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 OSW and DoW 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 OSW 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 War (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 is 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: Access control records
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 103-13

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 non-governmental 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 OSW 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 OSW 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 OSW 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 – Consolidated into 103-13
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 use to ensure correct mail and package delivery
- Printing requisitions, work orders, samples, manuscript clearances, and related documents
- Mailing and contact list 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.

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- Moved to 1606-18
FILE NUMBER: 102-12.2 – RESCINDED
FILE NUMBER: 102-12.3 – RESCINDED
FILE NUMBER: 102-12.4- RESCINDED
FILE NUMBER: 102-12.5- RESCINDED

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 OSW 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 OSW 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 OSW 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 War outlining the appropriations history of weapons projects, international programs, DoW 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 OSW 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, change, rescind, or explain any process, procedure, or function. These files accumulate in the offices of the Secretary and Deputy Secretary of War, immediate offices of the Under and Assistant Secretaries of

War, or any element of any OSW 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 101-01.1 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 War, immediate offices of the Under and Assistant Secretaries of War, or any element of any OSW 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 101-01.1 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 OSW 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 War or within OSW 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 OSW 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 War. 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: DUSDP 08/ 22 Feb 1993, 58 FR 10227

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 that meet the following conditions:

- They are required only for a short time (generally less than 180 days), and
- They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

NOTE: For examples of Transitory records, see NARA's GRS 5.2 FAQs (FAQs for GRS 5.2, Transitory and Intermediary Records | National Archives).
EXCLUSION: This file number does not include the following:

- Files created specifically for public access purposes
- Summarized information from unscheduled electronic records or inaccessible permanent records
- Data extracts produced by a process that significantly changes the content of the file from the source records' content, effectively creating a new data file

DISPOSITION: Temporary. Cut off and destroy when no longer needed for business use.
AUTHORITY: GRS 5.2, item 010 (DAA-GRS-2022-0009-0001)
PRIVACY ACT: Not applicable
FORMER FILE NUMBER(s): 101-22, 102-06.4, 102-15, 103-10b, 203-32, 204-08.1, 208-16, 304-06.5, 304-06.6, 701-09.2, 701-09.3, 701-09.8b, 1301-21, 1910-07, 1911-02, 1911-03, 1911-07, 1911-08, 1912-07, 1912-09, 1912-10, 2002-02b

FILE NUMBER: 103-14
FILE TITLE: Intermediary Records
FILE DESCRIPTION: Records that meet the following conditions:

- They exist for the sole purpose of creating a subsequent record and
- They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

This includes certain analog (hard copy) and electronic source records for electronic systems that are not otherwise excluded.
NOTE: For examples of Intermediary records, see NARA's GRS 5.2 FAQs (FAQs for GRS 5.2, Transitory and Intermediary Records | National Archives).

Exclusion: This file number does not include source records that have been digitized (see File Number 203-37 – 203-40).
DISPOSITION: Temporary. Cut off and destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.
AUTHORITY: GRS 5.2, item 020 (DAA-GRS-2022-0009-0002)
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 – OSW Components Hosting DoW-Wide and/or International Events
FILE DESCRIPTION: Records and information documenting the planning and management of DoW Wide and/or international events hosted by OSW 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 DoW-wide events such as training (ex. DoW FOIA Training Conference, DoW Career Fairs or DoW World-wide security conference), OSW-wide training, education, and events or for training, education, and events held internally by OSW 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 – OSW Components Hosting OSW-wide, Local and/or Internal Component Events

FILE DESCRIPTION: Records and information documenting the planning and management of OSW 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 DoW-wide events such as training (ex. DoW FOIA Training Conference, DoW Career Fairs or DoW World-wide security conference), OSW-wide training, education, and events or for training, education, and events held internally by OSW 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