alert - a simple flag/alert that directs the local authority to check NCIC for detailed Criminal History Record Information (CHRI)
  - Terrorist Screening Data Base (TSDB) Alert- a simple flag/alert that directs the local authority to contact the DoD Terrorist Screening Center (TSC) to obtain terrorist watch list information or for guidance on further adjudication of the potential person of interest.

DISPOSITION: Temporary. Cut off and destroy individual data on personnel when the individual's access to DoD Installations becomes inactive and Security Alerts when no longer needed.
AUTHORITY: DAA-0330-2013-0018-0001
PRIVACY ACT: DMDC 17-DoD

FILE NUMBER: 1805-30
FILE TITLE: DoD Personnel Security Adjudication System
FILE DESCRIPTION: Master files from the Joint Personnel Adjudication System (JPAS), Joint Adjudication Management System (JAMS), Joint Clearance and Access Verification System (JCAVS), and Defense Information System for Security (DISS). Includes, but is not limited to:

- Information used to view and review adjudication actions, determinations and decisions on summary investigation packages and documenting records conducted by Federal investigative organizations (e.g., U.S. Office of Personnel Management (OPM), etc.) and locator references to such investigations
- Records documenting fitness determinations, Homeland Security Presidential Directive 12 (HSPD-12) access, and personnel security adjudication and management process, to include information on an individual's:
  - Social security number (SSN)
  - DoD Identifier Number (DoD ID)
  - Name (current, former and/or alternate)
  - Date and place of birth
  - Country affiliation
  - Type of DoD affiliation
  - Employment activity, including current employment status
  - Position sensitivity
  - Personnel security investigation basis
  - Status of current adjudicative action
  - Security clearance eligibility and access status, including whether eligibility determination was based on a condition, derived from prescribed investigative standards, or waiver of adjudication guidelines

- Reports of security-related incidents to include
  - Issue files
  - Suspension of eligibility and/or access
  - Denial or revocation of eligibility and/or access
  - Eligibility recommendations or decisions made by an appellate authority
  - Non-disclosure execution dates
  - Indoctrination dates
  - Level(s) of access granted
  - Debriefing date(s) and reasons for debriefing
  - Off-site visit requests
  - Foreign travel and contacts
  - Self-Reporting of required information

DISPOSITION: Temporary. Cut off upon closure of case file (upon notification of separation or retirement of personnel). Destroy 15 years after cutoff.
AUTHORITY: DAA-0330-2013-0019-0001
PRIVACY ACT: DMDC 24-DoD

FILE NUMBER: 1805-31
FILE TITLE: Joint Advertising, Market Research & Studies (JAMRS) Recruiting Database - Commercial Vendor High School and College File Commercial Sources
FILE DESCRIPTION: Files created as a centralized repository of contacts acquired by the DoD from commercial vendor high school and college file commercial sources to assist the Military Services with their direct marketing and recruitment efforts. Through acquiring, compiling, processing and providing as many recruitment aged eligible names as possible, JAMRS consolidates numerous data sources into high quality mailing lists. The master file includes, but is not limited to, full name, gender, address, city, state, zip code and list source code.
DISPOSITION: Temporary. Cut off when one year old, based on mailing usage data. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2014-0008-0001
PRIVACY ACT: DHRA 04

FILE NUMBER: 1805-32
FILE TITLE: Joint Advertising, Market Research & Studies (JAMRS) Recruiting Database – DMV, ASVAB and Selective Service (SSS) Source records
FILE DESCRIPTION: Files created as a centralized repository of contacts acquired by the DoD from Departments of Motor Vehicles (DMVs), Armed Services Vocational Apptitude Battery (ASVAB), and Selective Service (SSS) source records to assist the Military Services with their direct marketing and recruitment efforts. Through acquiring, compiling, processing and providing as many recruitment aged eligible names as possible, JAMRS consolidates numerous data sources into high quality mailing lists. The master file includes, but is not limited to, full name, gender, address, city, state, zip code and list source code.
DISPOSITION: Temporary. Cut off when list is released to the Services, based on mailing usage data. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2014-0008-0002
PRIVACY ACT: DHRA 04

FILE NUMBER: 1805-33
FILE TITLE: Joint Advertising, Market Research & Studies (JAMRS) Recruiting Database – Opt-Outs (aka JAMRS Suppression File)
FILE DESCRIPTION: Information on individuals who have opted out of JAMRS, i.e., whose information has been placed in the JAMRS Suppression File.
DISPOSITION: Temporary. Cut off when the name is added to the JAMRS Suppression File. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2014-0008-0003
PRIVACY ACT: DHRA 04

FILE NUMBER: 1805-34
FILE TITLE: Joint Advertising, Market Research & Studies (JAMRS) Recruiting Database – Contact Lists
FILE DESCRIPTION: Contact lists created to support the Military Departments recruiting and advertising programs, by providing a list of populaces for contact for JAMRS surveys. The master file includes but is not limited to full name, gender, address, city, state, zip code and list source code.
DISPOSITION: Temporary. Cut off after the list has been created. Destroy 1 year after cutoff.
AUTHORITY: DAA-0330-2014-0009-0001
PRIVACY ACT: DHRA 04

FILE NUMBER: 1805-35
FILE TITLE: Secure Web Fingerprint Transmission System (SWFT)
FILE DESCRIPTION: Secure web-based system that allows DoD offices to submit electronic fingerprints (e-fingerprints) and demographic information to DSS for applicants who require an investigation by the Office of Personnel Management (OPM) for a personnel security clearance. Master file includes but are not limited to electronic fingerprints and the corresponding demographic data; such as, name, social security number, place of birth, etc.
DISPOSITION: Temporary. Cut off and destroy 3 years after successful transfer to OPM or 4 years after creation occurs, whichever is sooner.
AUTHORITY: DAA-0330-2014-0011-0001
PRIVACY ACT: DMDC 19-DoD

FILE NUMBER: 1805-36
FILE TITLE: Military OneSource (MOS) Employee Assistance Programs
FILE DESCRIPTION: Employee assistance information and referral records for Active Duty, Guard and Reserve service members, and their families. Information includes, but is not limited to:

- Information pertaining to the person requesting assistance, including
    - An individual's name, participant ID and case number
    - Date of birth
    - Gender
    - Marital status / relationship to service member
    - Rank, unit, branch of military service and military status
    - Current address and mailing address, telephone number, email address,

- Issue/information requested
- Handoff type to contractor, including handoff notes
- Information regarding if interpretation is requested and the language
- Referrals
- Feedback from quality assurance follow-up with participants

DISPOSITION: Temporary. Cut off (close file) after 3 years of continuous inactivity or upon notification of discharge, retirement or separation of the service member. Destroy 10 years after cutoff.
AUTHORITY: DAA-0330-2014-0017-0001
PRIVACY ACT: DPR 45-DoD

FILE NUMBER: 1805-37
FILE TITLE: Military OneSource (MOS) Non-Medical Counseling Records
FILE DESCRIPTION: Confidential comprehensive information and non-medical counseling assistance on aspects of military life (Deployment, reintegration, financial, relationship issues, grief, education, parenting and life skills) to Active Duty, Guard and Reserve service members, and their families. Information includes, but is not limited to:

- Psychosocial histories
- Assessment of personal concerns
- Provider names, phone numbers, and locations
- Authorization numbers
- Outcome summaries

DISPOSITION: Temporary. Cut off (close file) after 3 years of continuous inactivity or upon notification of discharge, retirement or separation of the service member. Destroy 15 years after cutoff.
AUTHORITY: DAA-0330-2014-0017-0002
PRIVACY ACT: DPR 45-DoD

FILE NUMBER: 1805-38
FILE TITLE: Military OneSource (MOS) Call Center Recordings
FILE DESCRIPTION: Authorized recordings of conversations between participants (Service member, veterans and/or dependents) used to provide quality assurance and oversight.
DISPOSITION: Temporary. Cut off after referral to Non-Medical Counseling, or employee assistance program support, information and referral. Destroy 90 days after cutoff.
AUTHORITY: DAA-0330-2014-0017-0003
PRIVACY ACT: DPR 45-DoD

FILE NUMBER: 1805-39
FILE TITLE: Automated Stopper and Referral System (ASARS)
FILE DESCRIPTION: System for administering the Priority Placement Programs (PPP) by providing automated, on-line tools for registering PPP participants and matching them with available positions. It is used by DoD civilian personnel offices to

1. Assist their activities in filling vacant positions and in assisting program registrants in obtaining employment, and
2. Provide resumes to DoD activities for use in assessing qualifications for vacant positions.

It is also used as a management tool for statistical analysis, tracking, reporting, evaluating program effectiveness, and conducting research. Data elements include, but are not limited to PPP participants':

- Full name
- DoD identification (ID) number
- Mailing address, email address, and telephone number
- Salary, occupational experience, education, and training
- Type of appointment eligibility
- Preferences for occupational series, grades and duty locations.

DISPOSITION: Temporary. Cut off after the individual's PPP registration is closed. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2014-0021-0001
PRIVACY ACT: DFMP 06

FILE NUMBER: 1805-40
FILE TITLE: Defense Biometric Identification Data System (DBIDS) Master File
FILE DESCRIPTION: Information system containing personal data about Armed Forces personnel and their family members both active duty and retired, DoD and non-DoD employees and dependents, U.S. residents abroad, foreign nationals, and corporate employees and dependents who have access to U.S. installations in the continental U.S. and overseas. Included are:

- Finger prints, photographs, iris scans, hand geometry template, card issue date and expiration.
- Vehicle information such as manufacturer, model year, color and vehicle type, license plate type and number, decal number, current registration, automobile insurance data, and driver's license data.
- Data on government-issued and personal weapons such as type; serial number; manufacturer; caliber; firearm registration date; and storage location data to include unit, room, building, and phone number.

DISPOSITION: Temporary. Cut off record on deactivation or confiscation of card. Destroy 3-5 years after cutoff or when no longer needed for security purposes, whichever is applicable.
AUTHORITY: N1-330-08-005, item 1
PRIVACY ACT: DMDC 10-DoD

FILE NUMBER: 1805-41
FILE TITLE: Installation Management Reports
FILE DESCRIPTION: User generated and printable reports from DBIDS such as

- Name, grade, Social Security Number, status, date and place of birth, weight, height, eye color, hair color, gender, passport number, country of citizenship, geographic and electronic photographs, and identification card issue and expiration dates.
- Vehicle information such as manufacturer, model year, color and vehicle type, license plate type and number, decal number, current registration, automobile insurance data, and driver’s license data.
- Government-issued and personal weapons such as type; serial number; manufacturer; caliber; firearm registration date; and storage location data to include unit, room, building, and phone number.

DISPOSITION: Temporary. Cut off and destroy data when superseded or when no longer needed for operational purposes, whichever is later.
AUTHORITY: N1-330-08-005, item 2
PRIVACY ACT: DMDC 10-DoD

FILE NUMBER: 1805-42
FILE TITLE: Human Research Protection Program (HRPP) Oversight Review System Files
FILE DESCRIPTION: Case file records providing evidence of the oversight function of HRPP in the area of human research, i.e., the oversight of human research and development activities to ensure that approved research is conducted in accordance with applicable rules and effective guidelines to protect the rights and welfare of the participants. Research protocols include information on the type of research to be done, type of data to be collected, and the collection process (i.e, questionnaire, video tape, audio tape, etc.). The protocols also include documentation used by the researcher such as consent forms, data management plans, copies of posters, ads, or additional information related to their research protocol. The system includes:

- Personal information related to the researcher such as name, address, phone number and investigator role (i.e. Principal or Co-Principal);
- Protocol title and description;
- Data collection information (i.e., type of information to be collected and methods of collection);
- Documents used to advertise research or collect data;
- Human Subjects Training certificates; and
- Exemption Determination Official (EDO) Checklists.

DISPOSITION: Temporary. Cut off upon completion or termination of the research protocol (which coincides with the term of the research). Destroy 10 years cutoff.
AUTHORITY: N1-330-08-008, item 1
PRIVACY ACT: EDHA 18

FILE NUMBER: 1805-43
FILE TITLE: National Language Service Corps (NLSC) Charter Member Records
FILE DESCRIPTION: Case file records that allow U.S. citizens with language skills to self-identify their skills for the purpose of temporary employment on an intermittent work schedule or service opportunities in support of the DoD or another department or agency of the United States where the applicant has been accepted as a Charter Member of the NLSC. The information will be used to determine applicants' eligibility for NLSC membership, to identify and contact NLSC members, and to facilitate travel to foreign work assignments. The informanon collected through this program will be used to contact Charter Members in times of need. Collected information includes:

- Personal information, such as full name, other names used, social security number, DoD ID numbers, citizenship, gender/gender identification, and race/ethnicity, place of birth, birth date, age verification of 18 years, disability information, security clearance, passport information, marital status, blood type
- Physical appearance information, such as photo, , height, hair color, eye color, identifying scars, marks, or tattoos
- Contact information, such as home address, email address, home and mobile telephone numbers, official duty address
- Education information
- Financial information
- Employment information, including military discharge records, whether employment experience includes stints as a federal employee, political appointee, armed forces), anticipated separation date, and actual separation date from service.
- Foreign language information, including foreign language(s) spoken, foreign language proficiency levels, origin of foreign language(s) spoken, English proficiency levels,
- NLSC-assigned control number

- Emergency contact(s) and beneficiary information
- Medical information, including blood type, vaccination information, known medical conditions and prescriptions

DISPOSITION: Temporary. Cut off upon termination of membership. Destroy 4 years cutoff.
AUTHORITY: N1-330-09-002, item 1
PRIVACY ACT: DHRA 07

FILE NUMBER: 1805-44
FILE TITLE: National Language Service Corps (NLSC) Records – Applications of Non-Enrollees
FILE DESCRIPTION: Data collected from individuals who elected not to enroll in the program, including completed applications of qualified non-enrollees, partially completed applications, and applications for unqualified applicants. Collected information includes:

- Personal information, such as full name, other names used, social security number, DoD ID numbers, citizenship, gender/gender identification, and race/ethnicity, place of birth, birth date, age verification of 18 years, disability information, security clearance, passport information, marital status, blood type
- Physical appearance information, such as photo, , height, hair color, eye color, identifying scars, marks, or tattoos
- Contact information, such as home address, email address, home and mobile telephone numbers, official duty address
- Education information
- Financial information
- Employment information, including military discharge records, whether employment experience includes stints as a federal employee, political appointee, armed forces), anticipated separation date, and actual separation date from service.
- Foreign language information, including foreign language(s) spoken, foreign language proficiency levels, origin of foreign language(s) spoken, English proficiency levels,
- NLSC-assigned control number
- Emergency contact(s) and beneficiary information
- Medical information, including blood type, vaccination information, known medical conditions and prescriptions

DISPOSITION: Temporary. Cut off annually. Destroy 4 years cutoff.
AUTHORITY: N1-330-09-002, item 2
PRIVACY ACT: DHRA 07
FILE NUMBER: 1805-45
FILE TITLE: Defense Readiness Reporting System (DRRS) Master Files
FILE DESCRIPTION: DRRS is a network of applications used to collect information related to the capabilities of military forces and the risks associated with them. The system, made up of four major applications (DRRS portal, Group Builder, Force Management Tools, and the Enhanced Status of Resources and Training System (ESCORTS)), displays record/information pertaining to readiness-related decision making. Data measures capability to accomplish assigned missions at all DoD levels, including human resource status information on amount required, authorized, and assigned, as well as limited individual personnel readiness data to include:

- Name
- Social Security Number
- Employer

- Rank/Grade
- Duty Status
- Skill Specialty

NOTE: Readiness Resource data related to an individual (rank/grade, duty status, skill specialty, and related reason codes for readiness posture) can be acquired and displayed for an individual.
DISPOSITION: Permanent. Cut off annually and pre-accession annual snapshots to NARA in five-year blocks. NARA will have legal custody of each snapshot 20 years after pre-accessioning of the block.
AUTHORITY: N1-330-09-006, item 1
PRIVACY ACT: DPR 30 DoD

FILE NUMBER: 1805-46
FILE TITLE: Defense Readiness Reporting System (DRRS) Quarterly Report to Congress
FILE DESCRIPTION: Quarterly report, submitted to Congress, on DoD military readiness. Information in the report includes the results of the most recent joint readiness review or monthly review, including the current information derived from the readiness reporting system.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 20 years after cutoff.
AUTHORITY: N1-330-09-006, item 2
PRIVACY ACT: DPR 30 DoD

RECORDS CATEGORY: 1806
CATEGORY TITLE: Program Integration
CATEGORY DESCRIPTION: Records related to personnel program integration activities.

