



SERIES 800 – USD(POLICY)

SERIES TITLE: UNDER SECRETARY OF DEFENSE (POLICY) (USD(P)), DEPARTMENT OF DEFENSE

SERIES DESCRIPTION:

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 NUMBER: 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 Cut off after the commitment or treaty is obsolete or cancelled.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.



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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



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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

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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 806-01

PRIVACY ACT: Not Applicable



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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

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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.

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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 (FIS) Files

CATEGORY DESCRIPTION: Files pertaining to policy, plans, and program formulation of the FIS 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



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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



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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

FILE 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

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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



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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.



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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.



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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 – 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

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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

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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:

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- 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

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- 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 contain 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

RECORDS CATEGORY: 814

CATEGORY TITLE: Personnel Recovery Mission Records

CATEGORY DESCRIPTION: Records related to the preparation, planning, execution, and assessment of personnel recovery within the Department of Defense.

FILE NUMBER: 814-01

FILE TITLE: Personnel Recovery (PR) Mission Planning and Execution Records

FILE DESCRIPTION: Records and information created and received by DoD Components on the planning and execution of recovery operations. Includes, but is not limited to, records used to develop personnel recovery orders, policies, directives, and SOPs to provide guidance on PR responsibilities, coordination procedures, requirements, planning, execution and intelligence that outline component operating procedure construct requirements, etc. Policy tasks should address planning, preparation (to include training), and execution tasks to ensure joint interoperability. Personnel recovery event or case files transmitted to Personnel Recovery Office of Primary Responsibility (PR OPR) and/or the Joint Personnel Recovery Agency (JPRA) per Joint Publication 3-50 or superseding DoD policy.

DISPOSITION: Permanent. Cut off when reintegration or death of individual is confirmed and retain closed case file for 25 years. Transfer to NARA 5 years after declassification.

AUTHORITY: DAA-0330-2022-0008-0003

PRIVACY ACT: A0600-8-104AHRC



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FILE NUMBER: 814-02

FILE TITLE: ISOPREP (Personnel Recovery Mission Software (PRMS)/DD Form 1833) Active Records

FILE DESCRIPTION: ISOPREP (PRMS & DD FORM 1833) data retained internally or externally to the Personnel Recovery Mission Software (PRMS) completed by all military service members, DOD civilians, or Contractors Authorized to Accompany the Force (CAAF) and Coalition, USG respondents. PRMS is the DoD Isolated Personnel Report (ISOPREP) web accessible database developed to support the primary collection requirements of the form DD 1833 ISOPREP equivalent and they both support the Departments' personnel recovery mission. The PRMS master file and DD Form 1833 collections include but is not limited to:

- Name and Go by Name;
- Grade
- Height, weight, hair color and blood chit;
- Gender
- DoB
- Medical Conditions: Scar, Tattoos, Distinguishing Marks
- Citizenship

Other data fields may include

- Isolated personnel guidance (IPG) and Personal authentication statements
- Evasion aids and evasion charts (EVCs)
- Blood chits, pointee-talkies, profile information, scars, allergies
- Front and side photographs
- SERE training, etc.

When an ISOPREP (PRMS or DD-1833) respondent becomes isolated, detained missing or captured the respondent's ISOPREP (PRMS or DD-1833) Active Record becomes an ISOPREP (PRMS or DD-1833) Authentication Record used in DoD Personal Recovery/Accounting Operations and person or remains recovery will occur over an undefined period of time.

DISPOSITION: Temporary. Cut off after 4 years of inactivity. Destroy 1 year after cutoff.

AUTHORITY: DAA-0330-2022-0008-0001

PRIVACY ACT: A0600-8-104AHRC