FILE NUMBER: 1806-01
FILE TITLE: Legal and Selected Policies Files
FILE DESCRIPTION: This file consists of legislative proposals on military personnel matters with supporting documentation, policy matters on discipline, separations, absenteeism, desertions, conscientious objectors, and other special problems such as POWs; annual reports from the Services on status of problems such as number of deserters, courts-martial and the like.
DISPOSITION: Permanent. Cut off legislative proposals and policy when cancelled or superseded or obsolete; cut off reports annually. Transfer to NARA 40 years after cutoff.
AUTHORITY: NC1-330-77-010, item 607-05
PRIVACY ACT: Not Applicable

FILE NUMBER: 1806-02 – RESCINDED
FILE NUMBER: 1806-03 – RESCINDED
FILE NUMBER: 1806-04 – RESCINDED

FILE NUMBER: 1806-05
FILE TITLE: Defense Manpower Requirements – Advice and Assistance
FILE DESCRIPTION: Advice and assistance files on manpower of an inter-Service or inter-Agency nature, based on manpower research documents on the establishment and policy directives for Defense Manpower Data Center (DMDC) Manpower Data Analysis Centers. Source documents for advice and assistance activities includes the collection and analysis of data, reports by Services on improvements affected on manpower management such as positions abolished, and training research and development

programs designed to enhance utilization. **NOTE:** Use 103-01.1 or 103-01.2 for policy matters pertaining to this subject.
DISPOSITION: Temporary. Cut off annually. Destroy 25 years after cutoff.
AUTHORITY: NC1-330-77-010, item 609-03b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1806-05.2

FILE NUMBER: 1806-05.1 – RESCINDED
FILE NUMBER: 1806-05.2 – Moved to 1806-05
FILE NUMBER: 1806-05.3 – RESCINDED
FILE NUMBER: 1806-06.1 – RESCINDED
FILE NUMBER: 1806-06.2 – RESCINDED
FILE NUMBER: 1806-06.3 – Consolidated into 101-01.2
FILE NUMBER: 1806-07 – RESCINDED
FILE NUMBER: 1806-08 – RESCINDED
FILE NUMBER: 1806-09 – RESCINDED
FILE NUMBER: 1806-10 – RESCINDED
FILE NUMBER: 1806-11 – RESCINDED
FILE NUMBER: 1806-12 – Consolidated into 103-04.2
FILE Number: 1806-13 – Consolidated into 1208-01

RECORDS CATEGORY: 1807
CATEGORY TITLE: Family Policy
CATEGORY DESCRIPTION: Records related to personnel family policy activities.

FILE NUMBER: 1807-01.1 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 1807-01.2 – RESCINDED
FILE NUMBER: 1807-01.3 – RESCINDED
FILE NUMBER: 1807-01.4a – Consolidated into 212-04
FILE NUMBER: 1807-01.4b – RESCINDED
FILE NUMBER: 1807-01.5 – Consolidated into 103-02.1
FILE NUMBER: 1807-01.6 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 1807-01.7 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 1807-02
FILE TITLE: Research Data Files in support of Military Community and Family Policy
FILE DESCRIPTION: Research data and all other aspects of mission-related research created in support of Military Community and Family Policy programs such as these files consists of logs, notebooks, cards, forms, electronic files and other media on which observations and data are recorded; records on study participants, interviews, survey questionnaires, images, audios and videos. Records created in processing and analyzing data related to or resulting from the project, including indexes, code cards and sheets, charts, graphs, computer output, tabulations, diagrams or drawing, and intermediate compilations or analyses.

DISPOSITION: Temporary. Cut off annually on completion of research project. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2015-0007-0001
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1808
CATEGORY TITLE: Federal Voting
CATEGORY DESCRIPTION: Records relating to DoD support of voting and the Federal Voting Assistance Program (FVAP).

FILE NUMBER: 1808-01
FILE TITLE: Register, Request and Receive Ballot Process (R3) System Master File
FILE DESCRIPTION: The R3 system allows uniformed and overseas citizens the ability to complete the voter registration/ballot request form and request/receive a blank ballot electronically; complete the Federal Write-In Absentee Ballot if their requested state ballot is not received in time to vote; and, upload the completed, signed SF 76, Registration and Absentee Ballot Request – Federal Post Card Application (FPCA) and SF 186A, Voter's Declaration/Affirmation – Federal Write-In Absentee Ballot (FWAB) for processing by their election official. Information includes name (last, first, middle), date of birth, voting residence, mailing address, affirmation/signature, dependent on state law requirements sex, full or last 4 digits of social security number (SSN), state driver's license or other identification, witness/notary signature, race, telephone number, fax number, email address, political party choice, candidate's name.
DISPOSITION: Temporary. Cut off and destroy upon printing and verification of absentee ballot.
AUTHORITY: N1-330-11-004, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1808-02
FILE TITLE: Federal Voting - DoD Voting Support/Policy
FILE DESCRIPTION: Document prescribing the DoD policy in support of voting and establishing procedures.
DISPOSITION: Permanent. Cut off upon completion of policy case file. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 705-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 216-01

FILE NUMBER: 1808-03
FILE TITLE: Federal Voting – Promotional Material
FILE DESCRIPTION: Promotional material, posters, newscasts, press releases.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 705-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 216-01

FILE NUMBER: 1808-04
FILE TITLE: Federal Voting - Evaluation or Procedures

FILE DESCRIPTION: Participation support reports from Military Departments.
DISPOSITION: Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
AUTHORITY: NC1-330-77-012, item 705-02c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 216-02

RECORDS CATEGORY: 1809
CATEGORY TITLE: Sexual Assault Prevention and Response Records
CATEGORY DESCRIPTION: Records associated with the OUSD(P&R)/Sexual Assault Prevention and Response Office (SAPRO). **NOTE:** See 1805 for automated systems pertaining to SAPRO.

FILE NUMBER: 1809-01
FILE TITLE: Sexual Assault Victim Reporting Preference Statement
FILE DESCRIPTION: Information collected and processed concerning reports of sexual assault involving a member of the Armed Forces or adult military dependents identified in the "Victim Reporting Preference Statement" form. Reporting statements collect information on the victim, including full name, Social Security Number, and DoD Identification Number, as well as the name of the signing Sexual Assault Response Coordinator or SAPR Victim Advocate. These reports may be Restricted or Unrestricted. The form includes information regarding the Restricted and· Unrestricted reporting options, including exceptions to Restricted reporting, and information regarding victim services.
DISPOSITION: Temporary. Cut off annually at the end of the Fiscal Year. Destroy 50 years after cutoff.
AUTHORITY: DAA-0330-2015-0006-0001
PRIVACY ACT: TBD

FILE NUMBER: 1809-02
FILE TITLE: DoD Sexual Assault Forensic Examination Report
FILE DESCRIPTION: Information collected and processed concerning a sexual assault forensic examination (SAFE) performed on a victim in the "DoD Sexual Assault Forensic Examination Report" form. SAFE reports collect information on the victim, including full name, contact information, age, pertinent rryedical history, assault history, and reporting preference; the nature of the incident (e.g. incident date and location, type of assault); and the result of the examination and other forensic and medical tests performed. The form also includes the name, agency, and contact information of personnel involved in collecting and receiving evidence, taking information required by the form, and receiving the report from the victim. These reports may be marked as Restricted or Unrestricted.
DISPOSITION: Temporary. Cut off annually at the end of the Fiscal Year. Destroy 50 years after cutoff.
AUTHORITY: DAA-0330-2015-0006-0002
PRIVACY ACT: TBD

FILE NUMBER: 1809-03
FILE TITLE: DoD Annual Report on Sexual Assault in the Military

FILE DESCRIPTION: Executive summary of sexual assault data collected annually from the Military Services. Report includes status on the Sexual Assault Prevention and Response Program (SAPR), highlights and accomplishments, way ahead, and summary of data, to include:

- Number of reports during the specific time period (restricted and unrestricted)
- Aggregate demographic data in subjects (gender, age, rank)
- Aggregate data on incidents
    - On/off post
    - Length of time between occurrence and reporting of incident
    - Number of completed investigations
- Aggregate data on disposition of subjects
- Action/no action taken)
- If action taken, what type of action, such as court-martial, non-judicial punishment, etc. and
- Specific data regarding the disposition in a sexual assault case, including:
    - Rank and gender of offender
    - Rank and gender of victim
    - Type of action taken against offender
    - Results of the action taken (discharge, reduction in rank, or confinement)

DISPOSITION: Permanent. Cut off a the end of the calendar year in which report is finalized. Transfer to NARA in 5-year blocks after cutoff.

AUTHORITY: N1-330-08-007, item 2

PRIVACY ACT: Not Applicable

SERIES 1900 – DOD SCHOOLS AND INSTITUTIONS

SERIES TITLE: DEPARTMENT OF DEFENSE (DoD) SCHOOLS AND INSTITUTIONS EDUCATION SERIES

SERIES DESCRIPTION: Records described in this series pertain to those created by the OSD schools and institutions. Records address various education programs, planning, supervising and conducting Department of Defense dependents' schools; training and education records of military-type schools; and training provided' by civilian institutions. This does not include the personnel files of educators or administrative personnel.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 1900 Series reflect the education files of DoD schools and educational institutions that fall under the purview of the OSD Records Administrator, including but not limited to the Defense Security Cooperation Agency (DSCA) educational institutions, Defense Acquisition University (DAU), and Department of Defense Education Activity (DoDEA) the Uniformed Services University of the Health Sciences (USUHS).

RECORDS CATEGORY: 1901
CATEGORY TITLE: Student and Academic Files
CATEGORY DESCRIPTION: Records on academic and training progress, continuing education, matriculation into graduate school, non-matriculation, continuing education programs, matriculate admission for schools, student exams, teaching and coursework, instructors' individual student files, instructors' individual graduate school files, and students' thesis and dissertations.

FILE NUMBER: 1901-01
FILE TITLE: USUHS Academic Committee Files
FILE DESCRIPTION: Records of Committees that fall under the purview of USUHS including:

- Student Promotions Committee (SPC)
  - Originals or proceedings of SPC on proficiency, deficiency, graduation, deceleration and/or dis-enrollment of medical students
  - Other matters referred to the SPC
- Continuing Medical Education Committee (CMEC)
  - Originals of proceedings of CMEC regarding all matters relating to the establishment of USUHS sponsored CMEC programs
  - Other materials referred to the CMEC.

NOTE: This academic files do not contain policy material.
DISPOSITION: Temporary. Cut off upon graduation, transfer, withdrawal, or death (GWTD) of student. Destroy 50 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0001
PRIVACY ACT: WUSU03
FORMER FILE NUMBER(s): 912-01, 912-06

FILE NUMBER: 1901-02
FILE TITLE: Defense Academy Credibility Assessment (DACA) Academic Committee Files
FILE DESCRIPTION: Records of proceedings on all matters relating to the Committees that fall under the purview of DACA, such as:

- Curriculum Committee
- Institutional Effectiveness Committee
- Self Study Committee
- All other academic committees that may apply

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0002
PRIVACY ACT: Not Applicable

FILE NUMBER: 1901-03
FILE TITLE: Registrar's Academic and Matriculate Graduate School Files
FILE DESCRIPTION: Information indicating courses attended by individuals, extent of completion, results, aptitudes, and related information. **NOTE:** Do not file policy material with these records. These files may include:

- Individual case files of student training, including
    - Student's academic credit transcripts that list grades and credit hours for each class
    - Results from medical board tests, such as medical boards
    - Teacher evaluations with grade in each subject and /or reason for noncompliance (SPC correspondence, if applicable)
    - Correspondence regarding State and other licensure certification procedures or personal requests for academic transcripts and records related to individual training projects
- Information on classes/ curriculum and the individual students
    - Individual academic verifications
    - Change of letter grade (student)
    - Authorization for release of information or individuals written consent for records disclosure.
- Individual scores, class records, class roster, composite lists, statistical information, and departmental information
- Individual student records containing required records for application / selection / completion of program. Each record also contains information on
    - Education, indicating subject studies, number of quarter credit hours, final grade in each subject, and/or reason for non-completion of the course.
    - Related records and documents required by college/university accrediting organizations.
    - GPN Grade Listings, reports and grade statistics for students.
    - Letter of application, letters of recommendation, and general correspondence, individual students records containing required documentation for application/selection/ completion of program.
    - Application for admission, admission checklist, transcripts, acceptance letters polygraph exam verifications, waiver request/approval, APA academic verifications, certificate/ diploma, professional nominations, and other related registration attendance documents

DISPOSITION: Temporary. Cut off upon graduation, transfer, withdrawal, or death (GWTD) of student. Destroy 50 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0003
PRIVACY ACT: WUSU03
FORMER FILE NUMBER(s): 912-02, 912-04, 912-08

FILE NUMBER: 1901-04
FILE TITLE: School Accreditation Files
FILE DESCRIPTION: Information concerning the school's adherence to standards set by accreditation boards to ensure that courses completed in the DoD schools are accepted for credits at civilian colleges, schools, and institutions. Included are

- Program records containing documentation required for accreditation, such as
  - Classroom and laboratory hours
  - Instructor qualifications
  - Library facilities
  - Self-studies and reviews
  - Other information required by the accrediting body
- Accreditation and policy records and self-study reports prepared in accordance to Accrediting Council for Independent Colleges and Schools (ACICS) guidelines.

DISPOSITION: Temporary. Cut off annually. Destroy 6 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0004
PRIVACY ACT: WUSU03
FORMER FILE NUMBER(s): 912-03, 912-07

FILE NUMBER: 1901-05
FILE TITLE: Non-matriculate Records Files
FILE DESCRIPTION: Application records of students who were selected to attend but did not actually matriculate, and records of applicants who did not successfully meet all entrance requirements as well as those who chose to withdraw during the application process. Records contain applications, transcripts, (from other schools), and other related messages or correspondence.
DISPOSITION: Temporary. Cut off on student's non-matriculate date. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0005
PRIVACY ACT: WUSU04
FORMER FILE NUMBER: 912-05

FILE NUMBER: 1901-06
FILE TITLE: Student Exam, Teacher, and Coursework Preparation Files
FILE DESCRIPTION: Records concerning class/course syllabus, testing and curriculum materials. Includes the following:

- Copies of examination booklets, answer sheets, testing materials, lab sheets, correspondence, and other documentation pertaining to the administration and control of student testing
- Syllabus, course outlines, handouts, textbooks, manuals, and other instructional materials and teaching aids, to include reprints of published literature used in the classroom

- Course announcements, academic calendars consisting of course rotation schedules for 1st through 4th year students or graduate school equivalent, general correspondence, reports, agreements, authorizations, reviews, plans, objectives and other types of records relating to the development, implementation, and administration of the school's or university's teaching/training program, including lecture notes.
- Curriculum approvals and curriculum files
- Correspondence, memorandum of agreements requirements reviews, authorization, enrollment, projection, certification and progress reports, plans, and objectives relative to the establishment and operation of training courses

DISPOSITION: Temporary. Cut off and destroy when superseded or when no longer needed for reference.
AUTHORITY: DAA-0330-2013-0012-0006
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 912-09, 912-10.1b, 912-10.2

FILE NUMBER: 1901-07
FILE TITLE: Teaching, Coursework, and Uniquely Relevant Military Course Files
FILE DESCRIPTION: Syllabuses, course outlines, handouts, textbooks, manuals, and other instructional materials and teaching aids developed by the university/school faculty, to include reprints of published medical literature used in the classroom for uniquely relevant military courses or curriculum, such as battlefield triage, burn treatment, reconstructive surgery and similar topics of significance to military medicine.
DISPOSITION: Permanent. Cut off upon revision or discontinuance. Transfer to NARA in 10 year blocks 25 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0007
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 912-10.1a

FILE NUMBER: 1901-08
FILE TITLE: Instructors' Individual Student Files
FILE DESCRIPTION: Files kept for the convenience of the teaching staff, consisting of materials duplicated in or not appropriate for inclusion in the Academic and Training Progress Case Files, the Matriculate Graduate School Record Files, or other series described elsewhere in this section.
DISPOSITION: Temporary. Cut off and destroy upon graduation, transfer, withdrawal, or death (GWTD) of student.
AUTHORITY: DAA-0330-2013-0012-0008
PRIVACY ACT: WUSU03
FORMER FILE NUMBER(s): 912-11, 912-12

FILE NUMBER: 1901-09
FILE TITLE: Student Theses and Dissertations Files (Office of Graduate Education)
FILE DESCRIPTION: Record copies of masters' theses and doctoral dissertations submitted as requirements for award of an advanced degree in the basic medical sciences. Copies are submitted by each student as follows:

- One to the university library (Non-record copy)

- One to the Department library (Non-record copy)
- One to the Office of Graduate Education (Record copy)

DISPOSITION: Permanent. Cut off upon revision or discontinuance. Transfer to NARA in 10 year blocks 25 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0009
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 912-13

FILE NUMBER: 1901-10
FILE TITLE: Outside Faculty Affiliations and Professional Journal Publication Files
FILE DESCRIPTION: Individual case files maintained by individual faculties that are usually reference in nature and described elsewhere in this schedule. Files consist of

- Information pertaining to outside professional organizations with which faculty members are affiliated as officers, fellows or participants, and may consist of correspondence, agendas, minutes of meetings, newsletters, reports, or other pertinent materials. Affiliations may include but are not limited to such organizations as:
    - The American College of Cardiology
    - American Society for Clinical Investigation
    - American Federation for Clinical Research
    - American College of Physicians
    - Association of American Medical Colleges
    - Association of American Physicians
    - Association of Program Directors in Internal Medicine
    - American Heart Association
    - The American Polygraph Association
- Manuscripts, articles and abstracts written by faculty members in connection with their work at the University for publication in various medical journals, such as American Journal of Cardiology, Medical Times, Internal Medicine, or Family Physician
    - May include both published articles and original manuscripts
    - May also include papers reviewed by USUHS staff

DISPOSITION: Temporary. Cut off and destroy when no longer needed.
AUTHORITY: DAA-0330-2013-0012-0010
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 913-01, 913-02

FILE NUMBER: 1901-11
FILE TITLE: University Affairs Files
FILE DESCRIPTION: Records promoting the continuation of esprit among University graduates of all the Services. Includes records relating to alumni and current students, employment and residency information, correspondence, and other related topics.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: DAA-0330-2013-0012-0011
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 918-01

FILE NUMBER: 1901-12
FILE TITLE: Residency Training Program Files and Academic Training Program Files
FILE DESCRIPTION: Documentation, reports, data and surveys to determine effectiveness of programs. Includes:

- Records created by the USUHS Residency Program in Preventive Medicine and Occupational Medicine, including
  - Agreement files relating to USUHS Residency Program
  - National Capital Consortium training program files
  - Residency administrative and correspondence records
- Records created by the Defense Academy Credibility Assessment Psychophysiological Detection of Deception (DACA PDD) Program
- Formal Articulation Agreements with other Colleges and Universities addressing inter-institutional transfer of student credits
- Documents relating to specific training courses conducted at the activity – both onsite courses and continuing education courses, including
  - Documentation of course content
  - Attendance records
  - Evaluation reports
  - Comments
  - Similar material
- Academic reports / data on number of school enrollment, graduates, failures, and similar categories of reports. Included are reports, printouts, correspondence, and related information
- Instructor records – documents that provide a record of qualifications and effectiveness of instructors, adjunct instructors and guest speakers. Included are
  - Instructor evaluation forms
  - Qualification data
  - Curriculum vitae
  - Related documents
- Training Plans – Correspondence, memoranda of agreements, requirements reviews, authorizations, enrollments, projections, certification and progress reports, plans and objectives relative to the establishment and operation of training courses
- Survey outcomes to include both student and graduate surveys and related documents
- Student critique records

DISPOSITION: Temporary. Cut off upon supersession, cancellation or termination. Destroy 6 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0012
PRIVACY ACT: Not Applicable

FILE NUMBER: 1901-13
FILE TITLE: Residence Training Program Individual Case Files
FILE DESCRIPTION: Individual student case files relating to the USUHS Residency Program in Preventive Medicine and Occupational Medicine conducted by the Preventive Medicine and Biometrics Department and to include the National Capital Consortium training programs.

DISPOSITION: Temporary. Cut off upon graduation, transfer, withdrawal, or death (GWTD) of student. Destroy 50 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0013
PRIVACY ACT: Not Applicable

FILE NUMBER: 1901-14
FILE TITLE: Continuing Education (CE) Program Records
FILE DESCRIPTION: Program records pertaining to continuing education, including:

- Documentation required for accreditation by the American Nurses Credentialing Center's Commission on Accreditation; Accrediting Council for Continuing Medical Education (ACCME); Accrediting Council for Independent Colleges and Schools (ACICS); and similar continuing education accreditation bodies.
- Individual academic records containing documentation on continuing education courses required by accrediting agencies
- Federal Examiners CE credits
- CE student data sheets
- CE student certificates (from other colleges/programs)
- CE student course completion certificate
- CE credit report
- Other CE student related reports and documents

DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0014
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 912-03, 912-07

RECORDS CATEGORY: 1902
CATEGORY TITLE: Department of Defense Educational Activity (DoDEA) Files
CATEGORY DESCRIPTION: Records concerning the planning and management of dependents' schools and educational systems programs. Includes records of students attending DoD operated schools used by school officials, including teachers.

FILE NUMBER: 1902-01
FILE TITLE: General School Administration Files
FILE DESCRIPTION: Information on student administration, curriculum, special education, courses, activities, special programs, and summer school files. **NOTE:** Materials on individual students shall be filed in the student folder. Included are:

- Student administration information such as placement, field trips, scholarships and/or financial aid, bus transportation records, and graduation requirements
- Curriculum files such as curriculum development agendas, records developed and created in task group meetings, minutes, and recommendations applicable to all curriculum areas. These files shall also include general working papers on the particular curriculum for an individual school year. Examples of curriculum files would be:
    - Professional Technical Studies (PTS)
    - Arts and Humanities

    - Early Childhood Education
    - Preschool
    - Health, Drug and/or Alcohol Abuse
    - Language arts
    - English as a Second Language
    - Science
    - Pupil Personnel Services, etc.
- Special Education general non-policy material including reports, correspondence on the planning and development of special education (includes speech, learning disabilities, etc.) The following subdivisions are authorized:
    - Case Study Committee
    - Related Services
- Information on the planning and subsequent issuance of Six-year curriculum renewal plan
- Course offerings to include schedules and lists of courses
- Independent study courses materials, including proposals for or actual study courses
- Office copies of school-wide action plans
- Special programs information that is non-policy in nature related to education, such as the International Art Festival, Teacher-in-Space, Artist in Residence and similar programs
- Summer school program planning and implementation information

DISPOSITION: Temporary. Cut off at end of school year. Destroy 1 year after cutoff, unless needed for further reference, in which case bring forward to current file.
AUTHORITY: DAA-0330-2013-0012-0026
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1902-01, 1902-02a, 1902-02c, 1902-03, 1902-04, 1902-05, 1902-06, 1902-09b, 1902-12, 1902-14

FILE NUMBER: 1902-02
FILE TITLE: Curriculum Files – Minute Summaries
Summaries of minutes on general curriculum development of task group meetings.
DISPOSITION: Temporary. Cut off and destroy when next task group meets.
AUTHORITY: N1-330-87-001, item 6(2)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1902-02b

FILE NUMBER: 1902-02a – Consolidated into 1902-01
FILE NUMBER: 1902-02b – Moved to 1902-02
FILE NUMBER: 1902-02c – Consolidated into 1902-01
FILE NUMBER: 1902-02d – RESCINDED
FILE NUMBER: 1902-03 – Consolidated into 1902-01
FILE NUMBER: 1902-03.1 – Moved to 1902-16
FILE NUMBER: 1902-04 – Consolidated into 1902-01
FILE NUMBER: 1902-05 – Consolidated into 1902-01
FILE NUMBER: 1902-06 – Consolidated into 1902-01

FILE NUMBER: 1902-07
FILE TITLE: System Wide Assessment Files
FILE DESCRIPTION: System-wide assessment results for individual students, as well as aggregated results for classrooms, schools, districts, and areas.
DISPOSITION: Temporary. Cut off at end of school year. Destroy 6 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0028
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1902-07.1, 1902-07.2

FILE NUMBER: 1902-07.1 – Consolidated into 1902-07
FILE NUMBER: 1902-07.2 – Consolidated into 1902-07

FILE NUMBER: 1902-08
FILE TITLE: School Student Records – Secondary School Transcripts
FILE DESCRIPTION: Information on enrollment and registration, such as:

- School registration card files (copies of Sponsor and/or Pupil Registration Cards reflecting enrollment verification, sponsoring agency, and emergency locator information, and similar records)
- Records of student performance (academic, social, and athletic) and recognition
- Student transcripts, standardized achievement test scores, grades, report cards, examples of student work and achievements (copies of report cards that reflect scholastic grades, promotion, or retention)
- Reading records
- Health records
    - Immunization records
    - Parental permission forms
    - Screening results
    - Sports physicals
    - Physician referrals
    - Medication instructions consent form
    - Accident Reports
    - Other, similar information
- Ancillary service records
    - Information on supplemental student services, such as Gifted Program, English as a Second Language (ESL), Compensatory Education, and Reading Improvement; to include:
        - Consultation and referrals
        - Test protocols
        - Assessments and evaluation plans and results
        - Progress and evaluation reports and summaries
        - Teachers' notes
        - General Correspondence
        - Samples of Students' work
        - Related Information

- Letters of recommendation, parental correspondence, other notes, and related correspondence
- Records received from student attendance at other schools

NOTE: Excludes special education information, which must be maintained in the School Special Education Student File (See FN 1902-19). Student records from closed schools (such as Panama) will also use File Number 1902-19.

DISPOSITION: Temporary. Cut off upon graduation, transfer, withdrawal, or death of student. Destroy 50 years after cutoff.

AUTHORITY: DAA-0330-2013-0012-0032

PRIVACY ACT: DoDEA 26

FORMER FILE NUMBER(s): 1903-01, 1903-02, 1903-04, 1903-05, 1904-01, 1904-04, 1904-05, 1904-07, 1904-08

FILE NUMBER: 1902-09

FILE TITLE: School Student Records – Non Secondary School Transcripts

FILE DESCRIPTION: Information on enrollment and registration, such as:

- School registration card files (copies of Sponsor and/or Pupil Registration Cards reflecting enrollment verification, sponsoring agency, and emergency locator information, and similar records)
- Records of student performance (academic, social, and athletic) and recognition
- Student transcripts, standardized achievement test scores, grades, report cards, examples of student work and achievements (copies of report cards that reflect scholastic grades, promotion, or retention)
- Reading records
- Health records
    - Immunization records
    - Parental permission forms
    - Screening results
    - Sports physicals
    - Physician referrals
    - Medication instructions consent form
    - Accident Reports
    - Other, similar information
- Ancillary service records
    - Information on supplemental student services, such as Gifted Program, English as a Second Language (ESL), Compensatory Education, and Reading Improvement; to include:
        - Consultation and referrals
        - Test protocols
        - Assessments and evaluation plans and results
        - Progress and evaluation reports and summaries
        - Teachers' notes
        - General Correspondence
        - Samples of Students' work
        - Related Information
- Letters of recommendation, parental correspondence, other notes, and related correspondence

- Records received from student attendance at other schools

NOTE: Excludes special education information, which must be maintained in the School Special Education Student File (See FN 1902-19). Student records from closed schools (such as Panama) will also use File Number 1902-19.
DISPOSITION: Temporary. Cut off upon transfer, withdrawal or death of student. Destroy 5 years after cutoff
AUTHORITY: DAA-0330-2013-0012-0033
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER(s): 1903-01, 1903-02, 1903-04, 1903-05, 1904-01, 1904-04, 1904-05, 1904-07, 1904-08

FILE NUMBER: 1902-09a – Moved to 1902-17
FILE NUMBER: 1902-09b – Consolidated into 1902-01

FILE NUMBER: 1902-10
FILE TITLE: School Student Records – All Other Files
FILE DESCRIPTION: All other Information on enrollment and registration (than secondary and non-secondary transcripts), such as:

- School registration card files (copies of Sponsor and/or Pupil Registration Cards reflecting enrollment verification, sponsoring agency, and emergency locator information, and similar records)
- Records of student performance (academic, social, and athletic) and recognition
- Student transcripts, standardized achievement test scores, grades, report cards, examples of student work and achievements (copies of report cards that reflect scholastic grades, promotion, or retention)
- Reading records
- Health records
    - Immunization records
    - Parental permission forms
    - Screening results
    - Sports physicals
    - Physician referrals
    - Medication instructions consent form
    - Accident Reports
    - Other, similar information
- Ancillary service records
    - Information on supplemental student services, such as Gifted Program, English as a Second Language (ESL), Compensatory Education, and Reading Improvement; to include:
        - Consultation and referrals
        - Test protocols
        - Assessments and evaluation plans and results
        - Progress and evaluation reports and summaries
        - Teachers' notes
        - General Correspondence

  - Samples of Students' work
  - Related Information
- Letters of recommendation, parental correspondence, other notes, and related correspondence
- Records received from student attendance at other schools

NOTE: Excludes special education information, which must be maintained in the School Special Education Student File (See FN 1902-19). Student records from closed schools (such as Panama) will also use FN 1902-19.
DISPOSITION: Temporary. Cut off upon transfer, withdrawal, or death of student. Destroy 1 year after cutoff.
AUTHORITY: DAA-0330-2013-0012-0034
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER(s): 1903-01, 1903-02, 1903-04, 1903-05, 1904-01, 1904-04, 1904-05, 1904-07, 1904-08

FILE NUMBER: 1902-11
FILE TITLE: General School Administration Staff Development Files
FILE DESCRIPTION: Information on staff development programs conducted by the school, area or other outside sources. Includes training and staff evaluation material.
DISPOSITION: Temporary. Cut off at the end of the school year. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0030
PRIVACY ACT: Not Applicable

FILE NUMBER: 1902-12 – Consolidated into 1902-01

FILE NUMBER: 1902-13
FILE TITLE: Research Project Files
FILE DESCRIPTION: Approved, pending, rejected material on the planning and development of research projects; i.e., research and innovation projects, individual project proposals, etc.
DISPOSITION: Temporary. Cut off upon completion. Destroy 7 years after cutoff, or when no longer needed, whichever is later.
AUTHORITY: DAA-0330-2013-0012-0031
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 1902-13a, 1902-13b

FILE NUMBER: 1902-13a – Consolidated into 1902-13
FILE NUMBER: 1902-13b – Consolidated into 1902-13
FILE NUMBER: 1902-14 – Consolidated into 1902-01

FILE NUMBER: 1902-15
FILE TITLE: DoDEA Education Recruitment and Placement Files, including Employment Application System (EAS) Master File
FILE DESCRIPTION: Recruitment and placement files for DoD Dependent schools. Includes EAS, a web-based online teacher application system for employment to a DoD school overseas. Contains applicant's

personal information, including education, skills/activities, PRAXIS test scores, work experience and any additional experience information. Also includes targeted job(s) and location(s), as well as dates.
DISPOSITION. Temporary. Cut off December 1st of year in which hiring decision was made. Destroy consideration declinations and all other declinations 2 months after cut off , unless applicant has indicated continued interest in the program (by the established deadline), in which case file is brought forward (or may be returned to applicant if requested by the deadline). **NOTE:** Transfer selectees to the Official Personnel File once hiring decision is made.
AUTHORITY: N1-330-87-001, item 1
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 202-08.3a, 202-08.3b, and 202-08.3c

FILE NUMBER: 1902-16
FILE TITLE: School Mediation Agreement and Hearing Results Files
FILE DESCRIPTION: School copy of material on mediations and hearings other than that contained in the individual student record.
DISPOSITION: Temporary. Cut off after final decision. Destroy 20 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0037
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER: 1902-03.1

FILE NUMBER: 1902-17
FILE TITLE: School-Wide Action Plan Files
FILE DESCRIPTION: School copies of all information on the School-Wide Action Plan, to include records on the school improvement plan.
DISPOSITION: Temporary. Cut off at end of school year. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0029
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1902-09a

FILE NUMBER: 1902-18
FILE TITLE: Attendance and Discipline Files
FILE DESCRIPTION: Information reflecting attendance and discipline actions, to include:

- Teacher and principal referrals
- Tardy and/or admission slips
- Correspondence to and from parents
- Student and/or witness statements
- School investigative files
- Disciplinary Committee records
- Similar related information

DISPOSITION: Temporary. Cut off at end of school year. Destroy 1 year after cutoff.
AUTHORITY: DAA-0330-2013-0012-0035
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER: 1904-09

FILE NUMBER: 1902-19
FILE TITLE: School Special Education Student Program Files
FILE DESCRIPTION: All information pertaining to special education, such as:

- Preferrals and referral forms, and when appropriate, samples of student work
- Individual Education Plans
- Case Study Committee minutes, invitations, and reports
- Parental permission to assess
- Disciplinary records, behavior plans, and related information
- Assessment and evaluation reports
- File access records and cross-reference location information
- Results of special education administrative hearings and other informal and formal conflict resolution procedures, such as mediated agreements or settlement records, related service provider reports and teachers' notes relevant to the child's special education program or needs.

NOTE: Information may also be included in school student record files.
DISPOSITION: Temporary. Cut off upon graduation, transfer, withdrawal, or death of student. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0036
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER: 1904-06

FILE NUMBER: 1902-20
FILE TITLE: Teacher Class Register Files
FILE DESCRIPTION: Grade books reflecting daily, weekly, semester, or annual scholastic marks and averages, attendance, teacher comments and/or notes, withdrawal information, and similar records.
DISPOSITION: Temporary. Cut off at end of the school year. Destroy 1 year after cutoff.
AUTHORITY: DAA-0330-2013-0012-0038
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER(s): 1903-06, 1904-10

FILE NUMBER: 1902-21
FILE TITLE: Master Student List Files
FILE DESCRIPTION: A listing of all students, by grade, enrolled in grades K-8, by school year. The list shall annotate when the student entered or withdrew if either action occurs during the school year. If student attends for entire year, then the name is sufficient.
DISPOSITION: Temporary. Cut off at the end of the school year. Destroy 25 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0039
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER: 1903-07

FILE NUMBER: 1902-22
FILE TITLE: Transcript Files
FILE DESCRIPTION: Information consisting solely of the students' permanent records (transcripts) – reflecting grades, course titles, credits, and similarly related information. Transcript may be maintained in the student's record file.

DISPOSITION: Temporary. Cut off upon graduation, transfer, withdrawal, or death of student. Destroy 50 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0040
PRIVACY ACT: DoDEA 26
FORMER FILE NUMBER: 1904-02

FILE NUMBER: 1902-23
FILE TITLE: Transcript Request Files
FILE DESCRIPTION: Request forms and correspondence authorizing release of transcripts and other school student records files.
DISPOSITION: Temporary. Cut off at end of the school year. Destroy 2 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0041
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1904-03

RECORDS CATEGORY: 1903 **–** RESERVED

FILE NUMBER: 1903-01 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1903-02 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1903-03 – Consolidated into 1902-20
FILE NUMBER: 1903-04 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1903-05 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1903-06 – Consolidated into 1902-20
FILE NUMBER: 1903-07 – Moved to 1902-21

RECORDS CATEGORY: 1904 – RESERVED

FILE NUMBER: 1904-01 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1904-02 – Moved to 1902-22
FILE NUMBER: 1904-03 – Moved to 1902-23
FILE NUMBER: 1904-04 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1904-05 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1904-06 – Moved to 1902-19
FILE NUMBER: 1904-07 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1904-08 – Consolidated into 1902-08, 1902-09, or 1902-10, as applicable
FILE NUMBER: 1904-09 – Moved to 1902-18
FILE NUMBER: 1904-10 – Consolidated into 1902-20

RECORDS CATEGORY: 1905
CATEGORY TITLE: Education Systems and Database Files
CATEGORY DESCRIPTION: Electronic systems created specifically to facilitate data production requirements unique to educational organizations.

FILE NUMBER: 1905-01
FILE TITLE: Aspen Student Information System Master File
FILE DESCRIPTION: System used to maintain student information, including attendance and marks, report cards and transcripts, class schedules, and for generating reports. The information, provided by the sponsor, school administrators and teachers, includes but is not limited to student and sponsor demographic information, attendance data, health information, discipline actions, English as a Second Language (ESL) program, Gifted programs, Honors programs, Professional Technical Studies (PTS) Certification and grading information. Data Collection is on the Student Registration Form, DoDEA Form 600; Immunization, and Consent forms.
DISPOSITION. Temporary. Cut off annually at the end of the school year. Destroy 20 years after cutoff.
AUTHORITY: DAA-0330-2012-0007-0001
PRIVACY ACT: DoDEA 26

FILE NUMBER: 1905-02
FILE TITLE: District Profiles Master File
FILE DESCRIPTION: Information system [or database] used to collect data on Local Education Agencies (LEAs) that serve military dependent children. The data is at the macro level; individual data on the performance of DoD dependents is not collected. Master file includes, but is not limited to, public LEA data including the numbers of military connected students, impact aid figures, associated military installations, demographic data, and national, state, and district testing results, including math, science, and English language arts.
DISPOSITION: Temporary. Cut off annually based on school year. Destroy 10 years after cutoff or when no longer needed for analysis.
AUTHORITY: N1-330-10-008, item 1
PRIVACY ACT: Not Applicable

FILE NUMBER: 1905-03
FILE TITLE: Defense Retail Inter-Service Support Program (DRIS) Files
FILE DESCRIPTION: Agreements between DoDEA and Military Services or other Federal Agencies.
DISPOSITION: Temporary. Cut off at close of calendar year. Destroy 1 year after cutoff.
AUTHORITY: DAA-0330-2013-0012-0042
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1914-01

FILE NUMBER: 1905-04
FILE TITLE: Automated Faculty Curriculum Vitae Files
FILE DESCRIPTION: This database is maintained by the Civilian Personnel Directorate and includes fields describing basic biographical and professional-qualifications data on academic faculty members. Hard copy output is furnished users upon request.
DISPOSITION: Temporary. Cut off and destroy individual entries when faculty appointment is terminated. Cut off and destroy file when system is superseded.
AUTHORITY: DAA-0330-2013-0012-0045
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 916-02

FILE NUMBER: 1905-05
FILE TITLE: DoD Postsecondary Education Complaint System (PECS)
FILE DESCRIPTION: Information system containing complaint records regarding postsecondary institutions. The complaint information consists of:

- Name, age range, service branch/affiliation, rank (if available), and contact information (Street address, country, phone number and email)
- Name and contact information of person submitting complaint on behalf of a covered individual (if applicable)
- Type of Federal Benefits used and dollar amounts (i.e., out-of-pocket tuition and/or government tuition credit paid)
- School name and mailing address
- Level of study
- Military education center name and address
- Complaint description
- Case resolution notes

DISPOSITION: Temporary. Cut off upon resolution of the case and transfer a COPY to the FTC's Consumer Sentinel System. Destroy the original master data set 3 years after cutoff.
AUTHORITY: DAA-0330-2013-0017-0001
PRIVACY ACT: TBD

FILE NUMBER: 1905-06
FILE TITLE: School Incident and Accident Injury Reports
FILE DESCRIPTION: Records concerning Serious Incidents Reports (SIRs) or Accident and Injury Reports (AIRs) to any person(s) on or related to DoDEA schools, facilities, or grounds worldwide.
DISPOSITION: Temporary. Cut off at the end of the school year. Destroy 2 years after cutoff (Schools and District Safety and Security Offices) or 5 years after cutoff (Deputy Director's Safety and Security Office), as applicable.
AUTHORITY: N1-330-11-008, item 1
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1906
CATEGORY TITLE: General Supply Accounting
CATEGORY DESCRIPTION: Records pertaining to the policy and support necessary for the effective and efficient operation of the general supply accounting activities of DoDEA.

FILE NUMBER: 1906-01
FILE TITLE: Hand Receipt Account Serial Number Files Register (DODACC)
FILE DESCRIPTION: Registers recording school and activity record account serial numbers and indicating each designation and activity to which assigned.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: N1-330-87-001, item 19
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-02
FILE TITLE: Hand Receipt Account Serial Number Files List (DODACC)
FILE DESCRIPTION: Lists issued periodically that reflect current account serial numbers assigned within the regional geographical area.
DISPOSITION: Temporary. Cut off and destroy when superseded.
AUTHORITY: N1-330-87-001, item 20
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-03 – Consolidated into 204-01

FILE NUMBER: 1906-04
FILE TITLE: Authorized Supply Code Files Registers
FILE DESCRIPTION: Register documents on the assignment of authorized organization supply codes to each school, organization or activity authorized to maintain property on an organization property records.
DISPOSITION: Temporary. Cut off upon cancellation of all supply codes listed on the sheet or in the bound register. Destroy 1 year after cutoff.
AUTHORITY: N1-330-87-001, item 22(1)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1906-04.1

FILE NUMBER: 1906-04.1 – Moved to 1906-04
FILE NUMBER: 1906-04.2 – Consolidated into 204-01

FILE NUMBER: 1906-05
FILE TITLE: Property Officer and/or Custodian Designation Files
FILE DESCRIPTION: Documents reflecting the designation of property officers. Included are letters of appointment and revocation.
DISPOSITION: Temporary. Cut off upon termination of appointment. Destroy 2 years after cutoff.
AUTHORITY: N1-330-87-001, item 23
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-06
FILE TITLE: Stock Level Control Files
FILE DESCRIPTION: Documents on the establishment and amending of stock levels at regional warehouse.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-87-001, item 24
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-07
FILE TITLE: Supply or Equipment Authorization Files
FILE DESCRIPTION: Documents on requests for authorizations for allowances or authority to exceed or change existing authorizations.
DISPOSITION: Tempora103ry. Cut off and destroy when incorporated in a numbered publication or on recession, whichever is sooner.

AUTHORITY: N1-330-87-001, item 25
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-08 – Consolidated into 204-01

FILE NUMBER: 1906-09
FILE TITLE: Hand Receipt Jacket
FILE DESCRIPTION: Document that may be accumulated by the accountable officer that reflect regional property held on memorandum receipts, consisting of property issue slips, turn-in slips, individual and consolidated memorandum receipts, and related papers.
DISPOSITION: Temporary. Cut off and destroy Individual school of activity hand receipts and related papers on inclusion in a consolidated hand receipt or on turn-in of the property issued or other satisfactory accounting of responsibility.
AUTHORITY: N1-330-87-001, item 27
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-10 – Consolidated into 204-01
FILE NUMBER: 1906-11 – Consolidated into 204-01
FILE NUMBER: 1906-12 – Consolidated into 204-01
FILE NUMBER: 1906-13a – Consolidated into 204-01
FILE NUMBER: 1906-13b – Consolidated into 204-01
FILE NUMBER: 1906-14 – Consolidated into 204-01
FILE NUMBER: 1906-15 – Consolidated into 204-01
FILE NUMBER: 1906-16 – Consolidated into 204-01
FILE NUMBER: 1906-17a – Consolidated into 206-09.1
FILE NUMBER: 1906-17a – Moved to 1906-17

FILE NUMBER: 1906-17
FILE TITLE: Reports of Survey Files – All Others
FILE DESCRIPTION: All other files (other than those fixing pecuniary liability) that describe the circumstances and recommended actions concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.
DISPOSITION: Temporary. Cut off upon final action. Destroy 3 years after cutoff.
AUTHORITY: N1-330-87-001, item 35(2)
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-18
FILE TITLE: Report of Survey Control Register
FILE DESCRIPTION: Registers and related documents maintained to control reports of survey.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.
AUTHORITY: N1-330-87-001, item 36
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-19 – Consolidated into 204-01

FILE NUMBER: 1906-20
FILE TITLE: Relief From Responsibility (Liability Admitted) Files
FILE DESCRIPTION: Retained unit copies of DD Form 1311 and DD Form 362 – statements of charges of cash collection vouchers on property that has been lost, damaged, or destroyed, and that liability is admitted by the responsible individual.
DISPOSITION: Temporary. Cut off 3 months after completion (DD Form 1311) or verification that all amounts have been collected (DD Form 362). Destroy 3 months after cutoff.
AUTHORITY: N1-330-87-001, item 38
PRIVACY ACT: Not Applicable

FILE NUMBER: 1906-21 – Consolidated into 206-09.1
FILE NUMBER: 1906-22 – Consolidated into 206-09.1
FILE NUMBER: 1906-23 – Consolidated into 206-09.1

RECORDS CATEGORY: 1907
CATEGORY TITLE: Supply Control and Quantitative Material Requirements Files
CATEGORY DESCRIPTION: Records pertaining to supply control and quantitative requirements of DoDEA.

FILE NUMBER: 1907-01
FILE TITLE: Investment Item Forecasting Files
FILE DESCRIPTION: Documents created in forecasting and computing the requirements for individual investment and selected items of material. Planning documents that provide guidance in computing the requirements for the item, and related papers.
DISPOSITION: Temporary. Cut off upon supersession, or when obsolete, discontinued or removed. Destroy 3 years after superseded or 1 year after obsolete, discontinuance, or removal, whichever is sooner.
AUTHORITY: N1-330-87-001, item 42
PRIVACY ACT: Not Applicable

FILE NUMBER: 1907-02
FILE TITLE: Material Allowance Files
FILE DESCRIPTION: Documents reflecting allowances of material required by and authorized for schools to accomplish both administrative and educational missions. They are used in computing quantitative requirements for material and documents such as operational projects, communications pertaining to the authorization documents, and copies of other plans that provide a basis for computing quantitative requirements.
DISPOSITION: Temporary. Cut off when basic documents become superseded or obsolete. Destroy 3 years after cutoff.
AUTHORITY: N1-330-87-001, item 43
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1908
CATEGORY TITLE: Self-Service Supply Center Files
CATEGORY DESCRIPTION: Records pertaining to the self-service supply activities of DoDEA.

FILE NUMBER: 1908-01
FILE TITLE: Account Authorization Files and Ledger
FILE DESCRIPTION: Documents on the establishment of monetary credit authorization for school and activity supplicants drawing supplies from a self-service supply center.
DISPOSITION: Temporary. Cut off after posting authorization to customers ledger and ledger card. Destroy 1 year after cutoff.
AUTHORITY: N1-330-87-001, item 44
PRIVACY ACT: Not Applicable

FILE NUMBER: 1908-02a – Moved to 1908-02
FILE NUMBER: 1908-02b – Moved to 1908-03

FILE NUMBER: 1908-02
FILE TITLE: Obsolete Authorized Supply Representative Card Files
FILE DESCRIPTION: Obsolete cards identifying individuals as authorized supply representatives, correspondence relating to issuance of monetary credits, and correspondence relating to the account.
DISPOSITION: Temporary. Cut off and destroy after posting entries to the register.
AUTHORITY: N1-330-87-001, item 45(1)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1908-02a

FILE NUMBER: 1908-03
FILE TITLE: Authorized Supply Representative Card Files – Remaining Files
FILE DESCRIPTION: Card identifying individuals as authorized supply representatives, correspondence relating to issuance of monetary credits, and correspondence relating to the account.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-87-001, item 45(2)
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1908-02b

RECORDS CATEGORY: 1909
CATEGORY TITLE: Supply Item Identification Files
CATEGORY DESCRIPTION: Records pertaining to supply item identification activities of DoDEA.

FILE NUMBER: 1909-01
FILE TITLE: Supply Item Identification Files
FILE DESCRIPTION: Documents on proposed original item identification or proposed changes, revisions, transfers, and cancellations of basic names, definitions, descriptions, references, and illustrations for inclusion in supply catalogs. Included are requests for nomenclature and Federal stock numbers, name

and description transmittal forms, reference drawing or illustration sketches, coordination or collaborating actions, and similar documents pertaining to the proposed item identification.
DISPOSITION: Temporary. Cut off upon completion of action. Destroy 4 years after cutoff.
AUTHORITY: N1-330-87-001, item 46
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1910
CATEGORY TITLE: Stock Control and Requisition Files
CATEGORY DESCRIPTION: Records pertaining to stock control and requisition activities of DoDEA.

FILE NUMBER: 1910-01
FILE TITLE: Due-In Document Files
FILE DESCRIPTION: Documents reflecting quantity and type of material due-in that are used as a record of due-in shipments, as a notification of shipment or for purposes of warehouse space utilization planning. Included are copies of requisitions, shipping and delivery orders, and similar documents, but excluding such documents when filed with vouchers to the stock record account.
DISPOSITION: Temporary. Cut off and destroy 6 months after receipt of shipment, or when files have served their purpose, whichever is sooner.
AUTHORITY: N1-330-87-001, item 47
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-02
FILE TITLE: Due-In Document Register Files
FILE DESCRIPTION: Registers recording due-in shipments or notices of shipment.
DISPOSITION: Temporary. Cut off after date of last fiscal year entry. Destroy 1 year after cutoff.
AUTHORITY: N1-330-87-001, item 48
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-03
FILE TITLE: Car Arrival Reporting Files
FILE DESCRIPTION: Documents used to initiate diversions of shipments or immediate reshipment such as car arrival reports.
DISPOSITION: Temporary. Cut off in month after diversion of reshipment. Destroy 3 months after cutoff.
AUTHORITY: N1-330-87-001, item 49
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-04
FILE TITLE: Requisition Suspense and Status Files
FILE DESCRIPTION: Documents maintained by the requisitioner that reflect the supply status of requisitions. Included are copies of requisitions, supply status cards, follow-up data, and reconciliation of open requisitions.
DISPOSITION: Temporary. Cut off after completion of action, on cancellation of requisition or move to completed document file. Destroy 1 year after cutoff.
AUTHORITY: N1-330-87-001, item 50

PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-05
FILE TITLE: Issue History Files
FILE DESCRIPTION: Documents reflecting the record of each material request release order and all supply actions taken on the request.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-87-001, item 51
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-06
FILE TITLE: Requisition Register Files
FILE DESCRIPTION: Registers maintained to record requisitions submitted for supplies to be furnished by procurement activities.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-87-001, item 52
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-07 – Consolidated into 103-13

FILE NUMBER: 1910-08
FILE TITLE: Packaging and Handling Deficiency Reporting Files
FILE DESCRIPTION: Reports submitted by receiving activities on deficiencies in the preservation, packaging, marking, or handling of supplies, equipment, or materials. Included are reports of packaging and handling deficiencies, reports and corrective action and related papers.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-87-001, item 54
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-09 – Consolidated into 204-01
FILE NUMBER: 1910-10 – Consolidated into 204-01

FILE NUMBER: 1910-11
FILE TITLE: Warehouse Stock Availability Reporting Files
FILE DESCRIPTION: Reports prepared periodically listing stock availability balances, which are used primarily for ascertaining availability of supplies to satisfy quantities called for on requisitioning documents and for effecting release of quantities previously due out.
DISPOSITION: Temporary. Cut and destroy after 3 months, or on completion of next report, whichever is sooner.
AUTHORITY: N1-330-87-001, item 57
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-12
FILE TITLE: Warehouse Stock Status and Transaction Analysis Reporting Files

FILE DESCRIPTION: Reports reflecting current balances on a warehouse's stock records or summarizing individual transactions. Included are depot stock individual transactions. Included are depot stock status reports and depot transaction analysis reports.
DISPOSITION: Temporary. Cut off and destroy after stocks depleted.
AUTHORITY: N1-330-87-001, item 58
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-13
FILE TITLE: Model (Service) Stock Files
FILE DESCRIPTION: Documents Maintained as a record of predetermined quantities of specified items reserved for issue to individuals or activities. Included are model stock lists and revisions thereof, property issue slips, and property turn-in slips.
DISPOSITION: Temporary. Cut off and destroy after stocks depleted.
AUTHORITY: N1-330-87-001, item 59
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-14
FILE TITLE: Equipment Table Files
FILE DESCRIPTION: Tables or lists that govern the issue of equipment and supplies to schools and organizations. Included are tables of organization, tables of equipment, and tables of allowances.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-87-001, item 60
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-15
FILE TITLE: Material Handling Equipment Use Files
FILE DESCRIPTION: Documents containing data for use in establishing utilization requirements for materials handling equipment. Included are daily records of materials handling equipment operations, copies of materials handling equipment utilization reports and similar documents.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-87-001, item 61
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-16
FILE TITLE: Customer Supply Assistance Reporting Files
FILE DESCRIPTION: Reports of visits made by regional supply assistance personnel relative to supply assistance provided schools and activities.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-87-001, item 62
PRIVACY ACT: Not Applicable

FILE NUMBER: 1910-17 – Consolidated into 204-01

FILE NUMBER: 1910-18
FILE TITLE: Equipment Management Survey Files
FILE DESCRIPTION: Documents accumulated as a result of conducting on-site review of equipment use and needed for reconciling property accountability records and authorization documents. Included are copies of survey reports, letters of authorization for turn-in and requisitioning of equipment, computer printouts of adjustments and excesses, key punch worksheets, and similar or related documents.
DISPOSITION: Temporary. Cut off and destroy after next survey.
AUTHORITY: N1-330-87-001, item 64
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1911
CATEGORY TITLE: Maintenance Files
CATEGORY DESCRIPTION: Records relating to the management of maintenance activities of DoDEA.

FILE NUMBER: 1911-01
FILE TITLE: Maintenance Summary and Managements Files – Consolidated and Feeder Reports
FILE DESCRIPTION: Consolidated and feeder reports on the summarization of data to the general management of maintenance operations and functions. Copies of various operationally prepared funds (control copies) containing detailed data of value in managing such aspects of maintenance as forecasting workloads, scheduling work for orderly flow, work-time standards and routing of work, parts supply, cost control, quality control, operation improvement are reviewed, analyzed, and summarized.
DISPOSITION: Temporary. Cut off and destroy when extraction of necessary data or no longer needed.
AUTHORITY: N1-330-87-001, item 65
PRIVACY ACT: Not Applicable

FILE NUMBER: 1911-02 – Consolidated into 204-08.1
FILE NUMBER: 1911-03 – Consolidated into 204-08.1

FILE NUMBER: 1911-04
FILE TITLE: Exchange Tag Files
FILE DESCRIPTION: Documents (normally tags) used as receipts for replacement of parts or components.
DISPOSITION: Temporary. Cut off and destroy on return or issue of related equipment.
AUTHORITY: N1-330-87-001, item 68
PRIVACY ACT: Not Applicable

FILE NUMBER: 1911-05 – Consolidated into 204-01

FILE NUMBER: 1911-06
FILE TITLE: Shop Locator Record Files
FILE DESCRIPTION: Location sheets, cards, tags, and other documents constituting a part of a location, inventory, or identification system for equipment sent to shops, or utilized as a check or inventory for such equipment.
DISPOSITION: Temporary. Cut off and destroy reusable forms when filled.
AUTHORITY: N1-330-87-001, item 70

PRIVACY ACT: Not Applicable

FILE NUMBER: 1911-07 – Consolidated into 204-08.1
FILE NUMBER: 1911-08 – Consolidated into 204-08.1

RECORDS CATEGORY: 1912
CATEGORY TITLE: Storage Files
CATEGORY DESCRIPTION: Records pertaining to the management of storage activities of DoDEA.

FILE NUMBER: 1912-01
FILE TITLE: Warehouse Planning and Layout Files
FILE DESCRIPTION: Warehouse, shed, or open storage space planning and layout diagrams, or comparable papers on space planning and layout.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-87-001, item 73
PRIVACY ACT: Not Applicable

FILE NUMBER: 1912-02
FILE TITLE: Locator Record Files
FILE DESCRIPTION: Documents constituting a part of a location system for supplies and equipment, or used as a check or inventory of stock location. Included are space control sheets, location sheets, location cards, bin tags, and comparable documents.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete.
AUTHORITY: N1-330-87-001, item 74
PRIVACY ACT: Not Applicable

FILE TITLE: 1912-03
FILE TITLE: Warehouse Receiving Files
FILE DESCRIPTION: Car or container arrival reports, shipping documents, tallies, or comparable documents retained for the purpose of car spotting, the assignment of labor and equipment, unloading of supplies, and other purposes connected with the receipt of supplies at depot warehouses.
DISPOSITION: Temporary. Cut off upon receipt of shipment. Destroy 3 months after cutoff, or when no longer needed, whichever is sooner.
AUTHORITY: N1-330-87-001, item 75
PRIVACY ACT: Not Applicable

FILE NUMBER: 1912-04
FILE TITLE: Warehouse Shipping Files
FILE DESCRIPTION: Shipping documents, tallies, reports of outbound freight, work assignment sheets used for stock piling, copies of stock or packing tags, or comparable documents retained by the warehouse after shipment and used for the purpose of picking and loading stock for shipment.
DISPOSITION: Temporary. Cut off after shipment. Destroy 3 months after cutoff or when no longer needed, whichever is sooner.
AUTHORITY: N1-330-87-001, item 76

PRIVACY ACT: Not Applicable

FILE NUMBER: 1912-05
FILE TITLE: Labor Pool and Equipment Operating Files
FILE DESCRIPTION: Documents on assignment and utilization of labor and equipment for warehousing activities. Included are work assignment sheets, working reports of the operation of materials handling equipment, daily work reports showing date, shift, cars or trucks loaded or unloaded and comparable documents.
DISPOSITION: Temporary. Cut off monthly. Destroy 6 months after cutoff.
AUTHORITY: N1-330-87-001, item 77
PRIVACY ACT: Not Applicable

FILE NUMBER: 1912-06 – Consolidated into 204-01
FILE NUMBER: 1912-07 – Consolidated into 103-13

FILE NUMBER: 1912-08
FILE TITLE: Transportation Fund Cite and Control Files
FILE DESCRIPTION: Documents constituting a system of control of the identification of separate shipments and fund cited.
DISPOSITION: Temporary. Cut off after date of last shipment. Destroy 6 months after cutoff.
AUTHORITY: N1-330-87-001, item 80
PRIVACY ACT: Not Applicable

FILE NUMBER: 1912-09 – Consolidated into 103-13
FILE NUMBER: 1912-10 – Consolidated into 204-08.1

FILE NUMBER: 1912-11
FILE TITLE: Storage Register Files
FILE DESCRIPTION: Voucher assignment registers, shipping control registers, tally number registers, and comparable devices maintained for storage control purposes.
DISPOSITION: Temporary. Cut off annually. Destroy after 1 year.
AUTHORITY: N1-330-87-001, item 83
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1913 – RESERVED

FILE NUMBER: 1913-01 – Consolidated into 206-09.1

RECORDS CATEGORY: 1914 – RESERVED

FILE NUMBER: 1914-01 – Moved to 1905-03

RECORDS CATEGORY: 1915
CATEGORY TITLE: DoDEA Facilities Files
CATEGORY DESCRIPTION: Records pertaining to the administration of DoDEA Facilities.

FILE NUMBER: 1915 – Consolidated into 208-05
FILE NUMBER: 1915-01 – Consolidated into 204-01
FILE NUMBER: 1915-02 – Moved to 204-13

FILE NUMBER: 1915-03
FILE TITLE: Facilities Construction Files
FILE DESCRIPTION: Contains non-policy procedures and standards documents on facilities.
DISPOSITION: Temporary. Destroy when no longer needed for reference.
AUTHORITY: N1-330-87-001, item 88
PRIVACY ACT: Not Applicable

FILE NUMBER: 1915-04.1 – Consolidated into 204-01
FILE NUMBER: 1915-04.2 – Consolidated into 204-01
FILE NUMBER: 1915-04.3 – Consolidated into 204-01

RECORDS CATEGORY: 1916
CATEGORY TITLE: DoDEA Safety Files
CATEGORY DESCRIPTION: Records pertaining to safety within DoDEA Facilities.

FILE NUMBER: 1916-01
FILE TITLE: Safety and Security Files
FILE DESCRIPTION: Records on the safety and physical security of personnel, students, and material that DoDEA is responsible.
DISPOSITION: Temporary. Cut off annually. Destroy 2 years after cutoff.
AUTHORITY: N1-330-87-001, item 90
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 1916

RECORDS CATEGORY: 1917
CATEGORY TITLE: Multidisciplinary Laboratories (MDL) Files
CATEGORY DESCRIPTION: Records pertaining to the MDL, which is the home base of operations for medical students, including laboratory work and study areas.

FILE NUMBER: 1917-01
FILE TITLE: Executive Chief Proctor (Teaching & Research Support (TRS)) and Chief Proctor Multidisciplinary Laboratories (MDL) Files
FILE DESCRIPTION: Files of the Executive Chief Proctor for TRS and Chief Proctor for MDLs. Includes:

- General correspondence with the National Board of Medical Examiners (NBME) Board
- Orders for tests

- Correspondence to staff and faculty concerning examinations and preparation for proctoring of examinations
- Internal memoranda to request test sites be in order
- Bills for examinations

DISPOSITION: Temporary. Cut off after exam is administered. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0015
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 921-01a

FILE NUMBER: 1917-02
FILE TITLE: National Board of Medical Examiners Answer Sheet Files
FILE DESCRIPTION: Original answer sheets and booklets.
DISPOSITION: Temporary. Cut off and destroy when superseded or no longer needed for business.
AUTHORITY: DAA-0330-2013-0012-0016
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 921-01d

FILE NUMBER: 1917-03
FILE TITLE: National Board of Medical Examiners (NBME) File – Registrar's Office
FILE DESCRIPTION: Comprehensive Part I and Part II given twice a year to second-year medical students maintained by the Registrar's Office. Also includes subject examinations given throughout the year to first through fourth-year medical students. These tests function as elements of the certification process for medical licensure and as measures of academic achievement in individual disciplines. Assistant Dean, Teaching and Research Support and MDL are responsible for the administration and security of all NBME test materials from the date of receipt to the date of their return to the National Board. The Registrar's office maintains individual scores, class records, composite lists, statistical information, and Departmental information (some of this information is on tape); general correspondence from prior years held in Registrar's Office consolidated with TRS.
DISPOSITION: Temporary. Cut off upon graduation, transfer, withdrawal or death (GTWD) of student; destroy 50 years after cutoff.
AUTHORITY: N1-330-91-002, item 921-01b
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 921-01b

FILE NUMBER: 1917-04
FILE TITLE: National Board of Medical Examiners (NBME) File – Academic Department Comprehensives
FILE DESCRIPTION: Comprehensive Part I and Part II given twice a year to second-year medical students that are maintained in other academic offices (other than the Registrar). Also includes subject examinations given throughout the year to first through fourth-year medical students. These tests function as elements of the certification process for medical licensure and as measures of academic achievement in individual disciplines. Assistant Dean, Teaching and Research Support and MDL are responsible for the administration and security of all NBME test materials from the date of receipt to the date of their return to the National Board.
DISPOSITION: Temporary. Cut off and destroy when superseded or when no longer needed.

AUTHORITY: N1-330-91-002, item 921-01c
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 921-01c

FILE NUMBER: 1917-05
FILE TITLE: Anatomical Gift Program Donor Case Files – Accepted Donors
FILE DESCRIPTION: Case Files on individuals who plan to have or have donated their bodies to medical science who have been accepted (i.e., accepted donors). Consists of original legal records of certificate of Body Donation or Certificate of Body Donation by Next of Kin; and State Death Certification Burial-Transit Permit, and Authority to Cremate. Also contained in folder are Reports on Medical History, vital statistics request for Medical/Dental Records Death Call Worksheet, Lab Reports, Authority to Cremate, and copies of all correspondence.
DISPOSITION: Temporary. Cut off upon cremation and/or interment of donor's remains, or upon their return to next-of-kin. Destroy 75 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0017
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 921-02a

FILE NUMBER: 1917-06
FILE TITLE: Anatomical Gift Program Donor Case Files – Pending Donors
FILE DESCRIPTION: Pending case files on individuals who plan to have or have donated their bodies to medical science. Consists of original legal documents of certificate of Body Donation or Certificate of Body Donation by Next of Kin; and State Death Certificate Burial-Transit Permit, and Authority to Cremate. Also contained in folder are Report on Medical history, vital statistics request for Medical/Dental Records Death Call Worksheet, Lab Reports, Authority to Cremate, copies of all correspondence.
DISPOSITION: Temporary. Cut off and destroy when no longer needed.
AUTHORITY: DAA-0330-2013-0012-0018
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 921-02b

RECORDS CATEGORY: 1918
CATEGORY TITLE: Civilian Personnel Academic Appointment Files
CATEGORY DESCRIPTION: Records maintained in the Academic Appointment Section, which prepares appointments, promotions, and tenure materials.

FILE NUMBER: 1918-01
FILE TITLE: Visa Files on Foreign National Employees
FILE DESCRIPTION: Correspondence, memoranda, reports, forms and other types of correspondence regarding individual visa applicants. **NOTE:** Visa applications are copies.
DISPOSITION: Temporary. Cut off after separation. Destroy 20 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0019
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 922-01

FILE NUMBER: 1918-02
FILE TITLE: Faculty Curriculum Vitae Files
FILE DESCRIPTION: Curriculum vitae, faculty appointment letters, reappointment letters and departmental memoranda for both billeted military and adjunct non-billeted military and civilian faculty members. The files are arranged alphabetically in a central file.
DISPOSITION: Temporary. Cut off after termination of faculty member. Destroy 20 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0020
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 922-02

FILE NUMBER: 1918-03
FILE TITLE: Faculty Index Files
FILE DESCRIPTION: Index cards that include name, address, Department and title, and date of appointment of individuals holding academic appointments at the University/Institution, maintained for convenience and reference.
DISPOSITION: Temporary. Cut off and destroy when no longer needed.
AUTHORITY: DAA-0330-2013-0012-0021
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 922-03

FILE NUMBER: 1918-04
FILE TITLE: Academic Appointment Individual Faculty who Work Outside of USUHA Case Files
FILE DESCRIPTION: Copies of USUHS Form 1006 (or its successor), "Request for Approval of Outside Activity," which is used to request permission for employment outside of the USUHS facility, and USUHS Form 1013 (or its successor), "Report on Outside Activity," which is completed by September 10 of that year's activities.
DISPOSITION: Temporary. Cut off upon separation. Destroy 3 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0022
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 922-04

RECORDS CATEGORY: 1919
CATEGORY TITLE: Health Center Files
CATEGORY DESCRIPTION: Records maintained in the Student Health Clinic that cares for military faculty, students and student spouses.

FILE NUMBER: 1919-01
FILE TITLE: Military Faculty and Student Medical Record Files
FILE DESCRIPTION: Health records for students and their dependents, and military faculty used until the time of graduation/elimination of the student.
DISPOSITION: Temporary. Cut off and release to students and spouses upon graduation. Cut off and release records to faculty upon reassignment, retirement or resignation.
AUTHORITY: DAA-0330-2013-0012-0023
PRIVACY ACT: WUSU06

FORMER FILE NUMBER: 924-01

FILE NUMBER: 1919-02
FILE TITLE: Clinic (Health Unit) Scheduling Records
FILE DESCRIPTION: Scheduling records (including Logs or registers) of clinic visits, both occupational and non-occupational). Includes:

- Patient's name, time of appointment, and type of work to be performed
- Details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit
- Notifications about appointment updates
- Patient visit and other scheduling-related statistics

DISPOSITION: Temporary. Cut off annually. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.7, item 010 (DAA-GRS-2017-0010-0001)
PRIVACY ACT: WUSU03
FORMER FILE NUMBER(s): 924-02a, 924-02b

FILE NUMBER: 1919-03
FILE TITLE: Non-Occupational Individual Medical Case Files
FILE DESCRIPTION: Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual's medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes (including laboratory tests (Lab and Pap)). Also referred to as "patient records" in Title 5 Part 293 Subpart E.
DISPOSITION: Temporary. Cut off upon last encounter. Destroy 10 years after cutoff.
AUTHORITY: GRS 2.7, item 070 (DAA-GRS-2017-0010-0012)
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 924-02c

FILE NUMBER: 1919-04
FILE TITLE: Non-Occupational Health and Wellness Program Records
FILE DESCRIPTION: Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes:

- Health risk appraisals
- Biometric testing
- Health coaching
- Disease management
- Behavioral management
- Preventive services
- Fitness programs

DISPOSITION: Temporary. Cut off after the project/activity/ or transaction is completed or superseded. Destroy 3 years after cutoff.
AUTHORITY: GRS 2.7, item 080 (DAA-GRS-2017-0010-0012)
PRIVACY ACT: WUSU03

FILE NUMBER: 1919-05
FILE TITLE: Quarter's Log Books and Student Photo Files
FILE DESCRIPTION: Listings of all students and active duty personnel who are put on quarters while under treatment for illness. Student photos maintained for ease of identification.
DISPOSITION: Temporary. Cut off upon last entry. Destroy 5 years after cutoff.
AUTHORITY: DAA-0330-2013-0012-0024
PRIVACY ACT: WUSU03
FORMER FILE NUMBER(s): 924-03, 924-04

FILE NUMBER: 1919-06
FILE TITLE: Student Name and Address Log Files
FILE DESCRIPTION: Alphabetical list of students by year with their name, address, telephone number and social security number, maintained for convenience.
DISPOSITION: Temporary. Cut off and destroy when superseded.
AUTHORITY: DAA-0330-2013-0012-0025
PRIVACY ACT: WUSU03
FORMER FILE NUMBER: 924-05

FILE NUMBER: 1919-07
FILE TITLE: Medical Student Schedules
FILE DESCRIPTION: Duplicate copies of class schedules maintained for ease of reference.
DISPOSITION: Temporary. Cut off and destroy at the end of the academic year.
AUTHORITY: DAA-0330-2013-0012-0026
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 924-06

RECORDS CATEGORY: 1920
CATEGORY TITLE: Uniformed Services University of the Health Sciences (USUHS) Biomedical Research Files
CATEGORY DESCRIPTION: Records related to the planning, development, and oversight of specific projects and programs of biomedical research performed by USUHS scientists or contractors; experimental, observational and control data; and reports, articles, and data sets.

FILE NUMBER: 1920-01
FILE TITLE: Experimental and Statistical Data Files – End Products
FILE DESCRIPTION: End products such as Progress Reports of findings and conclusions. These files are reports of experimental and statistical data case files (See 1920-02).
DISPOSITION: Permanent. Cut off when project is concluded; transfer to the NARA 20 years after cut off. **NOTE**: Files created in the course of research undertaken at the request of non-DoD agencies, e.g., the NIH, are not covered by this schedule, must be clearly identified, and must be kept separate from defense-related work.
AUTHORITY: N1-330-91-002, item 914-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 914-01a

FILE NUMBER: 1920-02
FILE TITLE: Experimental and Statistical Data Files – All Other Materials
FILE DESCRIPTION: All other materials (other than end products). These files consist of logs, notebooks, cards, forms or other media on which observations and data are recorded; records on patients or volunteers; interviews, questionnaires, examinations, or lab tests, including machine readings and data from slides, specimens or cultures; copies of abstracts of non-clinical records on individuals such as birth and death certificates; records created in processing and analyzing data related to or resulting from the project, including indexes, code cards and sheets, charts, graphs, punch cards, computer output, tabulations, diagrams or drawings; and intermediate compilations or analyses and progress reports with feeder reports and background material.
DISPOSITION: Temporary. Cut off and destroy all other materials when no longer required for research or reference purposes.
NOTE: Those experiments involving human subjects and/or deemed to be of historical significance should be reappraised on an individual basis for permanent retention. Such experiments might deal with a cure of a disease, a major scientific discovery, a major health program, or other event generating great media, public, or historic interest. Notify NARA so that an analysis and appraisal of these experiments can be conducted and appropriate disposition authorized.
Files created in the course of research undertaken at the request of non-DoD agencies, e.g., the NIH, are not covered by this schedule, must be clearly identified, and must be kept separate from defense-related work.
AUTHORITY: N1-330-91-002, item 914-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 914-01b

RECORDS CATEGORY: 1921
CATEGORY TITLE: Uniformed Services University of the Health Sciences (USUHS) Intra- and Extramural Research Protocol and Grant Administration Files
CATEGORY DESCRIPTION: Records pertaining to protocols and grants awarded to the USUHS or the Henry M. Jackson Foundation for the Advancement of Military Medicine (HMJ), which are maintained by the Research Administration Office. **NOTE:** Those projects – whether funded or unfunded – deemed to have historical significance should be appraised on an individual basis for permanent retention. Such projects might deal with cure of a disease, a major scientific discovery, a major health program or other event generating great media, public, or historic interest. Notify RPDD so that an analysis and appraisal of these projects can be conducted and appropriate disposition authorized.

FILE NUMBER: 1921-01
FILE TITLE: Research Protocols and Grants
FILE DESCRIPTION: These files contain the official copy of the protocol or grant describing the nature of the proposed research, methodology involved, projected aims and justifications, notations and records of approval actions, names of principal investigators, project reviews, and related correspondence and memoranda. Files are arranged by investigator's name and Research Administration control number. Files may be maintained in the following status categories:

1. Pending - Waiting approval and/or disapproval and action by grantor.
2. Active - Currently in an approved and/or funded status having passed all stages of review.
3. Historical - Consist of disapproved, unfunded, and withdrawn applications and include total application, summary of review actions, and notification that no award shall be made. Also consist of previously active grants that have expired or terminated.

- Funded Grants and Awards Case Files consist of individual case folders containing the total application, summary of review actions, award notices, progress reports, financial records, audit records, close-out documents and other supporting and related papers maintained as an identifiable entity. They include research project grants, fellowships, training grants, and similar types of grants and awards.
- Unfunded grants or awards consist of disapproved, withdrawn and non-funded grant applications and include the total application, summary of review actions, and notification that no award shall be made.

NOTE: Those projects deemed to have historical significance should be appraised on an individual basis for permanent retention. Such projects might deal with a cure of a disease, a major scientific discovery, a major health program or other event generating great media, public or historical interest.

DISPOSITION: Temporary. Cut off on close-out or expiration of protocol/grant or disapproval of award; destroy 10 years after cut off.

AUTHORITY: GRS 1.2, item 020 (DAA-GRS-2013-0008-0007)

PRIVACY ACT: WUSU09

FORMER FILE NUMBER: 915-01

RECORDS CATEGORY: 1922

CATEGORY TITLE: Uniformed Services University of the Health Sciences (USUHS) Department of Laboratory Animal Medicine (LAM)

CATEGORY DESCRIPTION: Records pertaining to the operation of the LAM that are not described elsewhere in this Records Disposition Schedule.

FILE NUMBER: 1922-01

FILE TITLE: Animal Health Records

FILE DESCRIPTION: These consist of healthcare records for all in-house animal populations of the LAM maintained by the Veterinary Medicine Division and include SF 600, "Chronological Record of Medical Care," weight charts, records of surgical procedures, anesthesiology records. Files are grouped by species (dogs, goats, pigs, cats, pigeons, etc.) and within species by USDA tag number or Laboratory Animal Medicine (LAM) internal control numbers.

DISPOSITION: Temporary. Cut off after death of animal or after completion of protocol, whichever is later. Destroy 3 years after cutoff.

AUTHORITY: N1-330-95-004, item 1

PRIVACY ACT: Not Applicable

FORMER FILE NUMBER: 917-01

FILE NUMBER: 1922-02

FILE TITLE: Animal Husbandry Inventory Sheets

FILE DESCRIPTION: These records are maintained by the Animal Husbandry Division and are used to monitor the condition and status of in-house animal populations and to human contacts with each animal. They consist of inventory sheets kept by species and protocol number, records of temperature and humidity in animal rooms, and information on animal caretakers or technicians documenting each person's work schedule. These records are maintained on inventory sheets and in a mainframe computer.
DISPOSITION: Temporary. Cut off and destroy inventory sheets when superseded. Electronic data may be dumped when no longer needed for backup.
AUTHORITY: N1-330-91-002, item 917-02a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 917-02a

FILE NUMBER: 1922-03
FILE TITLE: Animal Husbandry Daily Log Books
FILE DESCRIPTION: Daily work logs, including daily work assignment sheets and sanitation schedule for animals. These records are maintained by the Animal Husbandry Division and are used to monitor the condition and status of in-house animal populations and to human contacts with each animal. They consist of inventories kept by species and protocol number, records of temperature and humidity in animal rooms, and information on animal caretakers or technicians documenting each person's work schedule. These records are maintained on log books.
DISPOSITION: Temporary. Cut off at the end of the CY. Destroy 72 years after cutoff.
AUTHORITY: N1-330-91-002, item 917-02b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 917-02c

RECORDS CATEGORY: 1923
CATEGORY TITLE: Uniformed Services University of the Health Sciences (USUHS) Pharmacy Files
CATEGORY DESCRIPTION: Records maintained by the USUHS Pharmacy, which provides Departments with necessary pharmaceutical required for laboratory and research protocols.

FILE NUMBER: 1923-01
FILE TITLE: Pharmacy Controlled Substance Form (USUHS 6048 or successor)
FILE DESCRIPTION: Controlled Form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by the Pharmacy. This Form is used to log controlled substances. Requester shall be notified upon arrival of substance.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-01
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-01

FILE NUMBER: 1923-02
FILE TITLE: Departmental Controlled Substance Form (USUHS 6049 or successor)
FILE DESCRIPTION: Controlled form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by Departments or an investigator. Custodians of controlled substances are responsible for safeguarding and maintaining accountability of controlled forms and

substances issued to them. Accountability includes documentation of specific date and time when used, species and identification numbers of animals involved with its use, amounts issued, returned or administered, and on-hand balances. Full sheets are returned to Pharmacy and new sheets issued if a balance remains.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-02
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-02

FILE NUMBER: 1923-03
FILE TITLE: Pharmacy/Departmental Controlled Substances (USUHS Form 6047 or successor)
FILE DESCRIPTION: Receipt and issue records for controlled substances maintained for accountability purposes.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-03
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-03

FILE NUMBER: 1923-04
FILE TITLE: Pharmacy Controlled Substance Sealing Log (USUHS Form 6054 or successor)
FILE DESCRIPTION: Maintained by the Pharmacy for accountability of controlled substances sealed for storage by the Controlled Substance and Alcohol Inventory Board (CSAIB).
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-04
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-04

FILE NUMBER: 1923-05
FILE TITLE: Controlled Substances and Alcohol Inventory Board Inventory Report (USUHS Form 6019, or successor)
FILE DESCRIPTION: Used by the Controlled Substance and Alcohol Inventory Board (CSAIB) to report the results of all inventory actions.
DISPOSITION: Temporary. Cut off annually. Destroy 4 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-05
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-05

FILE NUMBER: 1923-06
FILE TITLE: Request for New Supplies/Pharmaceutical (USUHS Form 6417, or successor)
FILE DESCRIPTION: To request new items be added to those stocked in the Pharmacy.
DISPOSITION: Temporary. Destroy when 2 years old.
AUTHORITY: N1-330-91-002, item 919-06
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-06

FILE NUMBER: 1923-07
FILE TITLE: Controlled Substances Temporary Issue Receipts (USUHS Form 6058, or successor)
FILE DESCRIPTION: Prepared by Controlled Substance Custodian (CSC) for items leaving the physical facility of USUHS for use at a different location. Yellow copy is retained by Custodian.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-07
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-07

FILE NUMBER: 1923-08
FILE TITLE: Controlled Substance Accountability Worksheets
FILE DESCRIPTION: A monthly accountability of controlled substances within a specific Department. Prepared by department Controlled Substance Custodian (CSC).
DISPOSITION: Temporary. Cut off and purge once a year. Destroy 3 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-08
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-08

FILE NUMBER: 1923-09
FILE TITLE: Absolute Alcohol Storage Sheets (USUHS Form 6055 or 6056 or successor)
FILE DESCRIPTION: Completed by investigators, staff and faculty to keep accountability of absolute alcohol stored in Department fire cabinets. These sheets shall be bound in the "USUHS Pharmacy Alcohol Usage Notebook" issued by the Pharmacy to the Controlled Substance Custodian (CSC).
DISPOSITION: Temporary. Cut off after last entry in log. Destroy 1 year after cutoff.
AUTHORITY: N1-330-91-002, item 919-09
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-09

FILE NUMBER: 1923-10
FILE TITLE Controlled Substances and Alcohol Survey Request/Report (USUHS Form 6016 or successor)
FILE DESCRIPTION: Disposal reports of controlled substances that are no longer required.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-10
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-10

FILE NUMBER: 1923-11
FILE TITLE: Department of Justice/Drug Enforcement Administration "Registrants Inventory of Drugs Surrendered" (DEA Form 41, or its successor)
FILE DESCRIPTION: Prepared by the Pharmacy Officer and submitted to DEA to account for the destruction of controlled substances.

DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-11
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-11

FILE NUMBER: 1923-12
FILE TITLE: Prescription Drugs (not Controlled Drugs)
FILE DESCRIPTION: This file includes hand receipts for drugs, needles, and syringes furnished authorization personnel for use in research only.
DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-12
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 919-12

FILE NUMBER: 1923-13
FILE TITLE: Controlled Substances Class I-V
FILE DESCRIPTION: This file consists of copies of the following forms (or their successors):

- USUHS 6048 – Pharmacy Controlled Substance Form;
- USUHS 6049 – Departmental Controlled Substance Form;
- USUHS 6047 – Pharmacy/Departmental Controlled Substance;
- USUHS 6054 – Pharmacy Controlled Substance
- USUHS 6019 – Controlled Substances and Alcohol Inventory Report
- USUHS 6007 – Use of Biohazards, Controlled Substances, and Dangerous Materials
- USUHS I-6404 – Controlled Substances Temporary Issue Receipt
- USUHS 6058 – Controlled Substance Temporary Issue Receipt
- USUHS 6016 – Controlled Substances and Alcohol Survey Request/Report
- DEA Form 41 – Registrants Inventory of Drugs Surrendered
- Department controlled substances accountability worksheets.

DISPOSITION: Temporary. Cut off annually. Destroy 10 years after cutoff.
AUTHORITY: N1-330-91-002, item 919-13
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 1924
CATEGORY TITLE: Uniformed Services University of the Health Sciences (USUHS) Environmental Health and Occupational Safety Files
CATEGORY DESCRIPTION: Records maintained by the Environmental Health and Occupational Safety (EHS) Division, pertaining to the health and safety programs unique to the USUHS. They include data on radiation dosimetry, radiation monitoring, radioactive waste disposal, accidents involving radioactive materials, testing, inspection and calibration of equipment, and radiation safety training and Occupational Health Branch.

FILE NUMBER: 1924-01
FILE TITLE: Radiation Protection Surveys - X-ray Surveys - Reports of Local X-ray System Surveys

FILE DESCRIPTION: Includes x-ray system measurements, evaluation of system for compliance with Federal Regulations, and recommendations.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff (10 CFR 20.2103).
AUTHORITY: N1-330-91-002, item 920-01
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-01

FILE NUMBER: 1924-02
FILE TITLE: Radiation Protection Surveys - Radioisotope Laboratories
FILE DESCRIPTION: Reports of laboratory surveys for compliance with Federal and USUHS Regulations. Includes tests for radioactive contamination of laboratories and or equipment.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff (10 CFR 20.2103).
AUTHORITY: N1-330-91-002, item 920-02
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-02

FILE NUMBER: 1924-03
FILE TITLE: Radiation Protection Surveys - Radioisotope Packages
FILE DESCRIPTION: Reports of surveys for radioactive contamination of incoming or outgoing packages.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff (10 CFR 20.2103).
AUTHORITY: N1-330-91-002, item 920-03
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-03

FILE NUMBER: 1924-04
FILE TITLE: Radiation Protection Training – Training Materials
FILE DESCRIPTION: Information relating to training materials, aids, and notification of courses, including information about preparing and presenting local training courses on methods of controlling, preventing, and dealing with exposure of people and the environment to ionizing radiation. Included are locally developed training materials and aids.
DISPOSITION: Temporary. Cut off and destroy when superseded or obsolete
AUTHORITY: N1-330-91-002, item 920-04a
PRIVACY ACT: WUSU08
FORMER FILE NUMBER: 920-04a

FILE NUMBER: 1924-05
FILE TITLE: Radiation Protection Training – Attendance, Grades
FILE DESCRIPTION: Training attendance, grades and dates of attendance for local training courses on methods of controlling, preventing, and dealing with exposure of people and the environment to ionizing radiation. Included are notifications of training sessions, rosters of graduation from courses with grades and attendance dates, and similar information.
DISPOSITION: Temporary. Cut off and destroy upon termination of license, following Nuclear Regulatory Commission (NRC) instructions.

AUTHORITY: N1-330-91-002, item 920-04b
PRIVACY ACT: WUSU08
FORMER FILE NUMBER: 920-04b

FILE NUMBER: 1924-06
FILE TITLE: Radiation Standard Operating Procedures (SOPs)
FILE DESCRIPTION: SOPs maintained by radiation safety officers that prescribe procedures for procurement, use, disposal, and control of radiation sources.
DISPOSITION: Temporary. Cut off and destroy when SOP is superseded or on disposal of the radiation source, whichever is sooner.
AUTHORITY: N1-330-91-002, item 920-05
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-05

FILE NUMBER: 1924-07
FILE TITLE: Radiation Analyses
FILE DESCRIPTION: Information on detecting and recording levels of radiation or radioactivity in material samples or objects, and the environment where materials are used. Included are chemical and radiation analysis reports, process control analysis reports, leak and wipe tests, air biological, water, soil and vegetation samples and similar reports, logs, or information.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff (10 CFR 20.2102 and 10 CFR 35.59(d)).
AUTHORITY: N1-330-91-002, item 920-06
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-06

FILE NUMBER: 1924-08
FILE TITLE: Radionuclide Experimental Authorization (REA)
FILE DESCRIPTION: Information containing authorization for a Principal Investigator to use radioactive material. All information such as application to use material, requests for user status, requests for protocol reviews, and information needed to maintain the REA are included.
DISPOSITION: Temporary. Cut off and destroy upon termination of license (10 CFR 20.2102(b)).
AUTHORITY: N1-330-91-002, item 920-07
FORMER FILE NUMBER: 920-07

FILE NUMBER: 1924-09
FILE TITLE: Radiation Sources Accounting Files – Sealed Sources
FILE DESCRIPTION: Information related to sealed sources accumulated by radiation safety personnel in controlling the receipt, retire, use, storage, and disposal of radioactive materials and other radiation sources. Included are records of material movements, instructions concerning movements, registers, issue receipts, inventory and material accounting records, waste disposal reports, computer data bases, and similar information.
DISPOSITION: Temporary. Cut off after final disposition of source. Destroy 5 years after cutoff (10 CFR 35(d)(g).

AUTHORITY: N1-330-91-002, item 920-08a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-08a

FILE NUMBER: 1924-10
FILE TITLE: Radiation Sources Accounting Files - Disposal
FILE DESCRIPTION: Records of radioactive waste disposal accumulated by radiation safety personnel in controlling the receipt, retire, use, storage, and disposal of radioactive materials and other radiation sources. Included are records of material movements, instructions concerning movements, registers, issue receipts, inventory and material accounting records, waste disposal reports, computer data bases, and similar information.
DISPOSITION: Temporary. Cut off and destroy upon termination of license, following NRC instructions (10 CFR 20.210(b)(4)).
AUTHORITY: N1-330-91-002, item 920-08b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-08b

FILE NUMBER: 1924-11
FILE TITLE: Personnel Dosimetry Files – Administering the Program
FILE DESCRIPTION: Administrative data pertaining to administering program, and individual requests maintained on recording and reporting external or internal exposure to ionizing radiation. Included are records of all dosimeters processed for evaluation, consolidated reports of dosimeter evaluations, and similar information.
DISPOSITION: Temporary. Cut off after the individual terminates from USUHS. Destroy 5 years after cutoff (10 CFR 20.2104(f)).
AUTHORITY: N1-330-91-002, item 920-09a
PRIVACY ACT: WUSU10, WUSU13
FORMER FILE NUMBER: 920-09a

FILE NUMBER: 1924-12
FILE TITLE: Personnel Dosimetry Files – DD Forms 1141
FILE DESCRIPTION: Information on recording and reporting external or internal exposure to ionizing radiation. Included are DD Form 1141, "Record of Occupational Exposure to ionizing Radiation," or its successor.
DISPOSITION: Temporary. Cut off and destroy upon termination of license (10 CFR 20.2106(f)).
AUTHORITY: N1-330-91-002, item 920-09b
PRIVACY ACT: WUSU10, WUSU13
FORMER FILE NUMBER: 920-09b

FILE NUMBER: 1924-13
FILE TITLE: Personnel Dosimetry Files – Bioassay Data and Calculations – Positive Results
FILE DESCRIPTION: Bioassay Data and Calculation information on recording and reporting external or internal exposure to ionizing radiation where the results are positive. Included are records of all

dosimeters processed for evaluation, consolidated reports of dosimeter evaluations, and similar information.
DISPOSITION: Temporary. Cut off annually. Destroy 75 years after cutoff (10 CFR 20.2106(f)).
AUTHORITY: N1-330-91-002, item 920-09c(1)
PRIVACY ACT: WUSU10, WUSU13
FORMER FILE NUMBER: 920-09c(1)

FILE NUMBER: 1924-14
FILE TITLE: Personnel Dosimetry Files – Bioassay Data and Calculations – Negative Results
FILE DESCRIPTION: Bioassay Data and Calculation information on recording and reporting external or internal exposure to ionizing radiation where the results are negative. Included are records of all dosimeters processed for evaluation, consolidated reports of dosimeter evaluations, and similar information.
DISPOSITION: Temporary. Cut off annually and destroy 5 years after cutoff (10 CFR 20.2106(f)).
AUTHORITY: N1-330-91-002, item 920-09c(2)
PRIVACY ACT: WUSU10, WUSU13
FORMER FILE NUMBER: 920-09c(2)

FILE NUMBER: 1924-15
FILE TITLE: Radiation Safety Committee Files
FILE DESCRIPTION: Information relating to review, evaluation and approval or disapproval of the use of sources of ionizing radiation; procedures and conditions controlling such uses; and qualifications of individual users. Included are minutes of meetings, recommendation pertaining items considered by the committee and similar information.
DISPOSITION: Temporary. Cut off and destroy upon termination of license (10 CFR 20.2102(b)).
AUTHORITY: N1-330-91-002, item 920-10
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-10

FILE NUMBER: 1924-16
FILE TITLE: Nuclear Regulatory Commission (NRC) Radiation Inspections
FILE DESCRIPTION: Information that supplements surveys at local levels. It evaluates and provides guidance on eliminating potential hazards using radiation sources. Such inspections shall be provided by the Nuclear Regulatory Commission.
DISPOSITION: Temporary. Cut off and destroy upon termination of license, following NRC guidelines (10 CFR 20.2102(b)
AUTHORITY: N1-330-91-002, item 920-11a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-11a

FILE NUMBER: 1924-17
FILE TITLE: Radiation Inspections – All Others

FILE DESCRIPTION: Information that supplements surveys at local levels. It evaluates and provides guidance on eliminating potential hazards using radiation sources. Such inspections shall be provided by Department of Defense or other Federal Agencies.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff or on completion of the next comparable survey, whichever is sooner (10 CFR 20.2102 (b)).
AUTHORITY: N1-330-91-002, item 920-11b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-11b

FILE NUMBER: 1924-18
FILE TITLE: Radiation Incident Files – Overexposure and ALARA Reports
FILE DESCRIPTION: Overexposure and As Low as Reasonably Achievable (ALARA) reports containing information about investigating and reporting cases of overexposure of individuals and the environment to ionizing radiation; and comparable incidents involving radioactive materials. Included are telegraphic reports of incidents, reports of overexposure, ALARA investigations, laboratory spills, reports of loss or theft of radioactive materials, and similar information.
DISPOSITION: Temporary. Cut off annually. Destroy 75 years after cutoff (10 CFR 20.2106(f)).
AUTHORITY: N1-330-91-002, item 920-12a
PRIVACY ACT: WUSU11
FORMER FILE NUMBER: 920-12a

FILE NUMBER: 1924-19
FILE TITLE: Radiation Incident Files – Other Reports
FILE DESCRIPTION: Other reports (than overexposure or ALARA reports) containing information about investigating and reporting cases of overexposure of individuals and the environment to ionizing radiation; and comparable incidents involving radioactive materials. Included are telegraphic reports of incidents, reports of overexposure, investigations, laboratory spills, reports of loss or theft of radioactive materials, and similar information.
DISPOSITION: Temporary. Cut off annually. Destroy 30 years after cutoff (10 CFR 20.2106(f)).
AUTHORITY: N1-330-91-002, item 920-12b
PRIVACY ACT: WUSU11
FORMER FILE NUMBER: 920-12b

FILE NUMBER: 1924-20
FILE TITLE: Radioactive Material Licensing
FILE DESCRIPTION: Information relating to obtaining a Nuclear Regulatory Commission License to procure and use ionizing radiation sources. Included are license applications, coordinating actions, licenses, permits, and amendments thereto, and similar information.
DISPOSITION: Temporary. Cut off and destroy upon termination of license.
AUTHORITY: N1-330-91-002, item 920-13
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-13

FILE NUMBER: 1924-21

FILE TITLE: Instrument and Source Calibration Files - Certificates
FILE DESCRIPTION: Certificates on calibrating radiation sources and instruments that measure radiation. Included are manufacturers and locally developed calibration forms and records pertaining to calibration frequency, and similar information.
DISPOSITION: Temporary. Cut off after disposal of the related radiation sources. Destroy 3 years after cutoff (10 CFR 20.2103).
AUTHORITY: N1-330-91-002, item 920-14a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-14a

FILE NUMBER: 1924-22
FILE TITLE: Instrument and Source Calibration Files – Logs and Other Papers
FILE DESCRIPTION: Logs and other papers on calibrating radiation sources and instruments that measure radiation. Included are calibration logs and similar information.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff (10 CFR 20.2103(a)).
AUTHORITY: N1-330-91-002, item 920-14b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-14b

FILE NUMBER: 1924-23
FILE TITLE: Bioenvironmental Engineering Case Files
FILE DESCRIPTION: These files consist of records created in the course of monitoring health and safety conditions in the workplace and include annual health and safety survey reports, occupational exposure evaluations, assessments and controls data, hazardous material and agent information, and environmental assessments and worksite management practices.
DISPOSITION: Temporary. Review each file at the end of the calendar year and cut off inactive materials. Destroy 40 years after cut off (20 or 29 CFR 1910-20).
AUTHORITY: N1-330-91-002, item 920-15
PRIVACY ACT: WUSU14
FORMER FILE NUMBER: 920-15

FILE NUMBER: 1924-24
FILE TITLE: Hazardous Waste Manifests – Internal Manifests
FILE DESCRIPTION: These files are maintained in the Bioenvironmental Engineering Branch and consist of internal manifests of hazardous material disposal.
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff (40 CFR 262.40).
AUTHORITY: N1-330-91-002, item 920-16a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-16a

FILE NUMBER: 1924-25
FILE TITLE: Hazardous Waste Manifests – DD 1348-1 Forms
FILE DESCRIPTION: These files are maintained in the Bioenvironmental Engineering Branch and consist of DD 1348-1, "Released/Receipt Document" Forms.

DISPOSITION: Temporary. Cut off and destroy upon termination of license, following EPA guidelines.
AUTHORITY: N1-330-91-002, item 920-16b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-16b

FILE NUMBER: 1924-26
FILE TITLE: Bioenvironmental Engineering (BEE) Database
FILE DESCRIPTION: Computer database for management of BEE information such as chemical inventories, facility utilization, workload scheduling and other such information pertinent to monitoring ongoing programs. Backups are performed weekly.
DISPOSITION: Temporary. Cut off and delete information in the database when no longer needed. **NOTE:** Use File Number 920-08 for related records.
AUTHORITY: N1-330-91-002, item 920-17
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-17

FILE NUMBER: 1924-27
FILE TITLE: Log and Summary of Occupational Injuries and Illnesses (USUHS Form No. 200, or successor)
FILE DESCRIPTION: Records injuries and illnesses and notes of the extent and outcome of each case. **NOTE:** Not every injury or illness occurring in the workplace is recordable.
DISPOSITION: Temporary. Cut off annually. Destroy 75 years after cutoff.
AUTHORITY: N1-330-91-002, item 920-18
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-18

FILE NUMBER: 1924-28
FILE TITLE: Supervisor's Report of Accident
FILE DESCRIPTION: Consists of EHS Form 6012 (or successor), "Supervisor's Report of Accident," which serves as an additional record of information pertaining to on-the-job injuries or incidents.
DISPOSITION: Temporary. Cut off annually. Destroy 75 years after cutoff.
AUTHORITY: N1-330-91-002, item 920-19
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 920-19

RECORDS CATEGORY: 1925
CATEGORY TITLE: Administration Files
CATEGORY DESCRIPTION: Records relating to the performance of routine administration functions not covered elsewhere in this schedule.

FILE NUMBER: 1925-01
FILE TITLE: Weekly Activity Report – Deputy Dean Memoranda
FILE DESCRIPTION: Activities of all departments in the University compiled weekly and submitted by the Deputy Dean (OASD(HA).

DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-91-002, item 923-01a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 923-01a

FILE NUMBER: 1925-02
FILE TITLE: Weekly Activity Report – Memoranda To Deputy Dean
FILE DESCRIPTION: Activities of all departments in the University, submitted from each Department to the Deputy Dean for compilation weekly.
DISPOSITION: Temporary. Cut off monthly. Destroy 4 months after cutoff.
AUTHORITY: N1-330-91-002, item 923-01b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 923-01b

FILE NUMBER: 1925-03
FILE TITLE: Weekly Activity Report – Department Copies
FILE DESCRIPTION: Departmental copies of activities of all departments in the University compiled weekly.
DISPOSITION: Temporary. Cut off annually. Destroy 1 year after cutoff.
AUTHORITY: N1-330-91-002, item 923-01c
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 923-01c

SERIES 2000 – DOT&E

SERIES TITLE: DIRECTOR OF OPERATIONAL TEST AND EVALUATION (DOT&E)

SERIES DESCRIPTION: Records described in this series relate to operational test and evaluation (OT&E) and live fire test and evaluation (LFT&E) in the DoD. Includes, but is not limited to the:

- Documentation of the Director's role in oversight and in prescribing OT&E and LFT&E policies and procedures, and for the composition and operations of the Major Range and Test Facility Base within the Department of Defense;
- Guidance and consultation with respect to specific testing, monitoring and reviewing OT&E and LFT&E in the DoD;
- Coordination of testing conducted jointly by more than one military department or Defense Agency;
- Review and associated recommendations on all budgetary and financial matters on testing and evaluation, including the test and evaluation infrastructure; and
- Development and distribution of testimonies and the DOT&E's annual report to Congress.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 2000 Series reflect the mission of the Office of the Director of Operational Test and Evaluation (DOT&E).

RECORDS CATEGORY: 2001
CATEGORY TITLE: Office of the Science Advisor
CATEGORY DESCRIPTION: Records pertaining to the Office of the Science Advisor.

FILE NUMBER: 2001-01
FILE TITLE: Records of the Office of the Science Advisor
FILE DESCRIPTION: These files are accumulated in the course of providing scientific advice, technical guidance, review, and consultation to the Director on all test and evaluation matters relating to major and special interest DoD programs.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed for reference purposes.
AUTHORITY: N1-330-92-002, item 1
PRIVACY ACT: Not Applicable

RECORDS CATEGORY: 2002
CATEGORY TITLE: OT&E Resource Oversight Files
CATEGORY DESCRIPTION: Records accumulated in the offices of the Principal Deputy and the Deputy Director for Resources and Ranges in the course of tracking the long- and short-range planning and integration of OT&E and LFT&E test and evaluation infrastructure programs. They are used to track program budgets, test and evaluate infrastructure investments, test and evaluate science and technology programs, and to conduct the planning and acquisition of test resources (targets, ranges, and threat models acquired from foreign or domestic sources). They may also contain documents on personnel,

security, budgets, congressional correspondence and testimonies, test and evaluation infrastructure and military construction spending, real estate acquisition and airspace, land space, and sea space (to include attendant sustainment environmental issues such as noise abatement, forestry, wildlife, and encroachment). These files cover the development of test programs through the short-term (three years prior to major testing of a program) to the time they are removed from DOT&E oversight. While these files may duplicate some of the material included in the Program Files, they are maintained separately from them.

FILE NUMBER: 2002-01
FILE TITLE: Resource Oversight Files
FILE DESCRIPTION: These files consist of reports such as Institute for Defense Analyses (IDA), support contractors, other federal agencies, budget tracking, congressional, GAO, and IG; other documentation of test resource materials such as copies of the Test and Evaluation Master Plans (TEMPS) and test resource planning and investment strategy materials.
DISPOSITION: Temporary. Cut off upon removal of the program from the DOT&E oversight. Destroy 15 years after cutoff.
AUTHORITY: N1-330-92-002, item 3
PRIVACY ACT: Not Applicable

FILE NUMBER: 2002-02a – Consolidated into 103-10
FILE NUMBER: 2002-02b – Consolidated into 103-13

RECORDS CATEGORY: 2003
CATEGORY TITLE: Program Files
CATEGORY DESCRIPTION: Action officers files accumulated in the offices of the Deputy Directors for Conventional, Strategic, and C3I Systems, and Live Fire Test and Evaluation that pertain to system requirements and program objectives, threat assessments, testing program resources, and the program decision process. Included are such documents as analyses, assessments, periodic and one-time reports, general correspondence, GAO and IG audit material, news reports, and other documentation on testing and development programs that individual action officers deem appropriate for inclusion in a program-specific file.

FILE NUMBER: 2003-01
FILE TITLE: Plans and Assessments File
FILE DESCRIPTION: Test and Evaluation Master Plans (TEMP), including approval and disapproval correspondence; test plans consisting of approval and/or disapproval correspondence and test concept briefings; test and evaluation reports, including interim reports, Quicklooks and status reports; development testing and evaluation (DT&E) plans and reports (accumulated only as required); DOT&E assessments submitted to House and Senate committees, the SecDef, USD(AT&L), and the Military Services consisting of Beyond Low-rate Initial Production (BL-RIP) reports and annual reports which synopsize current programs; and operational and live fire test data utilized in support of DOT&E analyses and assessments.
DISPOSITION: Permanent. Cut off upon completion of testing. Transfer to NARA 15 years after cutoff.
AUTHORITY: N1-330-92-002, item 6

PRIVACY ACT: Not Applicable

FILE NUMBER: 2003-02
FILE TITLE: Requirements Documentation Files
FILE DESCRIPTION: These files may include mission area analyses (MAA) of generic requirements tied to a specific weapons system; mission need statements (MNSs) or element need statements (MENS) that further define the MAA and establish operational requirements; stand-alone operational requirement documents that further define the MENS and include operational requirements (OR), system operational requirements documents (SORD), joint system operational requirements (JSOR), tentative operational requirements (TOR), and operational and/or maintenance concept documents; cost and/or operational effectiveness analyses that support milestone acquisition points; system concept papers; program baseline documents; and DCP or Service-equivalent documents. Includes:

- Threat documentation which consists of service-generated and DIA-approved system threat assessment (STA) and threat scenarios.
- Test program resource documents which include test program outlines and documentation on resource issues.
- Program Decision Documentation consisting of committee (conventional, strategic, and C3I, and live fire program) and the Defense Acquisition Board (DAB) books and copies of the acquisition decision memorandums (ADMs).
- Trip reports, meeting minutes, and internal correspondence files.
- GAO/IG audit material and related correspondence. News reports, magazine articles, and other open-source published materials accumulated at the discretion of individual action officers that pertain to on-going programs.
- IDA and other support documentation consisting of task orders, technical reports, and budget and/or cost reports.

DISPOSITION: Temporary. Cut off upon removal of program from DOT&E oversight. Destroy 15 years after cutoff.
AUTHORITY: N1-330-92-002, item 7
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER(s): 2003-02.01, 2003-02.02, 2003-02.03, 2003-02.04, 2003-02.05

FILE NUMBER: 2003-02.01 – Consolidated into 2003-02
FILE NUMBER: 2003-02.02 – Consolidated into 2003-02
FILE NUMBER: 2003-02.03 – Consolidated into 2003-02
FILE NUMBER: 2003-02.04 – Consolidated into 2003-02
FILE NUMBER: 2003-02.05 – Consolidated into 2003-02

SERIES 2100 – RESERVED

SERIES TITLE: RESERVED

SERIES 2200 – DRUG ENFORCEMENT AND SUPPORT

SERIES TITLE: COORDINATOR FOR DRUG ENFORCEMENT POLICY AND SUPPORT

SERIES DESCRIPTION: Records described in this series relate to the role of the Coordinator as the principal staff assistant and advisor to the Secretary of Defense for drug control policy, requirements, priorities, systems, resources, and programs. Includes, but is not limited to, the following:

- Policies, analysis, advice, recommendations, and guidance on DoD drug control plans and programs;
- Development of systems and standards for the administration and management of these plans and programs;
- Promulgated plans, programs, actions, and taskings pertaining to the DoD drug control program;
- Review, evaluation, coordination, and monitoring of drug control plans and programs to ensure adherence to approved policies and standards;
- Promotion of coordination, cooperation, and mutual understanding within the Department of Defense, Congress, and between the Department of Defense and other Federal Agencies, State and local governments, and the civilian community.

The Coordinator also serves on boards, committees, and other groups pertaining to drug control matters; is the point of contact for the Office of the Director of National Drug Control Policy and other Federal and State agencies; participates in and overs and monitors planning, programming, and budgeting for the DoD counter-drug mission; coordinates and monitors DoD support of civilian counter-drug law enforcement; coordinates and monitors DoD support for the detection and monitoring of maritime and aerial transit of illegal drugs into the United States; coordinates and monitors National Guard support to State drug-law enforcement operations, and intelligence and communications support.

SERIES APPLIES TO THE FOLLOWING ORGANIZATIONS: File Numbers within the 2200 Series reflect the mission of the appointed Coordinator for Drug Enforcement Policy and Support (currently the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict (ASD(SO/LIC)) within OUSD(P)).

RECORDS CATEGORY: 2200
CATEGORY TITLE: Plans and Support
CATEGORY DESCRIPTION: Records pertaining to actions on loans, leases, and transfers of equipment from the Department of Defense to Federal, State, and local law-enforcement agencies; deployment of DoD personnel outside the Continental United States; support (logistical, personnel, training) to civilian (Federal, State and local) law-enforcement Agencies by the Department of Defense to include that mandated by Congress for counter-drug programs; and National Guard activities, including the State Governors' Counter-drug Support Plan program.

FILE NUMBER: 2200-01.1 – Consolidated into 103-01.1 or 103-01.2, as applicable
FILE NUMBER: 2200-01.2 – Moved to 2200-01
FILE NUMBER: 2200-01.3 – Moved to 2200-05
FILE NUMBER: 2200-01.4 – Moved to 2200-04

FILE NUMBER: 2200-01
FILE TITLE: Executive Summaries of Counter-Drug Support Plans
FILE DESCRIPTION: Executive summary copies of National Guard plans submitted by the States and Territories for DoD approval of Federal funding.
DISPOSITION: Permanent. Cut off when superseded. Transfer to NARA 30 years after cutoff. **NOTE:** All other copies (other than Executive Summaries) can be destroyed upon supersession, or when no longer needed for reference purposes.
AUTHORITY: N1-330-92-010, item 1a
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 2200-01.2

FILE NUMBER: 2200-02
FILE TITLE: Demand Reduction Files Inspection Reports
FILE DESCRIPTION: DoD and Service inspection reports of test-lab facilities pertaining to the Demand Reduction Directorate (DRD). DRD is responsible for developing DoD policy regarding counter-drug issues pertaining to drug-free workplaces, schools, rehabilitation treatment, public awareness/prevention, urinalysis testing programs, and oversight, to include inspections of laboratory facilities (military and civilian) used in the urinalysis testing program. Laboratory oversight files consist of inspection reports by the Science and Testing Programs Officer as well as periodic inspection/evaluation reports submitted by the Military Services. **NOTE**: Use 103-01.1 or 103-01.2, as applicable for Policy documents accumulated in the performance of the DRD oversight mission.
DISPOSITION: Temporary. Cut off annually, and destroy 15 years after cutoff.
AUTHORITY: N1-330-92-010, item 4b
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 2200-02

FILE NUMBER: 2200-03 – Consolidated into 103-01.1 or 103-01.2, as applicable

FILE NUMBER: 2200-04
FILE TITLE: Detail Program Files
FILE DESCRIPTION: These files pertain to oversight of the program that details active-duty military personnel to work with Federal drug law-enforcement Agencies (FBI, DEA, INS, U.S. Customs, etc.) in areas where their unique military skills (intelligence analysis, computer expertise, etc.) contribute significantly to those Agencies' counter-drug programs. Also included are actions detailing military personnel as liaison officers. These files consist of letters and memorandums coordinating Agency requests for augmentation with the Military Services and Personnel and Readiness, as well as evaluations and letters of approval.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or when no longer needed to support the function that accumulated.
AUTHORITY: N1-330-92-010, item 3

PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 2200-01.4

FILE NUMBER: 2200-05
FILE TITLE: Regional Logistical Support Office (RLSO) Support Files
FILE DESCRIPTION: These files consist of documents accumulated by DoD in exercising its administrative and logistical support role on behalf of the RLSOs. Included are documents on personnel matters pertaining to the individuals assigned to these offices (similar to but not to be confused with 202-07., Office Personnel Information Files), travel, transportation, budget, duplicate copies of memorandums of understanding and other agreements, and miscellaneous correspondence, reports, and other papers not described elsewhere in the 2200 series.
DISPOSITION: Temporary. Cut off and destroy when superseded, obsolete, or no longer needed to perform the function that accumulated.
AUTHORITY: N1-330-92-010, item 2
PRIVACY ACT: Not Applicable
FORMER FILE NUMBER: 2200-01.3

APPENDIX A: ACRONYMS

ASD(HA)	Assistant Secretary of Defense for Health Affairs
ASD(LA)	Assistant Secretary of Defense for Legislative Affairs
ASD(NCB)	Assistant Secretary of Defense for Nuclear, Chemical & Biological Defense Programs
ASD(RA)	Assistant Secretary of Defense for Reserve Affairs
ASD(SO/LIC)	Assistant Secretary of Defense for Special Operations / Low Intensity Conflict
ATSD(IO)	Assistant to the Secretary of Defense for Intelligence Operations
ATSD(PA)	Assistant to the Secretary of Defense for Public Affairs
CAPE	Cost Assessment & Program Evaluation
CMO	Chief Management Officer
DAU	Defense Acquisition University
DCPAS	Defense Civilian Personnel Advisory Service
DHA	Defense Health Agency
DHRA	Defense Human Resources Activity
DIUX	Defense Innovation Unit - Experimental
DLSA	Defense Legal Services Agency
DMA	Defense Media Activity
DoD CIO	Department of Defense Chief Information Officer
DoDEA	Department of Defense Education Activity
DoD OGC	Department of Defense Office of the General Counsel
DOHA	Defense Office of Hearings and Appeals
DOT&E	Director, Operational Test & Evaluation
DPAA	Defense POW/MIA Accountability Agency
DSCA	Defense Security Cooperation Agency
DTSA	Defense Technology Security Administration
OEA	Office of Economic Adjustment (now OLDCC)
OLDCC	Office of Local Defense Community Cooperation (formerly Office of Economic Adjustment (OEA))
OMC	Office of Military Commissions
OSD	Office of the Secretary of Defense
OSBP	Office of Small Business Programs
USD(A&S)	Under Secretary of Defense for Acquisition & Sustainment
USD(C)	Under Secretary of Defense Comptroller
USD(I&S)	Under Secretary of Defense for Intelligence and Security
USD(P)	Under Secretary of Defense for Policy
USD(P&R)	Under Secretary of Defense for Personnel & Readiness
USD(R&E)	Under Secretary of Defense for Research & Engineering
PFPA	Pentagon Force Protection Agency
RPDD	Records, Privacy and Declassification Division
SCO	Strategic Capabilities Office
SO/LIC	Special Operations / Low Intensity Conflict
TRMC	Test Resource Management Center
USCAAF	United States Court of Appeal for Armed Forces
USUHS	Uniformed Services University of the Health Sciences
WHMO	White House Military Office
WHS	Washington Headquarters Service

APPENDIX B: APPROVED SCHEDULES NOT USED IN OSD RDS

The following is a list of records schedules approved by NARA that are not used / not otherwise included in the OSD RDS.

SCHEDULE #	TITLE	REASON NOT INCLUDED IN RDS
N1-330-00-001	Student Records	Superseded by DAA-0330-2013-0012
N1-330-01-002	Military Medical Centers	DoD-wide Schedule
N1-330-02-001	Gulf War CCEP Automated Information System	Closed System
N1-330-03-001 (ITEM 6 ONLY)	Defense Incident-Based Reporting System (DIBRS)	Closed System
N1-330-04-001	Consolidated Military Personnel Files	DoD-wide Schedule
N1-330-04-002	9-11 Commission Task Force Files	Closed Collection
N1-330-05-001	CPA – Baghdad Records	Closed Collection
N1-330-08-001	CPA - Iraq Support Study	Closed Collection
N1-330-08-002	Personnel Tracking System (PTS)	Closed System
N1-330-08-003	Free Iraqi Forces	Closed Collection
N1-330-08-006	DCIIS	System moved to purview of the Defense Intelligence Agency (DIA)
N1-330-08-009	FOIA Annual Report	Superseded by GRS
N1-330-08-011	Stephen Cambone (USD(I)) Records	Closed Collection
N1-330-09-004	Integrated Tracking System (ITS)	Superseded by GRS 5.4
N1-330-09-007	Automated Register, Request, & Receive Ballot Process	Superseded by N1-330-11-004
N1-330-09-008	Intelligence Interrogations & Detainee Debriefing Records and Recordings	DoD-wide Schedule
N1-330-10-006	SIGIR Program Files	Closed Collection
N1-330-11-006	SIGIR Administrative Files	Closed Collection
N1-330-11-007	Iraqi Development Fund Records	Closed Collection
N1-330-13-001	Living Disaster Recovery Planning System	Supseded by GRS 5.3, item 020
DAA-0330-2016-0008	Staff Action Control and Coordination Portal (SACCP) Files	Closed System
DAA-0330-2016-0018	Vietnam Vascular Registry	Closed System